

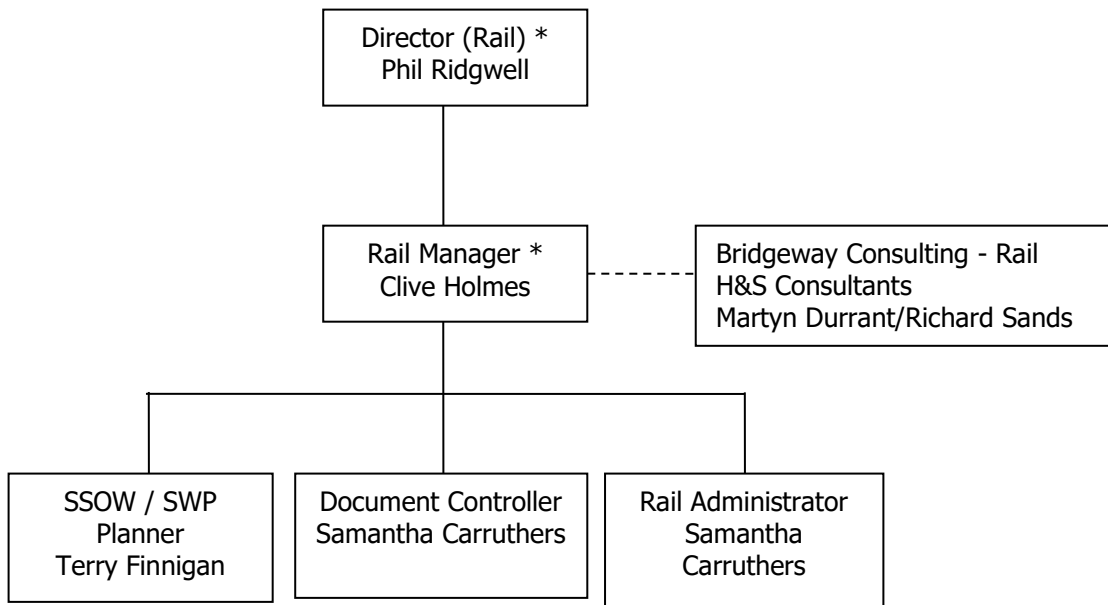


Procedure - Rail

Subject: Organisation and Responsibilities

Below is our (Core Rail) organisational framework to ensure the safe and efficient delivery of Rail Contracts. We (Core Rail) have designated key roles within the organisation to ensure that responsibilities are designated to individuals, and hence are accountable for these areas of the business.

Organisational Chart (Rail Operations)



With each of the roles, the specific responsibilities have been detailed below. All role holders and a deputy to each role are asked to sign a declaration that they accept their role. The declarations are maintained within Section J of this manual.

Note: (*) In relation to Safe Work Plan (SWP) activities undertaken by the business, the Director (Rail) shall undertake the role of Senior Manager and the Rail Manager shall undertake the Responsible Manager role. See rail procedure Rail/PR/37 SWP Rules for further details in this regard.

Role and responsibility of Director (Rail) – Senior Manager Responsible for Safe Work Plan

Minimum Competency Requirements to perform this role:

- Be of senior management status within the company
- A minimum of 5 years' experience within the industry
- Be competent with suitable and sufficient experience in setting policy, procedure and guidance for SWP activities.

The Director (Rail) will:

- Take overall responsibility for all matters affecting the Rail Business. Set strategy and policy. Be responsible for developing and implementing Rail specific policies/procedures covering all the Rail business operations, taking regard of health and safety, quality and the environment.
- Ensure the Health, safety and welfare of all rail employees.
- Provide adequate resources, including finance and time, for implementation of the Rail Management System.
- Appoint, in writing, sufficient numbers of competent persons to assist in the implementation of the policies.
- Ensure that the Management System is fully implemented at all times by personnel under his control.
- Ensure that adequate arrangements exist for effective risk assessment and control, including provision of appropriate personal protective equipment (PPE) and recording of its issue to staff.
- Ensure that all Sentinel Scheme Rules are complied with.
- Be responsible for ensuring that adequate records are kept for staff concerning safety issues such as Safe Working Hours, competence, certificates, medical fitness, etc.
- Ensure that all personnel receive adequate training and instruction relevant to the tasks they perform.
- Ensure that all accidents, incidents and cases of work related ill health are reported (including reporting under RIDDOR); investigated and appropriate corrective action is taken to prevent recurrence.
- Arrange for audits of site work to be carried out on a predetermined basis.
- Chair internal meetings to review safety performance, accidents, changes to standards and training disciplines.
- Set rail division budgets and targets
- Appoint a deputy to fulfill this role in the event of absence.

