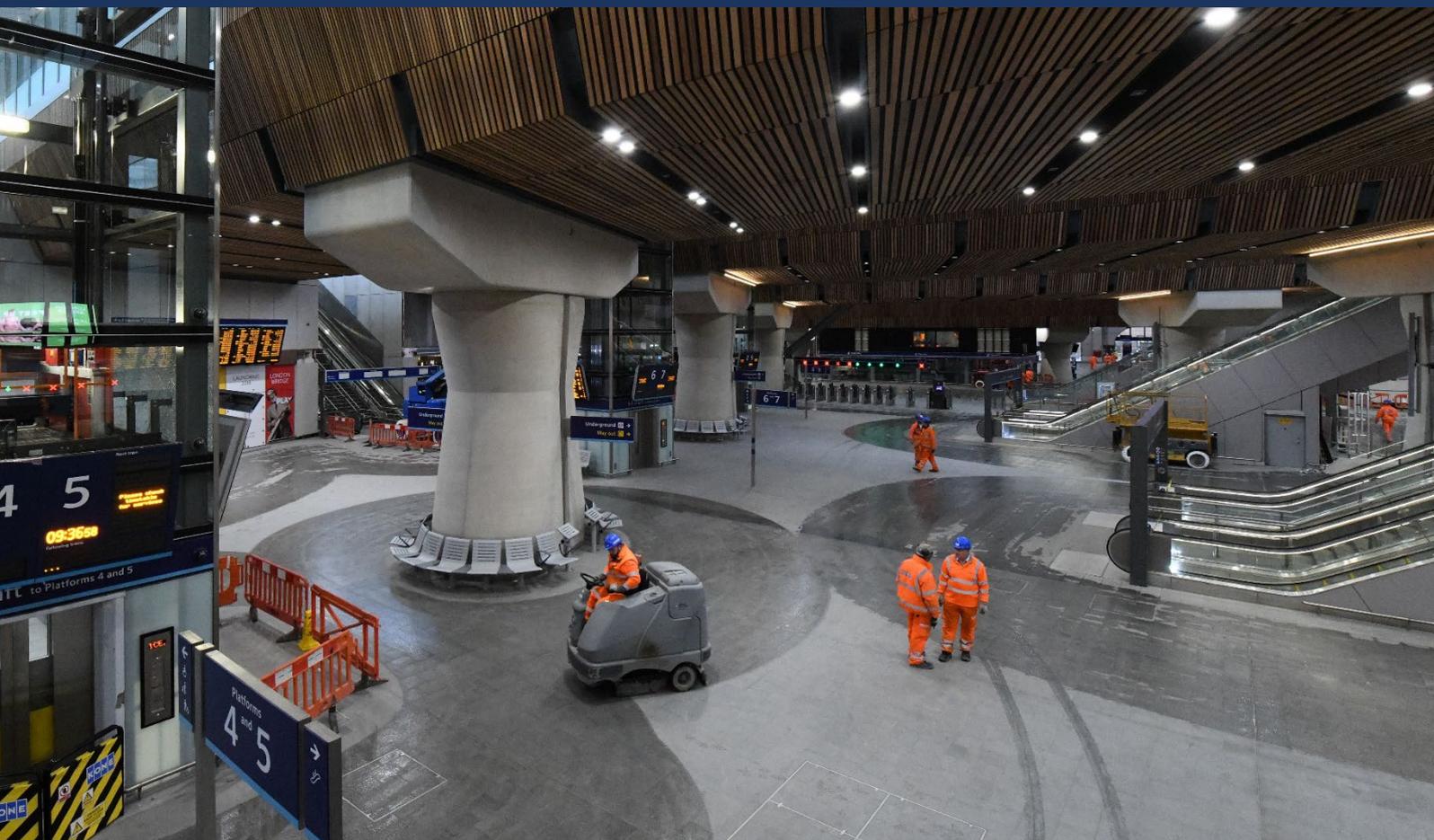


## RDG Guidance Note: Selection and Management of Contractors

RDG-OPS-GN-024  
Issue 3 – October 2019



## About this document

### Explanatory Note

The Rail Delivery Group is not a regulatory body and compliance with Guidance Notes or Approved Codes of Practice is not mandatory; they reflect good practice and are advisory only. Users are recommended to evaluate the guidance against their own arrangements in a structured and systematic way, noting that parts of the guidance may not be appropriate to their operations. It is recommended that this process of evaluation and any subsequent decision to adopt (or not adopt) elements of the guidance should be documented. Compliance with any or all of the contents herein, is entirely at an organisation's own discretion.

Other Guidance Notes or Approved Codes of Practice are available on the [Rail Delivery Group \(RDG\) website](#).

### Executive Summary:

This Guidance Note provides advice on the selection and management of contractors and other outside parties undertaking work on company premises to properly control the risks arising from such work to customers, staff, members of the public and contractors themselves.

### Issue Record

Issues 1 to 2 of this document were published as: RDG-GN024.

Issue	Date	Comments
1	March 2015	To replace Good Practice Guide ATOC/GPG007 on same subject
2	June 2019	Updated, restructured and further guidance included
3	October 2019	Put in RDG format and some minor updates

This document is reviewed on a regular 3-year cycle.

### Authorised by:



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# 1 Introduction, Purpose and Scope

## 1.1 Introduction

Railway undertakings routinely employ contractors to undertake work on their premises where the necessary skills and/or resources are not available 'in house'. In addition, contractors appointed by other rail industry parties – such as Network Rail – may also require access to undertake work in areas owned or controlled by Railway Undertakings. Beyond this, tenants and other outside agencies may also, from time to time, seek access for their own purposes, e.g. for filming, conducting surveys, interviewing, etc. Routine deliveries of supplies/goods to retail outlets are not considered as work for the purposes of this Guidance Note.

The railway is by its nature a particularly hazardous environment. Use of contractors, particularly where building work or similar is involved, has the potential to increase risks to staff, customers and members of the public. At the same time, a Railway Undertaking's duty of care responsibilities extends to contractors and there is hence a requirement to ensure that information on the risks likely to be encountered and how to manage them, along with actions to be taken in an emergency, are drawn to their attention. The use of contract cleaners also imparts risks both to themselves and other railway workers.

