

**1. PURPOSE**

The purpose of this procedure is to control the risks to personnel from train movements through effective planning of on-track activities by means of a hierarchy of protection and warning methods, and to comply with the Rule Book by ensuring effective Safe Systems of Work (SSOW) to mitigate the risk of people being struck by trains.

The procedure defines the contents and acceptance criteria for the production, acceptance and utilisation of Safe Work Packs (SWP) in accordance with the following Network Rail (NR) standards:

- NR/L2/OHS/019 Safety of people at work on or near the line
- NR/L2/OHS/019/mod01 Planning and working during incident response
- NR/L2/OHS/019/mod02 Planning and working in a possession
- NR/L2/OHS/019/mod03 Planning and working using protection arrangements
- NR/L2/OHS/019/mod04 Planning and working using warning arrangements
- NR/L3/OHS/019-IP Planning and delivering safe work – Implementation principles for Infrastructure Projects

**Please Note – Due to the COVID-19 Pandemic Appendix L has been formally issued within this procedure. This appendix has been developed as a result of the COVID-19 (Coronavirus) Pandemic to introduce extended levels of delegated authority on a temporary basis.**

**The appendix has been developed using the COVID-19 Contingency Plan (Guidance for Regions) on NR/L2/OHS/019 issued by Network Rail (NR).**

**The appendix sets out the guidance for the production and briefing of Safe Works Packs (SWP's), whilst minimising physical/face-to-face/person-to-person communications and limiting the size of groups receiving briefings.**

**2. SCOPE**

This procedure is applicable on all VolkerRail (VR) projects and Joint Ventures (JV's) and Alliances that are operating under VR's Principal Contractor Licence arrangements undertaking work 'on or near the Line', or which could affect the area 'on or near the line' on Network Rail Managed Infrastructure (NRMI).

It is applicable when the work is directly related to the construction, testing, inspection, maintenance, replacement, disposal or commissioning of NRMI or assets including the delivery and use of materials, tools, equipment, plant and vehicles to facilitate such works.

Where the work is not 'on nor near the line' the NR standard NR/L2/OHS/005 "High Street" Environment and Conditions for Work outside Network Rail Managed Infrastructure shall be applied.

When working on non-NRMI, the principles contained in this document should be followed unless the client specifies an alternative process.

When working for NR Route e.g. plant operations, the client will have full accountability for the discharge of NR standard NR/L2/OHS/019, with the exception of Designated Person (DP) arrangements for OTM's which are defined in VR Plant procedure TMP015 – Safety of People Working on Rail Vehicles.

**3. REFERENCES (INPUTS)**

- |                       |  |
|-----------------------|--|
| • ENG02               | Production of Project Documentation incl. CPP, WPP and TBS |
| • PE326M001           | Adjacent Line Open Working                                 |
| • TRK001              | Commissioning Track Works                                  |
| • NR/L2/OHS/019       | Safety of people Working on or Near the Line               |
| • NR/L2/OHS/019/mod01 | Planning and working during incident response              |
| • NR/L2/OHS/019/mod02 | Planning and working in a possession                       |
| • NR/L2/OHS/019/mod03 | Planning and working using protection arrangements         |

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- NR/L2/OHS/019/mod04 Planning and working using warning arrangements
- NR/L2/OHS/019/F01 SWP Validation Form
- NR/L3/OHS/019-IP Planning and delivering safe work – Implementation principles for Infrastructure Projects
- NL2/OHS/0044 Planning and Managing Construction Work
- NR/L3/TRK/1017 Inspection for raising/removing speed restrictions and inspecting the line after track renewal
- NR/L2/CTM/021 Competence and Training in Track Safety
- NR/L2/MTC/006 Maintenance & Contents of the National Hazard Directory
- NR/L2/OHS/0044 Planning and Managing Construction work
- NR/L3/INI/CP0064 Delivering Work Within Possessions
- NR/L3/OCS/303 T3 Possession of the Line for Engineering Work Delivery Requirements
- GE/RT8000 Modular Rule Book & Handbook Series
- Access Guide (formerly known as Green Zone Guide) Issued by NR, gives indications of likelihood and length of availability of Line Blockages to create Safe Systems of Work.
- Network Rail National Hazard Directory

#### 4. ABBREVIATIONS & DEFINITION OF TERMS

TERM	DEFINITION
Accountable	The one ultimately answerable for the correct and thorough completion of the deliverable or process.
Authorise	Confirms the SWP has been prepared according to the relevant standards and is fit for purpose.
Competent Person	Staff who have been assessed and certified as competent to undertake specific tasks.
Consulted	Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.
Controller of Site Safety (COSS)	A person who is certified as competent to enable activities to be carried out by a group of persons on NR railway infrastructure in accordance with the requirements of the Rule Book GE/RT8000.
Designated Person (DP)	The person who is responsible for setting up line protection so that people working on rail vehicles will be protected from train movements. Can be in charge of a group of people or can work alone. When working alone, also carries out the duties of a person working on rail vehicles.
Emergency situation	A type of exceptional circumstance where urgent track access is required as a result of an incident, fault or failure which is affecting the normal passage of trains
Engineering Supervisor (ES)	The Person responsible for establishing and managing an engineering worksite and authorising train movements within a worksite.
Exceptional circumstances	Any circumstance when there is a need to undertake work to avoid or reduce risks to people, or significant disruption to train services, which could not foreseeably been planned in advance by a designated planner.
Informed	Those who need to be informed after a decision is made or action is taken – one way communication