In relation to SWP activities the Director Rail is responsible for:

- Ensuring that all SWP Rules are complied with.
- Assigning competent SWP personnel including Responsible Managers.
- Monitoring the effectiveness of SWP activities undertaken by the business.

Roles and Responsibilities of Rail Manager – Responsible Manager for Safe Work Plan

Minimum Requirements to Perform this Role:

- A minimum of 3 years' experience within the industry
- Be in a position within the company to effectively liaise with the Director Rail, Rail Administrator, and Document controller.
- Hold Area Authority competence

The Rail Manager will:

- Ensure that Management System Procedures are implemented and maintained, including:
 - Risk assessments
 - First aid provisions
 - Medical Examinations
 - Drugs and alcohol testing (including unannounced tests to Network Rail standards)

and that they are adequate for the business activities, they are reviewed as necessary, kept up to date and any control measures resulting from assessments are implemented.

- Ensure that the Rail Administrator is aware of and understands the Rail procedures and instructions and adheres to them at all times.
- Ensure that the Document Controller understands his/her role and is implementing the document control procedure.
- Provide adequate resources, including finance and time, for implementing the Management System.
- Ensure that the place of work under his/her control is maintained in safe and hygienic condition.
- Manage the operations of their staff in accordance with all Network Rail requirements both in the office and on site.
- Ensure that only competent certificated staff are used for elements that could affect safety in any way.
- Ensure that all accidents, incidents and cases of work related ill health are reported (including reporting under RIDDOR); investigated and appropriate corrective action is taken to prevent recurrence.
- Ensure that the training and development needs of staff (including contract and temporary staff) are identified and
- Appropriate training and instruction relevant to the tasks they perform provided. Ensure approved training organisations are employed.
- Ensure new staff receive appropriate inductions prior to commencing work.
- Ensure that all necessary protective clothing and safety equipment is available, is in good working order and is used by staff.
- Ensure that recruitment procedures comply with Network Rail requirements by carrying out pre-employment competency and literacy/numeracy assessments and that candidates are met face to face.

The Rail Manager is also responsible for:

- Keeping employees up to date with Network Rail Company and Group Standards by obtaining and regularly reviewing updates and taking appropriate action. Expert advice will be sought if necessary.
- Keeping employees up to date with Health and Safety legislation and guidance by obtaining and regularly reviewing updates and taking appropriate action. Expert advice will be sought if necessary.
- Keeping employees up to date with our (Core Rail) policies and procedures.
- Bringing any issues or concerns to the attention of the Managing Director.
- Ensuring a deputy is appointed to fulfill this role in the event of his absence.



- Reporting Injuries, Diseases and Dangerous Occurrences under RIDDOR (This duty can be delegated to another nominated person if required).
- Assessing First Aid and welfare arrangements on site
- Planning work
- Producing and delivering Briefing material
- Carrying out Internal and site audits.
- Investigating accidents and incidents
- Taking responsibility for procuring products and services

In relation to SWP activities the Rail Manager is responsible for:

- Ensuring that SWP activities are assigned to competent SWP Planners.
- Timely and adequate preparation of the plan by the planner and for commissioning and validating the plan.
- Critical decision making for how work is prioritised, planned and delivered.
- Nominating who will undertake the Safety Critical roles in a plan.
- Accepting or rejecting the plans produced by the planner, including verifying that the level of protection is appropriate for the location and nature of work.
- Monitoring performance data for their area of responsibility, including the level of protection provided, and the number of plans rejected or changed on site.
- Be competent with suitable and sufficient experience in managing Safe Work Plan to oversee SWP activities and specify protection needs to the planner.
- Be able to demonstrate their ownership of the planning process and Safety Critical decision making.

Role and responsibilities of the SSOW / SWP Planner

Minimum Requirements to perform this role:

- 3 years minimum experience within the Rail sector
- PTS competence
- SSOW / SWP Planner competence
- Authorising Authority competence in relation to Safe Work Plan

The SSOW / SWP Planner will:

- **In relation to SWP activities**
 - Ensuring that SWP activities are assigned to competent SWP Planners
 - Timely and adequate preparation of the plan by the planner and for commissioning and validating the plan
 - Critical decision making for how work is prioritised, planned and delivered
 - Nominating who will undertake the Safety Critical roles in a plan
 - Accepting or rejecting the plans produced by the planner, including verifying that the level of protection is appropriate for the location and nature of work
 - Monitoring performance data for their area of responsibility, including the level of protection provided, and the number of
 - plans rejected or changed on site
 - Being competent with suitable and sufficient experience in managing Safe Work Plan to oversee SWP activities
 - and specify protection needs to the planner
 - Being able to demonstrate their ownership of the planning process and Safety Critical decision making