In accordance with ROGS, documentation provided to and received from contractors are subject to version control and the application of document control principles. Documents should be retained in accordance with the TOC document retention policy.

## 1.2 Purpose

The purpose of this document is to assist Railway Undertakings to manage the risks associated with contractors and visitors performing work on premises they control. It suggests measures and applied systems to be considered when reviewing TOC standards (within the SMS) for the selection and appointment of such contractors, access to site and authorisation and the management and monitoring of work being undertaken.

The principles may also be used to control imported risks from contractors brought in by Infrastructure Managers or tenants, and working visitors for example, film crews.

## 1.3 Scope

This guide is produced for the benefit of all member organisations of the RDG Train Operators Operations Scheme.

Its application is limited to areas under the direct control of the Railway Undertaking. This guide does not apply to:

- i. Contracts for goods or contracts where work takes place at premises not controlled by the TOC (e.g. maintenance of the fleet by external maintainers at their depots).
- ii. Contracts for the lease or hire of road vehicles, rail vehicles or premises.
- iii. Contracts for provision of goods, materials or equipment.

Where contractors are not appointed by the Railway Undertaking (e.g. when engaged by Infrastructure Manager or a tenant), there should be a clear written understanding of safety responsibilities.

Where the leaseholder sub-leases premises to tenants, it is the responsibility of the leaseholder to ensure tenants manage their own contractors in a way that is appropriate to the work and does not import risk to the leaseholder's activities. Any contractor employed by a tenant to perform work should 'sign in' with the leaseholder prior to starting work.

Routine deliveries of supplies/goods to retail outlets are not considered as work, for the purposes of this Guidance Note. 'Signing in' is not necessary for people performing this activity.

## 1.4 Definitions used within this document

For the purpose of this guidance and preparation of company specific documents the following definitions can usefully be applied:

<b>Term</b>	<b>Definition in the context of this document</b>
<b>Access Permit</b>	An authorisation giving permission for a named individual to enter a Railway Undertaking owned or controlled site. It does not authorise the commencement of work. It may also be known as a Site Access Authority.
<b>CDM</b>	The Construction Design and Management Regulations 2015. These Regulations apply to defined construction projects and construction work, including maintenance of premises.
<b>Client</b>	An organisation or individual for whom work is carried out. This is normally the Railway Undertaking, represented by the Sponsor, Procurement Manager and Contract Manager.
<b>Contract</b>	A written agreement between the Railway Undertaking and Contractor to provide goods and/or services against an agreed specification.
<b>Contract HSE Review</b>	A meeting held to review overall contract health, safety and environmental performance for the purposes of feed back into the procurement process and learning lessons for the award of future contracts.
<b>Contract Manager</b>	Person nominated to manage a contract and can either be a direct TOC employee or a nominated competent resource
<b>Contractor</b>	A company or person employed by another organisation which/who has been appointed to undertake work on premises controlled by a Railway Undertaking. Where appropriate, and in line with the Railway Standards definition, this is deemed to include personnel and agents of contractors, sub-contractors and their personnel and agents and any other persons under the direction and control of the Contractor whilst on the premises.
<b>Local Manager</b>	A person specified as having the responsibility for the management of premises.
<b>Term</b>	Definition in the context of this document
<b>Infrastructure Manager (IM)</b>	Any body or undertaking that is responsible in particular for establishing and maintaining railway infrastructure. This may also include the management of infrastructure control and safety systems. This is defined in Railways and Other Guided Transport Systems (ROGS). For the purpose of this document, organisations responsible for station operations are regarded as Railway Undertakings. Within the context of this Guidance Note, it is likely that Network Rail will assume this responsibility in most cases, though there are some exceptions, such as depot, train maintenance facilities and some stations where a Railway Undertaking may be the IM.
<b>Method Statement</b>	A written document which details the safe steps carried out during works, taking into account, the implementation of appropriate controls, as identified within associated risk assessments
<b>Permit to Work</b>	An authorisation giving permission, within defined limits of time, location and methods of work, for a named individual to commence work in a Railway Undertaking controlled site.
<b>PPE</b>	Personal Protective Equipment
<b>Procurement Manager:</b>	Person nominated to procure the contract; usually the Head of Procurement or a member of their team.
<b>Railway Undertaking (RU)</b>	Private or public undertaking whose business is to provide rail services for the transport of goods and/or passengers with a requirement that the undertaking must ensure traction. For the purpose of this document, 'Railway Undertaking' also includes Station Operators.
<b>Railway Undertaking Local Manager</b>	The person responsible for control of the premises for a Railway Undertaking
<b>Risk Assessment</b>	For the purpose of this document, 'Railway Undertaking' also includes Station Operators.
<b>RISQS</b>	Railway Industry Qualification System Scheme which offers potential suppliers a single common qualification process. It is shared by the UK

	rail industry.
<b>Safety Critical Work</b>	Work within the scope of Part 4 of the Railways and Other Guided Transport Systems (Safety) Regulations 2006 as amended.
<b>Sponsor</b>	An individual or body for whom works or construction projects are carried out. This can be an external organisation or individual within the Railway Undertaking

## 2 Principles

### 2.1 Six-step process

A six-step process based on the DuPont® six-step methodology for contractor safety management can be applied to the health, safety and environmental management of contracts as shown below. This is fully aligned with and supports the "[Plan, Do, Check, Act](#)" principles of the HSE HG 6.



This should involve:

[Selection](#) of potential contractors through pre-qualification arrangements which ensure that only suitably competent and financially viable contractors are registered to work for the TOC.

[Preparation](#) of contracts including their scope and relevant health, safety and environmental requirements, and issue of Invitations to Tender.

[Award](#) of contracts, either as a result of tendering or via a Single Tender Action, taking into account the health, safety and environmental competence and performance of the contractor.

[Familiarising](#) and orienting the contractor with the locations and relevant health, safety and environmental risks prior to the commencement of work.

