

Link-up Core Audit Module



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Preface

The Link-up Core Audit Module meets the requirements of Network Rail Company Standard NR/L2/CPR/302. The order of the clauses in this document differs from NR/L2/CPR/302 in order to facilitate the audit process (See Appendix A). The document is designed to provide a means to validate information submitted by Supplier's at the prequalification stage and to assess specific areas of compliance contained within the Standard.

Audits normally take place upon initial entry to the Link-up scheme, on a periodic i.e. annual basis and where there are relevant changes to the organisation's information on the Link-up Rail portal. Auditors and Auditees (i.e. the organisation subject to audit) are required to familiarise themselves with the content of the audit and its requirements prior to the audit commencing. Auditees will be required to demonstrate objective evidence against all the requirements detailed within this protocol commensurate with the scope and scale of activities undertaken.

Auditor application of the requirements

The bullet-pointed requirements identified in each section are provided to assist auditor and auditee and ensure consistency across the scheme. The auditor shall apply these points as appropriate to assure themselves that the suitable controls are in place for the activity of the Organisation being audited.

Assessment Requirements

1. Management system

The objective is to promote continual improvement and to keep actual practices in line with the company's arrangements.

The Auditor should establish the following:

- The supplier shall have a systematic approach to promoting continual improvements in its processes relating to work on the railway and for supplying products for use on the railway. The system shall include considerations to health, safety, quality of the product or service and the environment.

Note: The supplier may approach these considerations in a fully integrated way or follow the individual requirements set out in 'certification' standards such as ISO 9001, ISO 14001, OHSAS 18001 - or follow the guidance set out in HS(G)65.

Although ISO/OHSAS certification is not mandatory for compliance with this standard, if the supplier's management system has been fully certificated by a UKAS accredited organisation (system arrangements and process implementation), and this covers rail work, this will be deemed as meeting the requirements in this clause – Where claimed by the supplier, the assessor should validate that the appropriately scoped certification is held to demonstrate compliance with this clause.

- The management system shall address the following:
 1. *setting policies;*
 2. *organising resources and processes;*
 3. *identification of risks and their associated controls (including interfaces);*
 4. *implementing processes;*
 5. *monitoring performance;*
 6. *reviewing the adequacy and effectiveness of the management system and identifying improvements (typically annually);*
 7. *auditing the management system as a whole.*
- The supplier shall have arrangements for:
 8. *maintaining an up to date compliance matrix / index;*
 9. *briefing employees on the outline management system;*
 10. *reviewing of the management system's effectiveness by considering*
 - (i) *performance against objectives;*
 - (ii) *audit reports;*
 11. *validating organisational changes prior to implementation, including:*
 - (i) *risk assessments (including reviewing possible impact on product code capability, plus safety and environment);*
 - (ii) *consulting with customers and notifying Link-up on product code changes as a result of organisational change;*
 - (iii) *sign off (formal validation of change) at appropriate management level;*
- obtaining approval from customers where there is:
 12. *a change to the scope of works;*
 13. *a change to standards or designs controlling the engineering/production/delivery process;*
 14. *new technology to be introduced;*
 15. *a change to the organisation/management system and/or the validation process that has identified an increase in overall risk.*

2. Insurance arrangements

The objective is to provide sufficient financial cover in the event of matters of an unseen nature arising that result in financial loss.

The Auditor should establish the following:

- The supplier shall have arrangements in place to provide adequate insurance cover for the work to be carried out and shall include:
 1. *obtaining cover to a level that is commensurate with the risks associated with the contract ('2nd tier' suppliers shall have clear agreement with main or principal contractors as to the level and scope of insurances required).*
 2. *checking there is no adverse financial impact on the client/customer as a result of an insurable incident for which the supplier is held responsible.*
- Network Rail standard contractual terms and conditions require the following minimum level of insurance cover in place:
 3. *Employers Liability - Minimum cover £5,000,000;*
 4. *Product Liability - Minimum cover £5,000,000;*
 5. *Professional Indemnity - Minimum cover £10,000,000.*
- Auditors shall not raise a non-conformance where the levels of Professional Indemnity cover is less than £10,000,000. In all cases, Auditors shall record all relevant details for all relevant insurances in the Audit Report and specify the insurance levels in the Executive Summary.

Note: Product Liability and Professional Indemnity are not required in all cases. For example, Professional Indemnity is normally applicable to members of professional institutions providing consultancy or training of their own devising. In exceptional circumstances Network Rail may agree variations to these requirements.

Note: Network Rail may provide contract-specific Public Liability insurance for 1st tier suppliers.

3. Policies

The objective is to demonstrate, to employees and other affected parties, the supplier's board level commitment to Health Safety and Environmental requirements and identify the overall framework within which the company operates.