- **In relation to SWP activities as SSOW / SWP Planner**
 - Being fully trained and competent in SSOW / SWP delivery and arrangements
 - Have the primary duty to develop and document the plan and any associated communication and cooperation monitoring as directed by the Contracts Director (Senior Responsible Manager).
 - Have access to appropriate and competent resources in relation to SSOW / SWP activities including lift planning and adjacent line open working activities



Roles and Responsibilities of Rail Administrator

Minimum Requirements to perform this role:

- Have access to all relevant Personnel, including records generated on their behalf

The Rail Administrator will:

- Understand the Rail Management System and Network Rail standards.
- Provide adequate time for implementing the Management System.
- Ensure that all staff with a PTS competency or above receives pre-employment medical and drugs and alcohol tests
- Ensure all Primary Sponsored PTS Staff complete and sign a Contract for Sponsorship.
- Arrange random drugs and alcohol tests for those persons identified by the Rail Manager. Ensure RISQS approved suppliers are used.
- Responsible for maintaining and updating the Sentinel / Sentinel website.
- Ensure that staff who hold IWA competency or above receive competence assessments to the required frequency. Ensure competent registered assessors are used.
- Ensure that the Rail Manager is made aware of all accidents, incidents and cases of work related ill health.
- Maintain local staff records.
- Maintain a Health and Safety filing system.
- Ensure new staff receive appropriate induction documentation prior to commencing work and that relevant documents are returned and filed.
- Ensure that all staff have completed a PPE register and that this is kept up to date.
- Obtain and distribute PPE as necessary.
- Manage the audit programme to ensure that system audits and site audits are carried out and that records are filed as appropriate.

The Rail Administrator is also responsible for:

- Any other tasks formally delegated by the Rail Manager or other senior manager.
- Bringing concerns to the attention of the Rail Manager.
- Ensuring a deputy is appointed to cover this role in the event of absence.



Role and responsibilities of the Document Controller

Minimum Requirements to perform this role:

- To have had basic in-house training on how to effectively manage documents

The Document Controller will:

- Understand the Rail Management System Document Control policy and procedure.
- Provide adequate time for implementing the Document Control procedure.
- Maintain a library of controlled documents.
- Maintain a list of documents which are controlled documents, including full titles and versions of documents.
- Maintain a register of controlled documents which have been issued to staff, including details of version of document sent, member of staff, date of issue and acknowledgement of receipt.
- Ensure that receipts are obtained for controlled documents issued to staff. Ensure receipts are filed.
- Ensure that any controlled documents issued are stamped as controlled and marked with date of issue.
- Order new and updated documents as instructed by the Rail Manager.
- Maintain a list of addresses from which Railway safety related documents can be ordered.
- Ensure a deputy is appointed to cover this role in the event of absence.



Roles and Responsibilities of Bridgeway Consulting acting as Rail Health and Safety / Management System Consultants

Minimum Competency Requirements to perform this role:

- NEBOSH general Certificate, and working towards membership of IOSH
- A minimum of 3 years' experience within the Rail industry

For the life of, and within the terms of the contract with Core Rail, Bridgeway Consulting will;

- Provide rail specific safety advice and advice on the Rail Management System.
- Provide regular rail safety and general health and safety newsletters and bulletins.
- Provide, on request from us (Core Rail), expert Health and Safety advice which can be obtained from our qualified Health and Safety Manager.
- Carry out (on request) at least 2 audits of the Rail Management System annually, provide a report and assist with remedial actions if necessary. These audits are programmed in the programme of audits within the Rail Management System. Our (Core Rail) Rail Administrator is responsible for managing the programme and arranging the audits.
- On request, attend external audits in an advisory and supporting capacity.
- On request, provide an experienced rail accident/incident investigator to report on any accidents or incidents in which our (Core Rail) staff are involved.



Roles and Responsibilities of Safe Work Leaders (SWL)

Minimum Competency Requirements to perform this role:

- SWL competence

The Safe Work Leader will:

- Be fully trained and competent in the SWL role.
- Meet the requirements within the Planning and Delivery Safe Work (PDSW) Handbook.
- Be responsible for the management of operational and task risk associated within a worksite.
- Ensure compliance with associated Rule Book modules, Network Rail / Railway Group standards, Sentinel Scheme and SWP Rules when undertaking work on or near NRMI.
- Ensure compliance with all Core Rail documented management system arrangements, specifically those included within the company's Rail Management System.
- Maintain appropriate local knowledge in relation to location of works.
- Ensure appropriate communication with the SWP Planner in relation to SWP planning documentation produced and provide feedback regarding previous planning documentation utilised.