Appropriate levels of health, safety and environmental [supervision](#) and/or monitoring of contractors – including the use of performance statistics and indicators – depending on the nature of the contract and the risks involved; this includes both the contractor's own internal arrangements and supervision and monitoring by the Railway Undertaking.

[Rating](#) and validation of contractor health, safety and environmental performance and use of this information to inform future contractor selection decisions.

This guidance note is structured in such a way that this methodology can be applied.

## **3 Selection of Potential Contractors and Contract Award**

### **3.1 Pre-qualification**

Consideration should be given to establishing a mechanism to permit pre-qualification of contractors - see *Appendix A*. This pre-qualification of potential contractors should as a minimum require the applicant to provide a clear demonstration of their health, safety and environmental competence to carry out the activities for which they wish to be considered for contract. A supplier questionnaire may be used to assist qualification and to provide information to audit the supplier. This may include demonstrating successful RISQS audit results in relevant product categories.

Railway Undertakings should have in place a person or persons (Sponsor) designated as having authority to appoint contractors according to the nature and extent of the work being tendered.

### **3.2 Preparation of the contract**

A Sponsor should be identified from within the Railway Undertaking for each contract to be let, this includes any work to be undertaken by Network Rail.

Railway Undertakings should prepare a standard information pack that can be made available to potential contractors including the scope of the work and setting out their safety and security requirements, policies and key contact personal along with acceptable behaviours expected within a railway environment. Information regarding known hazards which may be encountered should be provided in the invitation to tender to prospective contractors as part of the pre-tendering of the work to allow the contractor to make adequate provision for safety within the contract proposal - see *Appendix B*.

### **3.3 Award**

All tenders and/or proposals for work should be reviewed prior to contract award by a procurement professional, the sponsor and if necessary other specialist expert advice such as from the Head of Safety, Engineering etc. The review should include specific consideration of the contractors HSE performance, previous contract delivery and contractual arrangements. Sufficient time should be allocated for the review.

A designated Contract Manager should then be appointed with sufficient time and expertise to manage the contractual arrangements as well as be a point of contact between the Railway Undertaking and the contractor (this could be the sponsor or another person engaged for this task).

### **3.4 Contracts Involving High Risk Activities**

High risk activities include those:

- i. Where work is to take place in a hazardous area (e.g. near to live rails or moving trains).
- ii. Where work activities may create hazards to Railway Undertakings employees or passengers (e.g. working on stations whilst they are open to passengers).
- iii. Involving high hazard works, such as working at height, hot works, work in confined spaces, work with asbestos, etc.
- iv. Involving the Contractor carrying out Safety Critical Work.

- v. When performing such activities the contractor must be able to demonstrate that risk assessments have been undertaken and suitable method statements or similar produced. They should also be able to demonstrate that adequate supervision and monitoring arrangements will be in place when such activities are being undertaken.

In such circumstances, additional checks and information could also be used, for example Work Access Permits (Appendix C) and/ or Permits to Work (Appendix D). Self Certification for working near lines may be required - see Appendix E.

## 4 Briefing, Monitoring and Supervision of Contractors

### 4.1 Familiarisation

If the work is of a very minor nature and the contractor is to be accompanied throughout by a member of the Railway Undertaking's own staff then it may be more appropriate to use the access arrangements in place for visitors.

The Contract Manager should have arrangements in place to supply Contractors with the following location-specific information (as relevant to the contract) prior to the commencement of work at any Railway Undertaking controlled premises.

- i. Details of any known hazard that the Contractor may encounter (e.g. asbestos, buried services, etc.).
- ii. Means of access and egress from the site (including any authorised walking route).
- iii. Any relevant site drawings relating to the location where work is to take place and which are appropriate to the nature of the work.
- iv. Details of evacuation procedures and local emergency plans.

The Contract Manager should arrange a pre-start meeting with the Contractor and, where appropriate, the Local Manager, which should include consideration of:

- i. The scope and nature of the contract.
- ii. Relevant contract documentation.
- iii. Arrangements for managing interface risks.
- iv. Arrangements for communication between the Contractor and the Local Manager.
- v. Means of communicating with the Local Manager of the Station or Depot.
- vi. Site specific safety briefing.
- vii. Details of any other Contractors or Railway Undertakings operations that the Contractor may encounter.
- viii. The Contract Manager should establish arrangements for communication with the Contractor, for the duration of the contract including arrangements for the reporting of accidents and incidents.

Contract documentation and where relevant Construction Phase Plans for CDM works should be available and detail the contract roles and responsibilities and include contact names, numbers and detailed arrangements for emergency and out of hours' communication.

Except for the most simple tasks, the Contractor should provide suitable risk assessments and methods of work. Guidance on their contents is in *Appendix F*.

Additional items for consideration in orientation are found in *Appendix G*.

## 4.2 Monitoring and supervision

Responsibility for determining the level of supervision and monitoring required for the work and ensuring that contractors are complying with the arrangements laid down in the contract and agreed Method Statement should be assigned to the appointed Contract Manager.

The extent and frequency of the supervision and monitoring should be proportionate to the degree of risk involved in the delivery of the Contract. The more significant the risks to health and safety and/or environment created by the work, the higher the level of supervision and monitoring of the Contractor required.

The Contract Manager should:

- i. Co-ordinate the Contractor, Local Managers and other interested parties to identify any health, safety and environmental issues that need to be resolved and who will have responsibility for doing so, (e.g. for providing a safe work area, for development of site rules, for training, for provision of tools, equipment, PPE, etc.).
- ii. Conduct recorded checks of the Contractor's own processes for the monitoring of its health, safety and environmental performance of the Contract.
- iii. Monitor contractors' health, safety and environmental performance through site inspections and audits. The extent and frequency of such monitoring should be proportionate to the degree of risk involved in the delivery of the Contract. Compliance with any Permit to Work conditions is a simple way to check performance if this system is used.
- iv. Check that accidents and incidents are correctly recorded reported and investigated by the Contractor.
- v. Conduct health, safety and environmental review meetings; these may be part of a regular contract review meeting.
- vi. Carry out regular reviews of the level of supervision and monitoring and adjusting it as necessary to make sure that it reflects the ongoing risk profile of the work. Circumstances where an increase in level of supervision or monitoring may be appropriate include:
  - a. A significant change to the activity or equipment used.
  - b. Where there have been health, safety or environmental incidents (including incidents of non-compliance).