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TERM	DEFINITION
National Hazard Directory	A database that identifies the hazards on Network Rails controlled infrastructure. It also contains access point information and information about other structures or buildings on the infrastructure.
Individual Working Alone (IWA)	A person appointed and certified as competent to provide their own protection to enable them to carry out activities in accordance with the requirements of the Rule Book (GE/RT8000), and has passed the IWA P&DSW e-learning module. All IWA's working for VR will have undertaken a VR assessment and be issued with an identification card to confirm that they are approved to work on VR worksites. This will be recorded with VRCC where checks can be undertaken when they are signing in.
Lineside	A location from the boundary fence to the area called 'on or near the line'.
Normal Circumstances	Any circumstances which are not within the definition of Exceptional Circumstances.
On or Near the Line	Within 3 metres (10feet) of a line where there is no permanent fence or structure between staff and the line or the line itself or; On a station platform, when carrying out engineering or technical work within 1.25 metres (4 feet) of the platform edge.
Permits	Additional information to be added to the SWP such as and not limited to: <ul style="list-style-type: none"> <li>• Electrical Isolation</li> <li>• Permit to Dig</li> <li>• Hot Works</li> <li>• Lifting</li> </ul>
Person in Charge (PiC)	A person involved in the planning and who is on site where the work is being undertaken and has the overall accountability of supervising and overseeing works. This person will hold a COSS/SWL competence to ensure planned controls are put in place to keep persons safe from trains, activity and site risks. When working within a possession the following applies: <b>Task PiC</b> – The representative responsible for leading a task in a work area within a worksite in a possession. Acting as the key contact during the planning process and delivery of the work task, they will arrange the collation and provision of the relevant Safe Work Pack for their task and work area. They will be identified within an engineering possession by wearing a COSS armband – blue background with white writing 'COSS'.  <b>Worksite PiC</b> - The VR representative responsible for the overall accountability and responsibility for deconfliction and integration within the engineering worksite in which they are leading.  They will carry out the relevant number of planning and deconfliction events to determine that all the interface risks between all work parties are fully understood by all and that any such interface risks are eliminated or minimised. Each <b>Task PiC</b> will be accountable for their work task being undertaken in the engineering worksite.
Planner (PL)	The person responsible for planning a safe system of work in accordance with the requirements of NR/L2/OHS/019. Must hold Safe System of Work Planner competency.

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TERM	DEFINITION
Principal Contractor (PC)	The duty holder who is required to ensure effective management of health and safety throughout the construction phase of a project. Their main duty is to properly plan, manage and coordinate during the construction phase in order to ensure that hazards are identified and risks properly controlled. Principal Contractors will hold a Principal Contractor's Certificate when working for Network Rail.
Principal Contractor Certificate	A certificate issued to contractors working for Network Rail to establish that safety management processes are adequate for the type and level of work the contractor and its workforce will be undertaking. It is a standalone requirement, issued against a specific contract awarded for a specific activity.
Project Manager (PM)	A person identified as in charge of the project and is responsible for monitoring the standard of PDSW on their project.
Responsible	Those who do the work to achieve the task. The individual (s) who perform an activity – responsible for action / implementation
Responsible Manager (RM)	The person accountable for the appointment of a competent and capable person in charge. The person responsible for the management of staff who will work on or near the line. This can be a line manager or an on call manager.
Safe Work Leader (SWL)	The role of an employee of VR who manages safe delivery of work. As a minimum they will hold a valid COSS competence
Safe Work Leader 2 (SWL2)	Delivers the duties of a SWL. In addition, they hold a valid ES competence.
Safe Work Manager (SWM)	Takes charge of complex worksites that require a strategic level of management and delegates the duties of an ES.
Safe Work Pack (SWP)	A pack of information used by a PiC that provides the safety arrangements for all work to be undertaken on site.
Site Risk Information and Controls	Additional information to be added to the SWP such as and not limited to: <ul style="list-style-type: none"> <li>• Adjacent Line Open (ALO) Plans,</li> <li>• Crane lifting Plans PICOP Packs</li> <li>• Worksite De-confliction information</li> <li>• Temporary Works</li> </ul>
Safe System of Work (SSOW)	A method of working that includes arrangements to so that those who are to walk or work on or near the line are not put in danger by: <ul style="list-style-type: none"> <li>• Passing trains or movements;</li> <li>• Entry to and exit from railway infrastructure;</li> <li>• Walking on or near the line;</li> <li>• Walking to or from a site of work;</li> <li>• Setting up and withdrawing protection or warning arrangements; and</li> <li>• Carrying out work</li> </ul>
Verify	A review of the SWP to confirm the details in it are accurate, appropriate and fit for purpose for the works to be undertaken.
Weekly Operating Notice (WON)	The official notice referred to in Rules and Regulations for giving details of Temporary speed restrictions; Engineering arrangements; Signalling and permanent way alterations and amendments to National Operations Publications (NOPs), Sectional Appendices, and other notices.
Work Package Plan (WPP) & Task Briefing Sheet (TBS)	Network Rail standard NR/L2/OHS/0044 provides a framework for recording arrangements made during the planning and management of construction work.