The Auditor should establish/ confirm the following:

- The supplier shall have the following policy statements:
 1. Health and Safety;
 2. Environmental;
 3. Quality.

Note: A single integrated policy statement, in compliance with the Health, Safety and Environmental requirements and Quality objectives, is permissible where the supplier has an integrated management system.

- The policies/policy shall:
 4. meet UK legislative requirements;
 5. be dated and current;
 6. be endorsed at Board level (i.e. signed-off at Director Level);
 7. cover all areas of the supplier's business.
- The Health and Safety Policy statement shall contain a clear commitment to:
 8. safety, in so far as is reasonably practicable;
 9. providing sufficient resources for the management of health and safety;
 10. setting and monitoring safety objectives;
 11. continual improvement in safety performance.
- The Environmental Policy Statement shall contain a clear commitment to:
 12. preventing pollution;
 13. specifically protecting the environment, with reference to aspects of work activities that are environmentally significant;
 14. specifically minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the supplier;
 15. setting and monitoring environmental objectives;
 16. continual improvement in environmental performance.
- The Quality Policy statement shall contain:
 17. whether the supplier is accredited to any standards (e.g. ISO 9001 or any specific standards for the type of product or service);
 18. the setting and monitoring of quality objectives;
 19. a commitment to work with suppliers and customers to establish and maintain the highest quality standards;
 20. a commitment to continual improvement in quality performance.
- The supplier shall have arrangements in place for managing policy statements, including:
 21. communicating them to all employees on induction, starting a contract and following policy changes;
 22. communicating them to their suppliers (as necessary) and other interested parties;
 23. reviewing them (as a minimum annually).

4. Organisation and responsibilities

The objective is to establish an adequate organisational framework for the safe and efficient delivery of a contract. This includes the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts.

The Auditor should establish the following:

- *The supplier shall allocate the 'key roles' listed below to posts in the organisation and have a documented organisation structure indicating these posts and posts carrying out safety critical tasks.*

Note: This list is not exhaustive. It is expected that appropriate assessment is undertaken and documented to identify the roles required. Posts may undertake more than one 'key role'.

- *Key roles include those with the accountability for the following:*
 1. *safety management;*
 2. *environmental management;*
 3. *quality management;*
 4. *technical expertise (as required for the work carried out e.g. civil engineering, electrification etc.);*
 5. *rail operations;*
 6. *competence management.*

- *Key roles include those with responsibility for delivering the following:*
 7. *maintaining the management systems;*
 8. *co-ordinating employment medicals;*
 9. *monitoring hours worked and authorising exceedances for employees and their suppliers' employees;*
 10. *co-ordinating pre-employment, random and 'for cause' alcohol and drugs assessments;*
 11. *assessing first aid resources to be provided on site;*
 12. *document control;*
 13. *planning work (including planning safe access and egress to Network Rail Managed Infrastructure);*
 14. *producing and delivering briefing material;*
 15. *performing Sentinel co-ordinator tasks;*
 16. *investigating accidents and incidents;*
 17. *procuring products and services;*
 18. *carrying out risk assessments;*
 19. *carrying out internal and external audits and other compliance activities as appropriate;*
 20. *competence assessment and training.*

Note: Safety critical tasks are as defined in Regulation 23 of the Railway and Other Guided Transport Systems (Safety) Regulations 2006.

- *The supplier shall have arrangements in place for:*
 21. *documenting the organisation structure, which shall be adequate for the work;*
 22. *keeping the organisation structure current and relevant at all times;*
 23. *clearly communicating the responsibilities, authorities and accountabilities to post holders;*
 24. *obtaining acceptance of the responsibilities from post holders;*
 25. *appointing deputies for posts carrying out 'key roles';*
 26. *where key safety, environment, quality or technical expertise is procured from outside the organisation, setting up the means of communication with the supplier of the expertise.*

5. Individual qualifications and experience of staff in 'key roles'

The objective is to employ suitably qualified staff in 'key roles'.

The Auditor should establish the following:

- The supplier shall set the minimum acceptable competence requirements for the posts carrying out the 'key roles' identified in section 4 of this document. Competences shall include:
 1. *years experience in specific roles;*
 2. *professional qualifications (if applicable);*
 3. *training and certification requirements.*

6. Provision of competent health, safety and environment advice

The objective is to provide employees with ready access to competent and current rail-specific health, safety and environment advice in a timely and consistent manner.