# 5 Reporting

## 5.1 Health, safety and environmental violations

Any non-conformance with the contract and/or health, safety and environmental requirements identified should be recorded and drawn to the attention of the contractor (and to the Contract Manager / the body engaging them if not the Railway Undertaking) and work should be stopped immediately if necessary.

If the deficiencies are not rectified in an acceptable manner or within an acceptable timescale work should not resume until the site is made safe.

Any member of railway staff has the right to stop contractors from working if they believe the safety of people is being compromised.

Contractors should be required to accept the right of the Railway Undertaking, Infrastructure Manager, the ORR, etc. to conduct monitoring, inspection, audit and investigation of work being undertaken. For

protection of worksites, this can take place without prior notice, though visits within worksites should, where practicable, be planned ahead.

## 5.2 Record Keeping

The Contract Manager should ensure that:

- i. Records are made of all checks, inspections and audits, including details of any identified non-conformances.
- ii. Notes of health, safety and environmental review meetings are recorded, including identification of any actions, who is responsible for their completion and when they are to be completed.

These records should be retained in accordance with the Railway Undertaking's document retention policies.

# 6 Completion of Work

## 6.1 Principles

Work undertaken by contractors should not be accepted as complete until all materials and waste have been removed and disposed of in accordance with environmental legislation, an assessment has been undertaken to ensure that there are no hazards remaining and any services which were isolated in connection with the work, have been re-instated.

If any hazards are identified they should be reported immediately to both to the contractor, who remains responsible for ensuring that the site is hazard free, and to the responsible manager, who should ensure that appropriate action is taken to safeguard the site pending correction.

# 7 Post Contract

## 7.1 Review

The Contract Manager should be responsible for feeding back the results of monitoring of contractor health, safety and environmental performance, including accident and incident rates, to the Procurement Manager to allow this information to be recorded within the Register of Approved Contractors and taken into consideration in any future procurement exercise.

At or towards the end of larger, more complex contracts (at the discretion of the Procurement Manager) the Contract Manager should arrange a formal Contract HSE Review to be held with the Contractor's senior management. This review should include consideration of:

- i. Overall health, safety and environmental performance throughout the contract, which may be demonstrated through reference to leading and lagging indicators, accident and incident reports, close call reports, results of audits and inspections, etc.
- ii. Performance of all parties in the discharging the contract health, safety and environmental requirements.
- iii. Learning points for all parties to be applied to further procurement and/or contracts.

A similar process should be adopted in relation to long-term contracts (e.g. for facilities maintenance and train presentation) with Contract HSE Reviews taking place prior to any re-tendering exercise and at the end of the contract

Results of Contract HSE Reviews should be communicated to the Procurement Manager to allow their incorporation within the Register of Approved Contractors and to allow lessons to be learned as appropriate.

## 8 Additional Information

### 8.1 Relevant HSE publications

Attention is drawn to the following Health & Safety Executive (HSE) publications:

[Leaflet INDG368 \(rev1\)](#)

[Guidance HSG159 'Managing Contractors – A Guide for Employers'](#), downloadable for free.

[HSE document L153 – Managing Health & Safety in Construction](#)

## Appendices

The example forms provided in the following appendices are illustrative only and have been provided as guidance demonstrating those typically used by TOCs.

They are by no means prescriptive and may require customisation and adaption as circumstances dictate.

There is no requirement that precludes forms being completed and issued electronically if permitted by the TOC SMS.

## Appendix A – Pre-qualification

Consideration should be given to establishing a mechanism to permit pre-qualification of contractors.

Granting of pre-qualification status should be based on consideration of appropriate criteria, which may include the following:

- i. Possession of recognised quality, environmental, technical, professional and safety certifications.
- ii. Technical and professional design, production and/or process competencies on the part of both the company and its employees.
- iii. A sound understanding of Health and Safety requirements and associated applicable legislation.
- iv. Demonstration of an adequate Safety Management System.
- v. Relevant experience (demonstrated through provision of examples and values of similar contracts), previous experience of the contractor should be used if available.
- vi. Demonstration of financial stability.
- vii. Capacity and resources (including people) to deliver the requirements of the contract.
- viii. Records and references of known service quality.
- ix. The extent to which sub-contractors are used and managed.
- x. Insurance details.
- xi. Details of any prosecutions, prohibition or improvement notices within the last 3 years.
- xii. Accident and environmental record.
- xiii. Current competency statements already held.

## Appendix B – Provision of Information to Prospective Contractors

Prior to the appointment of a contractor, the nature of the work to be undertaken should be fully specified, so as to reflect, in particular, the following:

- i. How the requirement for cooperation, coordination and communication with all interfacing parties will be met, including incident and close call reporting.
- ii. Nature and location of the work.
- iii. Any specific risks or hazards identified (e.g. in proximity to overhead live wires, third rail, in an operational safety zone).
- iv. Whether normal rail traffic will be affected.
- v. Whether isolation of overhead line equipment is needed.
- vi. Whether isolation or disconnection of services is required.
- vii. Whether any track possessions are needed.
- viii. Will public and/or staff access and egress be impeded by the work.
- ix. Whether any chemical or flammable substances will be used or stored on the premises.
- x. Whether any mechanical plant will be required during the work, such as generators, tow tractors, or mobile platforms.
- xi. Any restrictions on times during which any work may be carried out, including start and end dates.
- xii. Whether work will have any effect on the general working environment, e.g. noise, dust, smell.
- xiii. Whether or not the work is of a safety critical nature should be expressly identified and recorded.
- xiv. If the work involves disconnection of electrical supplies or fire systems, consider the effects on other parts of the premises.
- xv. Arrangements for monitoring (the contractor on themselves and subcontractors), and the TOC on the contractor.
- xvi. For longer term projects/service contracts it might be appropriate to agree health & safety performance targets with the contractor.
- xvii. The environmental arrangements for the safe segregation and storage disposal of waste in accordance with EPA (Environmental Protection Authority) /SEPA.
- xviii. Any emergency or contingency arrangements, where the current location arrangement require expansion or temporary change.

- xix. As part of the appointment process, and taking into account pre-qualification information (if applicable), the person responsible for appointment should assess the suitability of potential contractors to undertake the specified work. This assessment should take into account the criteria included in Appendix A to the extent that these are relevant to the specification. Individual members of contractor staff required to undertake specialist tasks or operate specialist equipment (e.g. welders, electricians, gas fitters) should be able to prove their competence by demonstrating that they are certified by or registered with the appropriate national trade federation or similar.

## Appendix C – Work Access Permit

Identified in section 5.2 above, or if required in the Railway Undertakings SMS, the contractor should apply for an Access Permit authorising access to the site in respect of each individual concerned. A separate Access Permit may be issued to each individual or alternatively a single such Permit may be issued in respect of the work group, with each member of the work group named individually on it.

Where Access Permits have been issued to individuals then all such persons must be in possession of a valid Access Permit prior to first entering the work site. The Permit should include their name and company details. It should be worn visibly at all times when on site. An example Access Permit is provided in Appendix D.

Where an Access Permit has been issued in favour of a work group then the valid Access Permit must be produced prior to the first member of the work group entering the work site. The Permit should include the company details and the names of all members of the work group.

In addition, each work group member is required to hold an individual id card (which may incorporate a photo of the holder) which must be worn visibly at all times when on site. If the I.D. card does not have a photo, then a suitable means of photo id, e.g. passport, photo driving licence, or national identity card should be readily available to be produced

### Applying for access

Railway Undertakings should have in place a standard application form which should be supplied on request to those seeking an Access Permit. This form should, as a minimum, require the following information to be provided:

- i. Company details (name, address, contact phone number).
- ii. Name, job title, and signature of individual requiring permit.
- iii. Where the permit is required.
- iv. Nature of the required access (where, between what dates and what times and why).
- v. Contract number.
- vi. Indication as to whether a previous permit has ever been declined or withdrawn (with details if this is the case).

### Issue

Railway undertakings should have in place a person or persons designated as having authority to issue Access Permits. On receipt of the completed Access Permit application form(s) the designated person should undertake a review of the details supplied, taking into account as a minimum the following:

- i. All sections have been completed correctly.
- ii. Access has not been previously refused or withdrawn.
- iii. None of the applicants holds a Access Permit for the same location presently.
- iv. The application only covers premises/locations owned or controlled by the Railway Undertaking.
- v. The application has been signed by an authorised representative of the applicant's company.
- vi. The applicant holds the appropriate competencies to undertake the work concerned.
- vii. When applicable every person under 18 years of age must have a young person's risk assessment completed by their employer.

viii. Method statements and risk assessments have been reviewed and prove acceptable.

Additionally, the person issuing the Access Permit should ensure that the Railway Undertaking local manager(s) responsible for those areas covered by the Permit is/are aware of the name of the individual to whom it has been issued, expected time of arrival and nature of the work being undertaken.

A copy of all Access Permits issued should be retained by the Railway Undertaking in accordance with their document retention policies.

### **Additional requirements for working on or near the line**

It is recognised that work on or near the line will usually involve Infrastructure Manager appointed contractors with relevant Railway Group Standards applying. The following applies only in those cases where Railway Undertaking engaged contractors are so employed.

Where work will or may involve working within 3 metres of a running line (if working at track level) or 1.25 metres of a platform edge adjacent to a running line (if working on a station), a medical self certification form should also be completed by the individual(s) concerned (see appendix E). If the applicant is unable to answer 'no' to all questions then an Access Permit should not be issued until suitable evidence that a full medical examination to the standard required for Personal Track Safety (PTS) certification has been passed has been received.

Note: As most Railway Undertaking contractors who have to operate within these distances will be PTS certified anyway, it may be easier to simply mandate PTS as a requirement when tendering for this type of activity.

### **Notification of changes**

The contractor should be required to advise the Railway Undertaking of any changes to Access Permit details or requirements.

### **Signing in and signing out**

In addition to being in possession of a valid Access Permit, contractor staff should be required to sign-in before entering the site and sign-out on leaving in accordance with standard company visitor/contractor procedures. Groups of contractors may sign in either as individuals or by the contractor's supervisor on behalf of the group each time they report for work.

**Example – Site Access Permit (for individual use)**

<b>Site Access Permit</b>		<b>NOT VALID WITHOUT SEPARATE PHOTO I.D.</b>
<b><u>NOT VALID FOR TRAVEL ON TRAINS</u></b>		
Name of Holder	P.T.S. HELD	
Of		
IS PERMITTED ENTRY		
FOR THE PURPOSE OF		
Valid From	/ /20	
Valid Until	/ /20	
Daily Hours of Validity	<b>Start :</b>	
	<b>Finish :</b>	
		Permit No. <b>A12345</b>
<b><u>THIS PERMIT DOES NOT ALLOW WORK</u></b>		

## Appendix D – Permit to Work

### Purpose

All work on site (other than that for which systems and procedures are already in place) should be controlled by a Permit to Work.

It should be noted that in law, there is a mandatory requirement for Permit to Work systems for certain types of activity of a high risk nature. Examples include, but are not limited to, work on or near live electrical equipment, work in confined spaces, working at height, and work involving fire hazard, such as welding operations. Study of the appropriate regulations is advised in these situations.

The purpose of the Permit to Work is to ensure that a suitable and sufficient assessment of the risks. The Permit to Work system may also be used to control activities of Railway Undertaking staff when the work is not covered by a standard operating procedure.

The Permit remains valid only as long as the conditions and specifications on it are complied with.

An example Permit to Work is provided in Appendix D. These may be obtained in Word format for customisation and reprinting in a suitable format for each TOC.

### Issue

The Permit to Work should be issued by the Railway Undertaking's senior manager in charge of the workplace, or his designated deputy. The issuer is responsible for ensuring that the conditions specified on the Permit are monitored and that the Permit is withdrawn in the event of non-compliance or any other factor that may compromise safety. The issuer should therefore be competent to do so and should have undertaken appropriate training or refresher training within the previous 24 months.