The Auditor should establish the following:

- The supplier shall have arrangements in place to provide access to competent health, safety and environment advice to employees (and their suppliers when appropriate). They shall:
 1. *identify the post(s)/source(s) responsible for providing the advice;*
 2. *indicate the extent of information available;*
 3. *indicate specifically from where information and advice is obtained e.g. safety groups, trade federations, external consultants, chamber of commerce, etc;*
 4. *indicate how such advice and information is accessed by those who need it.*
- The minimum competence requirements for the post/source providing rail-specific health and safety advice shall include:
 5. *NEBOSH General Certificate or equivalent and working towards membership of relevant professional institution;*
 6. *knowledge of the health and safety requirements set out in legislation, Railway Group Standards and Network Rail company standards applicable to railway activities;*
 7. *evidence of three years experience working in the rail industry, providing both first line advice and tactical support and development on health, safety matters.*
- The minimum competence requirements for the post/source providing rail-specific environment advice shall include:
 8. *IEMA Associate Member (or equivalent);*
 9. *knowledge of environment requirements set out in legislation, Railway Group Standards and Network Rail company standards applicable to railway activities;*
 10. *evidence of three years experience working in the rail industry, providing both first line advice and tactical support and development on environment matters.*

Note: Reg. 7 Management of Health and Safety at Work Regulations 1999 requires employers to appoint one or more competent persons to help in applying the provisions of health and safety law.

7. Competence management

The objective is to employ staff who have the necessary understanding and skills to discharge their duties.

The Auditor should establish the following:

- The supplier shall have arrangements in place for:
 1. *the recruitment and induction of employees;*
 2. *identifying the competence requirements for tasks undertaken;*
 3. *the training of employees and the assessment and development of employees' competence.*

- The competence management system shall meet the requirements set out in NR/L1/CTM/001 Competence Management and include:
 4. *identifying tasks where competent execution of the task is required to manage safety effectively (ref. risk assessments);*
 5. *identifying and documenting competence requirements for the tasks to be carried out, giving consideration to health, safety and environmental awareness;*
 6. *recruiting employees, including assessing candidates' qualifications, experience and skills;*
 7. *training employees including:*
 - (i) *establishing training and development requirements;*
 - (ii) *selecting training providers;*
 - (iii) *providing initial and ongoing training and mentoring;*
 8. *assessing and developing competences, including:*
 - (i) *ongoing coaching and appraisals (both safety critical appraisals and non safety critical performance assessments);*
 - (ii) *verification of the competences of those carrying out competence assessments;*
 9. *checking the necessary competences are obtained before tasks are undertaken, including checking the competence of their suppliers' employees;*
 10. *maintaining training and competence records.*

Note: For track safety and engineering competences: the competence requirements shall be in accordance with published Network Rail company standards and specifications;

8. Personal track safety and the Sentinel Scheme requirements

The objective is to manage the fitness and competence of employees who are permitted to go on Network Rail Managed Infrastructure.

The Auditor should establish the following:

- The supplier shall have compliant Sentinel Scheme Rules arrangements in place that include:
 1. *identifying employee competence requirements included in the scheme;*
 2. *selecting Network Rail approved training providers;*
 3. *checking employees competences are in date;*
 4. *keeping employees' Sentinel Cards and the NCCA database up to date;*
 5. *arranging workplace assessments;*
 6. *where track visitor permits are to be issued, complying with the requirements of NR/L2/OHS/020 'Track Visitor Permits';*
 7. *providing Personal Protective Equipment (PPE) to employees and checking that they use it, as required by NR/L2/OHS/021 'Personal protective equipment and work wear'.*

9. Employment medicals

The objective is to minimise the risk of workers, suffering from medical conditions that may adversely affect themselves or others.

The Auditor should establish the following:

- The supplier shall have arrangements in place for checking that workers under its control meet and maintain the health requirements in Network Rail company standards and Railway Group Standards. The arrangements shall include:
 1. *carrying out pre employment medical examinations;*
 2. *checking that persons engaged to work on Network Rail Managed Infrastructure meet the requirements set out in NR/L2/OHS/00120 'Pre-employment, pre-appointment & periodic testing for Drugs & Alcohol' or equivalent Network Rail standard in force at time of assessment ;*
 3. *carrying out routine medical examinations - including risk-based health surveillance as appropriate;*
 4. *a process for managing any employee declaring:*
 - (i) *a negative change to their state of health or*
 - (ii) *the taking prescription drugs that may impact on the safety of themselves or others.*
 5. *obtaining medical self certifications for Track Visitor Permits;*
 6. *checking their supplier's arrangements for employee medicals.*

10. Alcohol and drugs arrangements

The objective is to minimise the risk to and imposed by workers carrying out tasks whilst under the influence of drugs or alcohol.