The Permit to Work should be issued at the work site or immediately following a visit on the part of the issuer to the work site so as to ensure that all local and current risks have been assessed, with contractors briefed on the practical requirements of the Permit. The Permit remains valid only as long as the conditions stated on it are complied with.

The Permit to Work should not be issued until i) the Method of Work Statement supplied by the contractor has been received and accepted by the Railway Undertaking; and ii) all other persons whose work may be affected by the activities described on the Permit have been suitably advised. Work itself should not start until a Permit to Work has been authorised and issued.

The Permit to Work should also be countersigned by the contractor's senior representative on site to demonstrate his understanding of the work involved and his acceptance of the precautions required.

The Permit to Work must be readily available for inspection at the job site at all times during which work is under way and any requirements stated on the Permit must be adhered to at all times. A copy of the Permit should be retained by the issuer. Expired permits should be retained and made available for inspection for a minimum of 12 months following date of expiry.

**Example Permit to Work (front)**

<b>COMPANY NAME</b>		<b>PERMIT TO WORK</b>		<b>SERIAL NO:</b>						
<b>ACTIVITY</b>		<b>ISOLATIONS – How achieved</b>				Sign				
Name of Company undertaking work		Energy source								
Work to be done		Compressed air								
		Hot water								
		Access								
		Other:								
Specific location:		Electricity: Time _____ Date _____								
Equipment and materials to be used:		Re-energise electricity: Time _____ Date _____								
<b>SPECIAL CONDITIONS FOR EXCAVATIONS</b>										
		Underground cables e.g. electricity, CCTV, signals				YES/NO				
		Underground pipes e.g. drains				YES/NO				
		Contaminated ground				YES/NO				
<b>HAZARDS</b> Tick box if precautions against any of the following needed		Excavation measures to be stated in precautions								
Fire/Explosion		Fragile roof/ Heights		<b>PRECAUTIONS</b>						
Flammable Liquids		Traffic		1. All location safety regulations and industry safe working practices must be followed						
Hazardous chemicals		Public access		2. All persons on site must have undertaken induction training and be logged onto site						
Steam/Hot water		Overhead services e.g. OHLE		3. All electrical equipment used must be in good order and test certificate available for inspection						
High pressure		Electricity		4. Work to be undertaken near railway- see reverse of form						
Motive power/machinery		Dust		5. PTS / SCW Cards required for all persons						
Moving vehicles		Moving trains								
Asbestos/ Biohazards		Other:								
<b>PERSONAL PROTECTION TO BE WORN</b> Tick Box										
HV vest		Biohazard suit								
Goggles		Canister respirator								
Gloves PVC/leather		Airline BA								
Boots (safety)		Self Contained BA								
Boots (rubber wellies)		Hearing protection								
Overalls		Lifeline								
Chemical resistant suit		Head protection								
Full face visor		Other:								
<b>PERMIT AUTHORISATION AND ACCEPTANCE</b>				<b>OTHER PERMITS OPERATING IN AREA – CROSS REF BY NUMBER</b>						
Work initiator _____		Position _____		Permit No: Contractor						
Permit Issuer _____		Position _____		Permit No: Contractor						
Time _____		Date _____		Permit No: Contractor						
Permit Acceptor PRINT NAME				Any potential conflicts ? YES / NO						
I have read and accept all the conditions on this Permit		Signed _____		Measures Taken						
Time _____		Date _____		<b>NON-STANDARD EMERGENCY ARRANGEMENTS</b> e.g. alternative assembly points etc.						
<b>PERMIT HANDBACK</b>										
The above work has / has not been completed and is / is not in a safe condition										
Signed Acceptor _____		Time _____ Date _____								
Permit Closed _____ on behalf of COMPANY		<b>DAILY/SHIFT AUTHORISATION UPDATE</b>								
<b>CONFINED SPACE ENTRY PERMIT</b> Strike Out if not applicable				Valid From Date	Time	Valid Until Date	Time	Test Results	Issuer	Acceptor
Continuous monitoring required Yes / No for _____										
Breathing apparatus required Yes / No										
Second man required on standby at all times										
Rescue kit available Yes / No										
Means to be used for raising the alarm										
<b>HOT WORK CONDITION</b>										
All Hot Work to CEASE 60 minute prior to leaving site										
Fire extinguisher type reqd.: _____										
Other arrangements, e.g. alarms, isolations, etc.										

**Example of a Permit to Work (rear)**

This authority is issued subject to conditions as advised
<p>Note: (Delete as appropriate)</p> <p>a) This Permit <b>ALLOWS / DOES NOT ALLOW</b> an approach to within 3 metres of a railway line.</p> <p>b) This Permit <b>ALLOWS / DOES NOT ALLOW</b> an approach to within 1.25 metres of a platform edge adjacent to a railway line.</p> <p>c) This Permit <b>DOES NOT ALLOW</b> an approach to within 3 metres of any electrified 3<sup>rd</sup> rail or to within 3 metres of any overhead electrified line.</p> <p>d) Special conditions (if any): Company ID to be visibly worn at all times. Contact train operators local representative before entering site.</p> <p>ISSUED BY: _____ Designation: _____</p> <p>ADDRESS: _____</p> <p>SIGNED: _____ DATE: _____</p>

## Appendix E – Medical Self-Certification Form

Medical Self Certification Form (as required if work will or may involve working on or near the running line)

Company Name:	.....
Access Applicant's Name:	.....

Alertness and reasonable physical fitness are essential for duties which may interact with moving trains. It is important to be accurate with your answers to this questionnaire, although trivial matters should be ignored (e.g. transient dizziness while gardening two years ago). When you declare NO you are accepting a degree of responsibility for your safety. Please study the list below and place a tick in the relevant column. You must sign the completed declaration in the space provided at the bottom of the form. To knowingly enter incorrect information will result in you being sent from site, and may jeopardise the future of the contract.

	Yes	No
1. Do you have diabetes that requires insulin?	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you suffer from epilepsy or fits?	<input type="checkbox"/>	<input type="checkbox"/>
3. Have you ever had blackouts, recurrent dizziness or any condition which may cause sudden collapse or incapacity?	<input type="checkbox"/>	<input type="checkbox"/>
4. Do you get discomfort or pain in the chest or shortness of breath on exercise, e.g. climbing a single flight of stairs?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do you have difficulty in moving rapidly over short distances, including on slopes, steps or rough ground?	<input type="checkbox"/>	<input type="checkbox"/>
6. Would you have difficulty in looking over either shoulder?	<input type="checkbox"/>	<input type="checkbox"/>
7. Do you have any difficulty with your eyesight? (simple problems needing glasses need not be included)	<input type="checkbox"/>	<input type="checkbox"/>
8. Do you have any difficulty hearing normal conversation?	<input type="checkbox"/>	<input type="checkbox"/>
9. Are you taking any medication that is giving you dizziness or drowsiness?	<input type="checkbox"/>	<input type="checkbox"/>
10. Have you used any drugs illegally within the last 12 months?	<input type="checkbox"/>	<input type="checkbox"/>
11. Have you had any alcohol related illness during the last 12 months?	<input type="checkbox"/>	<input type="checkbox"/>
12. Have you ever been refused access to trackside work for any medical reasons?	<input type="checkbox"/>	<input type="checkbox"/>

Applicant's Signature:	.....
Name:	.....
Date:	.....
Senior Manager's Signature:	.....
Name:	.....
Date:	.....

## Appendix F – Risk Assessments and Method of Work Statements

It is the responsibility of the person employing the contractor to ensure that all risks to the general public, staff or the contractor, arising from the work to be carried out are identified, assessed and controlled through a suitable structured process.

Contractors should be required to provide a Method of Work Statement at a time agreed with the client to allow an appropriate level of scrutiny before acceptance (10 days in advance of the start of work is suggested). The assessment of risk within the Method of Work Statement must relate to the actual location where the work will take place describing the limits of the proposed work, such as very specific location details, dates and working times. If the work is of a 'day to day' repetitive nature, such as routine maintenance of identified plant and equipment, only one Method of Work Statement may need be submitted to the train company.

Depending on the nature of the work, the following should be covered - it should be noted that in order to supply the required information a site visit may need to be arranged. It should further be noted that the complexity of Method of Work Statements should be commensurate with the risk level the work presents. In all cases however, the proposed work should be checked against the following list to ensure that the key generic points, where appropriate, have been considered:

- i. Description and scope of planned work:
  - a) General description of work
  - b) Name of contractor and listing of sub-contractors by name
  - c) Proposed start and end dates
  - d) Hours of work
  - e) Specific locations (work, access, storage, etc.)
- ii. Hazards identified.
- iii. Railway Undertaking /public interface arrangements:
  - a. How the site will be segregated (e.g. barriers, hoarding)
  - b. Site compound requirements and position
  - c. Security of site
  - d. Security of materials and plant
  - e. Delivery arrangements, including pre-delivery of plant and materials
  - f. Maintaining signalling equipment visibility
- iv. Protection of and from Railway undertaking Infrastructure:
  - a. Identifying hidden services
  - b. Use of laser/electrically conductive survey equipment
  - c. Permits required
  - d. Plant movements/routes
  - e. Fire precautions
  - f. Critical services and systems that may be at risk
- v. How tasks will be performed:
  - a. Confirmation that work will not start until appropriate Access Permits and Permits to Work have been issued
  - b. What work is to be undertaken and how it will be carried out safely
  - c. Control measures involved
  - d. Monitoring arrangements
- vi. Personnel involved and personnel support arrangements:
  - a. Supervisory arrangements
  - b. First aid arrangements
  - c. Total number of operatives involved
  - d. Medical limitations
  - e. Confirmation of certification and competence arrangements for users of plant and equipment
  - f. Welfare facilities, including toilets, washing facilities, rest areas, etc.

- vii. Plant and equipment to be used:
  - a. Powered and non-powered plant requirements
  - b. Access and egress arrangements for plant
  - c. Powered and hand-operated tools; intrinsically safe tools, as per risk assessment
  - d. Temporary lighting
  - e. Power supply requirements
  - f. What PPE (Personal Protective Equipment) will be supplied
- viii. Staff briefing and management (including subcontractors):
  - a. How staff will be briefed, and its acknowledgement
  - b. How staff/work will be supervised
  - c. How staff/work will be monitored
- ix. Communication and liaison arrangements with the Railway Undertaking:
  - a. Details of key parties and communication links (e.g. project manager, planning supervisor, Railway Undertaking duty manager, Railway Undertaking safety manager, 3<sup>rd</sup> parties such as tenants, other Railway Undertakings and Infrastructure Managers)
- x. Environmental protection arrangements:
  - a. Housekeeping
  - b. Waste disposal arrangements
  - c. Noise and dust
  - d. Storage of hazardous substances
  - e. Pollution control
  - f. Siting and security of skips
- xi. Handback arrangements:
  - a. Completion criteria
  - b. Site hand back, including site protection arrangements when work cannot be completed
  - c. Acceptance of responsibility for ensuring site is left safe
- xii. Emergency arrangements:
  - a. Contact details for emergency services
  - b. Out of hours contractor details
  - c. Railway Undertaking on call arrangements;
  - d. Changes to local emergency plans required as a result of e.g. fire alarms being isolated, evacuation routes compromised, etc.
  - e. Contingency plans
  - f. Arrangements for accident and incident reporting
- xiii. Supporting information:
  - a. Site plans
  - b. Diagrams
  - c. Installed equipment specifications
  - d. Maintenance schedules
  - e. Location of services
  - f. Hydrants
  - g. Isolation points
  - h. Synopsis of how compliance with CDM requirements are met
  - i. Monitoring and safety performance arrangements
  - j. HSE Contract Review arrangements (agreed with the Railway Undertaking)

The Method of Work Statement should demonstrate that suitable and sufficient risk assessments of the hazards involved have been carried out (risks of injury to staff and public, damage to infrastructure, etc.).