The Auditor should establish the following:

- The supplier shall have arrangements in place for checking that all workers under its control do not access Network Rail Managed Infrastructure or carry out safety critical tasks while under the influence of drugs or alcohol. The arrangements shall include:
 1. *briefing employees on drugs and alcohol (company/client/railway group) policy i.e. pertaining to work activity;*
 2. *managing employees (and their suppliers' employees) taking prescription and over the counter medicine;*
 3. *selecting and appointing an approved drugs and alcohol testing provider;*
 4. *routine, pre-appointment testing - such as pre-employment and following transfer to a post which requires the employee to be qualified in Personal Track Safety or is designated a safety critical work post;*
 5. *carrying out a risk-based programme of random testing (5% per annum is typical);*
 6. *carrying out 'for-cause' testing* - i.e. following accidents, serious incidents or suspected of being unfit through drugs or alcohol, where applicable;*
 7. *implementing actions following a failure of a drugs and alcohol test;*
 8. *access and update arrangements to NCCA databases for changes to status of sponsored 'Sentinel' employees;*
 9. *dealing with appeals internally;*
 10. *keeping records (10 years from the date of testing. Records of positive tests*
 11. *shall be retained indefinitely).*

Note: * - A 'For cause' contract shall not be required where there is evidence of suitable alternative arrangements for the provision of 'for cause' screening. There must be suitable arrangements in place for all contracts/projects current/live at the time of audit.

11. Managing refusals to work on grounds of health and safety

The objective is to remove employees' fear of disciplinary action, or being disadvantaged in any way, if they refuse to work on the grounds of health and safety and thereby encourage the identification of unsafe acts and conditions.

The Auditor should establish the following:

- The supplier shall have arrangements in place for:
 1. recording reports of unsafe acts and conditions;
 2. responding positively and promptly to employees refusing to work on the grounds of Health and Safety;
 3. recognising the right of employees to escalate such concerns to the appropriate level of the organisation without fear of discrimination;
 4. advising line managers not to discriminate against employees who raise such issues;
 5. checking that their suppliers have similar refusal to work policies in place;
 6. advising employees of the arrangements and encouraging them to report unsafe acts and conditions;
 7. advising employees of the Confidential Incident Reporting & Analysis System (CIRAS):
<http://www.ciras.org.uk/>

12. Managing worker and suppliers' workers' fatigue

The objective is to minimise the risk of workers not being able to discharge their duties safely due to fatigue.

The Auditor should establish the following:

- The general arrangements shall include:
 1. identifying the activities and tasks in the organisation and supplier's organisations where fatigue could result in impaired performance and increased operating risk;
 2. carrying out fatigue risk assessments (FRI). HSE's FRI or similar may be utilised
 3. the working time limits that workers shall be permitted to work;*
 4. planning work so that exceedances are not required;
 5. authorising unforeseen exceedances (inc risk assessments);
 6. monitoring actual hours worked;
 7. analysing trends in hours worked (including travel time, etc) and correlating this with error and incident data, skill availability and sickness/absence data and taking appropriate action in the light of identified patterns and trends;
 8. plans and objectives for controlling actual hours;
 9. plans and objectives for reducing unforeseen exceedances (if applicable);
 10. arrangements to prevent workers from carrying out or continuing to carry out work activities where there is reason to believe they are unfit due to fatigue;
 11. retention of records as per NR/L3/INF/02226 'Corporate Records Retention Schedule'.
 12. NR/L2/ERG/003 'Management of fatigue: Control of working hours for staff undertaking safety critical work' (ROGS);**
 13. assessment of what fatigue arrangements are appropriate for their staff including compliance with ROGS.

Note *: Suppliers shall take note of the general duty of care with regard to the planning and control of the combination of individual employee's work, walking time, handover/wash-up time and travel time.

Note **: This standard outlines the requirements for managing fatigue and working hours and demonstrates the means by which compliance with Regulation 25 of the 'Rail and Other Guided Transport Systems (Safety Regulations 2006' is realised.

13. Selection of safety critical products and plant

The objective is to select only products and plant that are technically sound, fit for purpose and safe to use in the intended application.

The Auditor should establish the following:

- The supplier shall have arrangements in place for checking that products and plant falling into the scope of Network Rail Company Standard NR/L2/EBM/029 'Product Introduction and Change' are approved by Network Rail prior to use, and have arrangements in place for selecting suitable suppliers of such products and plant.
- The arrangements for supplier selection shall include utilisation of the Link-up supplier qualification scheme or the supplier's own demonstrably equivalent process for the assessment of suppliers.

Note: NR/L2/EBM/029/F001 'How to decide what needs product acceptance via NR/L2/EBM/029'.

- The arrangements shall include:
 1. *identifying products and plant falling within the scope of NR/L2/EBM/029;*
 2. *populating and maintaining an approved supplier list;*
 3. *checking that products and plant are procured only from a supplier on the approved supplier list;*
 4. *producing, and making available to appropriate employees, a list of approved suppliers;*
 5. *assessing risks and identifying control measures when selecting products and plant;*
 6. *checking that all other goods and products to be used on railway related contracts are fit for purpose;*
 7. *passing information to customers/users regarding damaged equipment or equipment under temporary repair before going back into service;*
 8. *carrying out audits on implementation of suppliers' management system;*
 9. *reviewing their suppliers' performance;*
 10. *reviewing periodically their suppliers' qualifications.*

14. Use of plant and equipment (including safety critical)

The objective is to use only plant and equipment that are properly maintained and that is operated by competent individuals.