The TOC assessment does not mean that the TOC has assessed that risk assessments are suitable and sufficient, acceptance only indicates that the relevant information has been provided and that a systematic approach has been taken by the contractor to identify and manage risk. However, there remains a duty by the engaging TOC to check generic issues such as those in the Appendix F checklist above. For many contracts, the TOC will have a good understanding of the risks and expected control measures and can reasonably be expected to take a view on how the contractor is managing them, and intervene if necessary.

### **Statement of competency**

Each contractor should be required to sign a statement of competency in advance of starting work in respect of the tasks that are to be performed. This should be retained and made available for inspection and audit by Railway Undertaking staff or enforcing authorities such as the Office of Rail and Road (ORR).

### **Assessing and responding to likely impact of work**

The Railway Undertaking should have arrangements in place to review the content of the Method of Work Statement and associated risk assessments so as to assess the likely impact of any proposed works, in particular with regard to the following:

- i. The work meets the specification criteria (i.e. it does what has been asked).
- ii. Effect on emergency plans.
- iii. Effect on local services (power supplies, fire alarm/detection systems/computer equipment, water, lighting, etc.).
- iv. Effect on staff/passenger access/egress.
- v. Restrictions on platform width or length.
- vi. Restrictions on passenger flows/movements.
- vii. Effect on train dispatch (visibility of dispatch staff, starting signals and 'off' indicators).
- viii. Effect or adequacy of proposed risk control measures.
- ix. Any other areas of normal day to day operation.
- x. The impact on any other contractors working at the location.

Where appropriate, suitable amended, alternative and contingency arrangements should be made and communicated as appropriate.

## Appendix G – Briefing of Contractors

Prior to the start of any work, all contractor staff involved should be given a briefing covering (as appropriate to the place and nature of the work to be undertaken) the following general items:

- i. Formal general safety induction.
- ii. Emergency procedures (e.g. what to do in the event of a fire, explosion, major incident, chemical spillage, etc.).
- iii. First aid arrangements (normally provided by the contractor).
- iv. Reporting of accidents and incidents to the location management (including damage to railway property, plant or equipment).
- v. Confirming limitations of work, and site boundaries.
- vi. Personal safety and security (including signing in/out arrangements and the need for visible identification).
- vii. Reporting arrangements including details of key contacts.
- viii. Alcohol and drugs policy.
- ix. Correct use and maintenance of tools, equipment, etc.
- x. Keeping the site tidy and secure, including removal/disposal of waste materials.
- xi. Carrying out of risk assessments where required.
- xii. Being aware of suspicious items and people (specific security briefing if appropriate).
- xiii. Location of any other contractors working on the premises.
- xiv. Process for managing changes, e.g. due to unforeseen problems.
- xv. Requirements associated with any Access Permit/Permit to Work.

In addition, the briefing should also include the following site-specific information:

- i. Local emergency arrangements, including what do in the event of a fire alarm, security alert, evacuation, etc. If the site or nature of the work is such that contractors might not be alerted through the normal mechanisms (for example the work is taking place at a remote location or generates high levels of noise) then special emergency communication arrangements must be put in place to ensure that contractor staff can be advised of the need to respond.
- ii. Specific hazards (trains, OHLE/third rail, presence of electric cables, gas pipes, confined spaces, hazardous materials, asbestos, noise, slippery or uneven surfaces, etc.).

Consideration should be given to also supplying all the above information in written form.

Each person receiving the briefing should be required to provide a written acknowledgement that they have both received and understood the briefing. A copy of this should be retained by the Railway Undertaking for a minimum of one year following completion of the work.

### **Repeated work at same location**

Where a Contractor or a group of contractors is to undertake work at the same location for a number of days or weeks, it will not be necessary to re brief safety information on a daily basis. In this situation, an initial briefing may be undertaken for the contractors involved. They should still sign in and out of the location, either as individuals or by the contract supervisor on behalf of the group each time they report to and from work.

### **Special requirements**

Railway Undertakings should consider and specify what additional requirements and restrictions are to apply in the event of the work involving any of the following:

- i. Working close to running lines. Where necessary provision should be made for lookouts, cautioning of trains, etc.
- ii. Work in public areas, e.g. platforms, concourses, etc.
- iii. Hot work i.e. use of flame, electric arc or any equipment capable of producing sparks.
- iv. Use of burning equipment (e.g. oxyacetylene).
- v. Entry into confined spaces.
- vi. Excavations.
- vii. Scaffolding.
- viii. Working at heights in general, particularly where this is in close proximity to overhead power lines (including catenary) or is above areas used by staff and/or members of the public.
- ix. Working in close proximity to live electrical equipment. Where necessary arrangements must be made to ensure that such equipment is isolated before work commences.
- x. Use of hazardous substances (or work taking place in the vicinity thereof). These include flammable, explosive, corrosive and radioactive materials, asbestos.
- xi. Use of road vehicles.
- xii. Use of equipment (where a current test or examination certificate should be provided in respect of equipment which requires statutory testing or inspection).
- xiii. Erection of temporary buildings and structures.

In addition, Railway Undertakings should require the contractor to advise them of any changes to working practices made after work has started and which will affect any of the above.

### **Incidents and accidents**

Contractors should be required to immediately advise the Railway Undertaking of any incident or accident related to the contract and follow this up by a written report of the subsequent investigation. This is irrespective of whether the accident occurs within or outside of the designated worksite.

### **Security**

Contractors should be both empowered and encouraged to challenge any unknown or unidentified persons appearing in their work place, including people without identification in non-public areas, or anyone acting suspiciously and summon assistance from Railway Undertaking staff and/or the British Transport Police. They must also be encouraged to be observant for unattended items, as well as being reminded themselves not to leave tools and equipment unattended.

In addition, Railway Undertakings are reminded of the need to comply with any applicable requirements of the Department for Transport (DfT) Land Transport Security Division in respect of security as set out in the National

Railways Security Programme. There are specific briefings available for this subject and time may be required to present this to contractor's staff depending on the nature of work

# ***Rail Delivery Group***

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