The Auditor should establish the following:

- The supplier shall have arrangements in place for managing the safe use of plant and equipment used on Network Rail Managed Infrastructure and implementing relevant statutory requirements, including the Provision and Use of Work Equipment Regulations 1998. The arrangements shall include:
 1. *checking that Network Rail approved plant and equipment is used when required;*
 2. *identifying a safe method of use based on the risk assessment findings – consideration to be given to plant transportation, access and use, and the need for appropriate PPE;*
 3. *uniquely identifying plant and equipment for control and maintenance purposes;*
 4. *maintaining owned and hired in plant and equipment;*
 5. *calibrating tools and equipment (where applicable);*
 6. *establishing supervision requirements;*
 7. *identifying and providing operator training;*
 8. *the segregating (quarantine) of substandard and faulty plant and equipment, so that it is not unintentionally put into service.*

Note: The site management and control of rail (on-track) plant in Network Rail engineering possessions is only permitted by a corporate operator holding a Network Rail 'Rail Plant Operating Company in Possessions' licence.

15. Selection and management of supplier's services; including safety critical services

The objective is to select and manage capable and competent suppliers of services to undertake work in a safe and efficient manner whilst paying due regard to the environment and quality of work delivered.

The Auditor should establish the following:

- The supplier shall have arrangements in place for selecting and managing suppliers of services. The arrangements for selection shall include utilisation of the Link-up supplier qualification scheme and/or the supplier's own demonstrably equivalent process for the assessment of suppliers.
- Suppliers providing services with sponsored staff under the Sentinel scheme and/or providing safety critical services shall be Link-up registered by contract start date and shall remain so for the duration of the contract as a minimum. The arrangements shall include:
 1. *checking that suppliers are capable and have the necessary resources to carry out the required work;*
 2. *checking that the providers of designated services to the supplier (e.g. PTS and associated training, alcohol and drugs testing) are approved by Network Rail or other body carrying out approval's on Network Rail's behalf;*
 3. *populating and maintaining an approved supplier list;*
 4. *carrying out risk-based planned general inspections of their suppliers' worksites;*
 5. *carrying out risk-based audits on their suppliers' management system;*
 6. *reviewing their suppliers' performance;*
 7. *producing, and making available to appropriate employees (e.g. procurement), a list of qualified suppliers containing sufficient and appropriate information to aid selection for contract;*
 8. *reviewing periodically suppliers' qualifications.*
- Examples of service providers that require Network Rail's approval include:
 9. *medical providers;*
 10. *alcohol and drugs testers;*
 11. *training providers and competence assessors (they shall be licensed by the appropriate licensing body).*

16. Control of bribery

The objective is to manage and control the risk of bribery occurring among a supplier's employees and within 'agents' acting on behalf of the supplier.

The Auditor should establish the following:

- The supplier shall:
 1. *periodically formally assess the risk of bribery within its organisation or that of its associated persons;*
 2. *have in place clear, practical and accessible anti-bribery procedures proportionate to the risks identified;*
 3. *demonstrate top level commitment to the prevention of bribery;*
 4. *carry out due diligence on its suppliers, subcontractors and agents to identify any corrupt practices;*
 5. *communicate anti-bribery procedures to staff and 'agents';*
 6. *monitor and periodically review the policy and procedures particularly if conditions change.*

Note: If any periodic assessment indicates that the risk of bribery is insignificant, guidance from the Ministry of Justice is that formal procedures will not be required. See Ministry of Justice website.

17. Reviewing changes to customer and regulatory requirements

The objective is to identify and integrate changes to customer and regulatory requirements that are applicable to contracts into the supplier's arrangements without delay.

The Auditor should establish the following:

- The supplier shall have arrangements in place for obtaining, interpreting, and managing the impact of changes to customer and regulatory requirements (e.g. legislation, Technical Specifications for Interoperability, Railway Group Standards and Network Rail company standards). The arrangements shall include:
 1. *getting and maintaining access to customer and regulatory requirements;*
 2. *designating the posts that are responsible for reviewing the requirements (e.g. Technical Heads);*
 3. *identifying how the requirements are to be implemented and briefed;*
 4. *identifying necessary changes to the management system;*
 5. *confirming to the customer representative that changes have been made;*
 6. *seeking authorisation for non-compliances with customer requirements, when compliance is not possible or appropriate.*

18. Document management

The objective is to provide employees and suppliers with the up to date information required to discharge their duties and comply with customer requirements.

The Auditor should establish the following:

- The supplier shall have arrangements in place for approving, controlling, distributing and making readily available at the point of use (either hard copy or electronic), documents necessary for the discharge of their processes. The arrangements shall include:
 1. *maintaining a register of all controlled documents;*
 2. *approving the contents of documents produced internally;*
 3. *controlling and distributing all registered documentation including amendments to employees and to their suppliers;*
 4. *removing obsolete documentation promptly;*
 5. *retaining records for legal and/or knowledge preservation purposes, including the periods of retention required;*
 6. *controlling personally issued railway documentation such as the Rule Book and Electrified Line Instructions.*

Note: Documents to be controlled are those required for the delivery of service or product and those relating to Health, Safety, Quality and the Environment e.g. policies, procedures, Network Rail company standards, RGSs, Rule Book modules etc.

19. Internal and external communication arrangements

The objective is to disseminate the right information required for the delivery of the right services or products to the right employees and others at the right time.

The Auditor should establish the following:

- The supplier shall have arrangements for the effective internal and external communication of appropriate information. The arrangements shall include:
 1. *implementing a meeting structure for the dissemination of Health Safety and Environmental (HS&E) information to all employees (including suppliers as required), indicating frequency, attendees and overall purpose of each meeting;*
 2. *producing and delivering briefing material;*
 3. *communicating in a two way process on Health Safety and Environmental matters;*
 4. *recording communications;*
 5. *using an appropriate variety of methods of communicating, such as notice boards, company newspapers, intranet, internet, videos, bulletins, leaflets, laminated cards, presentations, '121's, toolbox talks, information libraries, etc;*
 6. *interfacing with external organisations;*
 7. *providing HS&E information to their suppliers and customers.*
 8. *providing details of regulatory visits to customers (e.g. the supplier shall have arrangements in place to inform the NR representative - as appropriate - of regulatory visits to their projects / worksites irrespective of the findings – this should include HSE / ORR / EA / SEPA etc).*

- The information to be provided to site workers shall include:
 9. *site rules;*
 10. *risks to health and safety;*
 11. *environmental risks;*
 12. *measures for reducing risk;*
 13. *procedures to be followed in the event of an accident or other emergency.*

- The information to be provided to the principal contractor (where appointed) shall include:
 14. *risks to health and safety from the supplier's activities;*
 15. *environmental risks;*
 16. *contractors appointed by the supplier to work on the project;*
 17. *details of accidents and dangerous occurrences;*
 18. *details of pro-active (leading) metrics (e.g. outputs from PGIs, Safety Tours and Audits).*

20. Workforce involvement

The objective is to make employees aware of changes to arrangements and to enable them to make contributions towards improvements.

The Auditor should establish the following:

- The supplier shall have arrangements in place for seeking the views of employees:
 1. *when procedures are to be changed;*
 2. *when the organisation is to be changed;*
 3. *when new technology, systems and processes are to be introduced;*
 4. *when conducting risk assessments;*
 5. *routinely, on general performance matters;*
- recording suggestions made by employees;
- reviewing suggestions and providing a response to employees.

21. Risk assessment

The objective is to reduce health safety and the environment risks in so far as is reasonably practicable (SFAIRP).

The Auditor should establish the following:

- The supplier shall have arrangements in place for the management of health and safety risk and the identification of controls to reduce the risk in so far as is reasonably practicable (SFAIRP). The arrangements shall demonstrate the methodology used for risk assessment including:
 1. *utilisation of an appropriate cross section of employees in the process;*
 2. *identifying potentially hazardous events;*
 3. *determining the frequency and severity of the consequences of the hazardous events;*
 4. *assessing the risk (e.g. via risk ranking matrix, FMEA, HAZOP as appropriate);*
 5. *identifying the control measures already in place;*
 6. *identifying possible additional control measures;*
 7. *documenting the risk assessment findings in a risk log;*
 8. *checking that risk assessments required by COSHH, PPE and Manual Handling legislation (and any other applicable legislation) are carried out;*
 9. *identifying all reasonably practicable controls and including them in company processes/method statement/work package plans;*
 10. *identifying in the risk log the generic top ten hazards/risks with the highest evaluated risk;*
 11. *briefing risk information to employees and other affected parties;*
 12. *reviewing risk assessments to check that the control measures remain adequate and effective including involvement of senior management;*
 13. *identifying those involved in the risk assessments process and their competences.*
- The supplier shall have arrangements in place for the management of environment risk, which should include the:
 14. *consideration of direct and indirect impacts under normal, abnormal and emergency conditions;*
 15. *quantification of the environmental risk;*
 16. *developing action plans, objectives and targets;*
 17. *production and review of an impacts and aspects register.*

22. Co-operation and co-ordination

The objective is to share information on risk with other organisations, such that a co-ordinated approach to implementing risk control measures is achieved.

The Auditor should establish the following:

- The supplier shall have arrangements in place for adequately interfacing with affected organisations. The arrangements shall include:
 1. *informing other organisations of any risks to their employees from work to be carried out by the supplier and the necessary controls to be introduced;*
 2. *making method statements/work package plans available to affected parties;*
 3. *co-operating with other organisations working in the same area regarding the implementation of control measures for the adequate overall control of risk;*
 4. *providing access to: premises, worksites and employees for the purpose of inspections and audits by organisations who may be affected by the supplier's operation;*
 5. *co-operating with the CDM Co-ordinator and/or Client (as applicable).*

23. Health, welfare, wellbeing

The objective is to provide adequate facilities (irrespective of work location), such that employees' health, welfare and wellbeing is not adversely affected while at work.

The Auditor should establish the following:

- The supplier shall have arrangements in place for the adequate and appropriate provision and maintenance of welfare facilities including the provision of drinking water, toilets washing and rest facilities. The planning arrangements for such shall include a review of the:
 1. *expected work duration (including 'door to door' travelling time);*
 2. *size and location of site;*
 3. *type of work to be undertaken;*
 4. *number of people involved in the work.*
- Particular attention shall be given to provision of mobile facilities at transient work sites where fixed public facilities are not reasonably accessible.

Note: See NR/L3/INI/CP0036 'The Provision of Welfare Facilities' (NR/PRC/MPI/CP0036).

24. First aid at work arrangements

If an accident occurs the objective is to have sufficient first aid qualified employees and adequately maintained first aid facilities available.

The Auditor should establish the following:

- The supplier shall have arrangements in place for providing adequate first aid resources. The arrangements shall include:
 1. *assessing the number of trained first aid personnel required on any work-site;*
 2. *assessing the extent of first aid facilities to be provided on site;*
 3. *maintaining first aid competences;*
 4. *maintaining first aid facilities.*

25. 'Close Call', 'Near Miss' and Accident reporting and investigation

The objective is to report and investigated safety and environmental events appropriately; identify and implement measures to prevent recurrence, and to share any lessons learned within the industry.

The Auditor should establish the following:

- The supplier shall have arrangements in place for reporting and investigating 'close calls', 'near misses', and accidents. These shall include:
 1. *the management of accident and incidents appropriate to the severity of the event (Suppliers shall also demonstrate that they have processes in place that enable them to reach a clear understanding of responsibilities for reporting and investigation on shared worksites. There shall be generic arrangements to clearly understand if this is to be, for example, the responsibility of a CDM Principal Contractor, main contractor, 2nd tier contractor or Network Rail.);*
 2. *the reporting (including to Network Rail / the principal contractor) of all 'close calls', 'near misses' and accidents (including all safety and environmental events in relation to pollution and or damage to the environment, property and equipment);*
 3. *the statutory reporting of RIDDOR reportable events;*
 4. *managing the investigation of accidents and incidents in accordance with Network Rail Company Standard NR/L2/INV/002 Accident and Incident Reporting and Investigation;*
 5. *appointing a competent person to undertake an investigation. Railway Group members shall demonstrate procedures to appoint a Designated Competent Person (DCP) as appropriate to set investigation remits and appoint a lead investigator;*
 6. *identifying and tracking corrective and preventative actions until closed out;*
 7. *re-assessing risks, if appropriate;*
 8. *briefing employees and other parties on the findings of the investigation reports;*
 9. *sharing lessons learned (via channels such as RPA, RICA, Rail Alliance, site and contract meetings with clients, etc);*
 10. *the means for implementation (when applicable) - and tracking internal progress of supplier actions - following recommendations from major investigations/inquiries/inquests into accidents/incidents, e.g. HSE, ORR, RAIB, Coroner, Public Inquiry, Industry Investigation, Environment Agency.*

26. Site inspections

The objective is to confirm that safety and environmental requirements are being fulfilled on site.

The Auditor should establish the following:

- The supplier shall have arrangements in place for planning and implementing site inspections and safety tours. The arrangements shall include:
 1. *determining the frequency of site inspections based on risk;*
 2. *determining the frequency of safety tours;*
 3. *developing contract specific inspection checklists;*
 4. *the posts/representatives that carry out the inspections;*
 5. *producing site inspection reports that identify suitable corrective action when shortfalls are identified (or noting good practice);*
 6. *tracking the close out of resulting corrective actions or the dissemination and adoption of good practice.*

27. Audit of the management system

The objective of having effective arrangements for audit is to confirm that the management systems are adequate and are being implemented satisfactorily.

The Auditor should establish the following:

- The supplier shall have arrangements in place for the audit of their management system(s) and their suppliers' management systems. The arrangements shall include:
 1. *creating audit plans where frequency and scope of audits is based on safety and environmental risk;*
 2. *implementing the audit plans;*
 3. *reviewing audit reports and the tracking of actions to close out;*
 4. *utilising an auditor independent of the system or process being audited;*
 5. *managing audits carried out by external organisations (second and third party audits) and the close out of the findings;*
 6. *managing the close out of findings from audits carried out on their suppliers;*
 7. *using the results of audit reports and other compliance activities for systemic improvement.*

28. Monitoring and review of corporate safety and environmental performance

The objective is to confirm that the collective performance of employees and the performance of suppliers are at an appropriate level for the safe, effective and efficient delivery of railway-related contracts.

The Auditor should establish the following:

Note: The collection and analysis of such data shall be used as part-indicators of corporate performance and culture – not absolute measures.

- The supplier shall have arrangements in place for proactive and reactive monitoring and analysis of its (and its suppliers') performance. The arrangements shall include the:
 1. *setting of appropriate health safety and environmental objectives;*
 2. *collection of data including:*
 - (i) *site inspection reports;*
 - (ii) *performance against objectives (including safety & environmental);*
 - (iii) *accident frequency rates (AFRs or alternative measures appropriate to supplier size and scope of work);*
 3. *analysis of performance data, including the identification of trends and significance of data;*
 4. *production of reports that set out the performance data and the analysis;*
 5. *review of performance reports at senior management level;*
 6. *review of suppliers' performance with the suppliers;*
 7. *identification, tracking and the close out of corrective actions and/or improvement plans;*
 8. *testing the adequacy and effectiveness of risk controls;*
 9. *identification of new/emergent and changing risks.*

Note: Suppliers shall be mindful that the setting of corporate objectives does not have unintended 'cultural' consequences such as the under-reporting of close calls, near misses and RIDDOR-reportable accidents. The emphasis during analysis and interpretation of data shall be on consideration given to the statistical significance of data collected and as a guide to improvement.

Appendix A.Compliance Matrix

Note there is no material change in the requirements of the NR/L2/CPR/302. The order of the clauses in this document differs from NR/L2/CPR/302 in order to facilitate the audit process.

Clause in this document	Clause in NR/L2/CPR/302
1. Management system	6.4
2. Insurance arrangements	6.24
3. Policies	6.1
4. Organisation and responsibilities	6.2
5. Individual qualifications and experience of staff in 'key roles'	6.3
6. Provision of competent health, safety and environment advice	6.14
7. Competence management	6.5
8. Personal track safety and the Sentinel Scheme requirements	6.13
9. Employment medicals	6.6
10. Alcohol and drugs arrangements	6.7
11. Managing refusals to work on grounds of health and safety	6.8
12. Managing worker and suppliers' workers' fatigue	6.9
13. Selection of safety critical products and plant	6.19
14. Use of plant and equipment (including safety critical)	6.19
15. Selection and management of supplier's services; including safety critical services	6.19
16. Control of bribery	6.23
17. Reviewing changes to customer and regulatory requirements	6.11
18. Document management	6.12
19. Internal and external communication arrangements	6.15
20. Workforce involvement	6.17
21. Risk assessment	6.20
22. Co-operation and co-ordination	6.21
23. Health, welfare, wellbeing	6.22
24. First aid at work arrangements	6.10
25. 'Close Call', 'Near Miss' and Accident reporting and investigation	6.18
26. Site inspections	6.16
27. Audit of the management system	6.16
28. Monitoring and review of corporate safety and environmental performance	6.16

Issue Record and Copyright

This protocol will be subject to change and updating as a result in the following areas:

- Changes in applicable statutory instruments.
- Recommendations from enforcement authorities or industry bodies focusing on either prevention of accidents or new best practice.
- Changes in the Link-up scheme requirements.

The document will be made available on the Link-up portal. An appropriate notification will be placed on the portal advising of any changes made to the document.

Version	Date	Author	Comments
V20110913	13/09/2011	K Morse	Amended contents to reflect Network Rail Standard NR/L2/CPR/302. Amended document format to align with other Achilles schemes
V20110915	15/09/2011	K Morse	Amended to Corporate branding
V20111003	03/10/2011	K Morse	Amend document title from 'Protocol' to 'Module'. Remove incorrect reference to clause 6.4 from Section 1. Include additional guidance in Section 2 'Insurance Arrangements' on Auditors approach regarding insurance levels. Section 5 -Correct the reference in the text from section 2 to section 4. Section 12 – amend Notes. Amend Appendix A to correct referencing errors.
V20111005	05/10/2011	K Morse	Provide additional guidance on the requirement for 'for cause' contracts. Amend Appendix A.

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