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ABBREVIATION	MEANING
BHSQESLG	Business Health, Safety, Quality, Environment & Sustainability Leadership Group
COSS/IWA	Controller of Site Safety
DP	Designated Person
ES	Engineering Supervisor (supervisor of a Worksite in a Possession)
GZAC	Green Zone Access Co-ordinator
GZAM	Green Zone Access Manager
HSQES	Health, Safety, Quality, Environment and Sustainability
HSQESLG	Health, Safety, Quality, Environment and Sustainability Leadership Group
IWA	Individual Working Alone
LOWS	Lookout Operated Warning System
NR	Network Rail
NRMI	Network Rail Managed Infrastructure
PC	Protection Controller
PDSW	Planning and Delivering Safe Work
PiC	Person in Charge
PICOP	Person in Charge Of Possession
PICOS	Person in Charge of Sidings
PL	Planner
PPS	Possession Planning System
RISQS	Rail Infrastructure Supplier Qualification Scheme
RM	Responsible Manager
SWM	Safe Work Manager
SWP	Safe Work Pack
SSOW	Safe System of Work
SSOWP	Safe System of Work Planner
SWL	Safe Work Leader
SWL1	Safe Work Leader Level 1
SWL2	Safe Work Leader Level 2
TBS	Task Briefing Sheet
TE	Technical Expert
TOWS	Train Operated Warning System
VRCC	VolkerRail Control Centre
WON	Weekly Operating Notice
WPP	Work Package Plan

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**5. PROCESS**
**5.1 What is the Safe Work Pack?**

The Safe Work Pack (SWP) (Template SAF19F10), is the documentation provided to a **'Person in Charge' (PIC)** to allow them to undertake work safely and covers site task and operational risk. Further information on what is contained within SWPs can be found in clause 5.1.3 of this procedure.

**5.1.1 When is a Safe Work Pack required?**

A SWP is required when the work is directly related to the construction, testing, inspection, surveying, maintenance, replacement, disposal or commissioning of NR infrastructure or assets (including the delivery and use of materials, tools, equipment, plant and vehicles to facilitate such work).

No work shall be undertaken by any individuals or group without a valid SWP when work is being undertaken:

- a) On or near the line
- b) Has the potential to disrupt or import a direct risk to the safe running of the operational railway e.g. adjacent to the operational railway which could cause unintentional obstruction of the running line or, unintentional contact with the OLE or 3<sup>rd</sup>/4<sup>th</sup> rail, or
- c) Imports a direct risk to the safe running of the operational railway. This can also involve works that are being undertaken 'on the lineside' or 'off lineside'

**5.1.2 Roles or specific groups who do not require a safe work pack**

The following do not need a SWP:

- a) a signaller who can work under their own protection; and
- b) Designated Persons (DP) continue to work to existing operational standards.

The following emergency services, responding to an emergency do not require a SWP:

- a) fire;
- b) police;
- c) ambulance;
- d) coast guard; and
- e) bomb disposal.

**5.1.3 Contents of the Safe Work Pack**

The SWP should contain, as a minimum the contents shown below:

- a) SWP Validation Sheet (SAF19F05)
- b) Task risk information and controls required – e.g. relevant extracts from a Work Package Plan (WPP) and associated Task Briefing Sheets (TBS)
- c) Site (location) risk information and controls required e.g. ALO, runaway risk
- d) Permits, where applicable, such as lifting plans, electrical, isolation, hot works, confined spaces etc.
- e) Welfare arrangements and their location
- f) Part completed RT9909 record of arrangements form
- g) Part completed NR3180 form(s), where blockage(s) of the line are part of the safe system of work.
- h) Possession arrangements details, including protection/warning arrangements
- i) Safe access and egress information including walking to and from site

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- j) Sectional appendix extracts – showing the relevant running lines, track layout and work location for the entire mileage for which the work group will be on or near the line.
- k) National Hazard Directory extracts, that are relevant to the work and location (these may be included on the RT9909 form)
- l) Signalling or Track diagrams where used
- m) Emergency arrangements – including first aid provisions

## **5.2 Roles, Responsibilities and Competence**

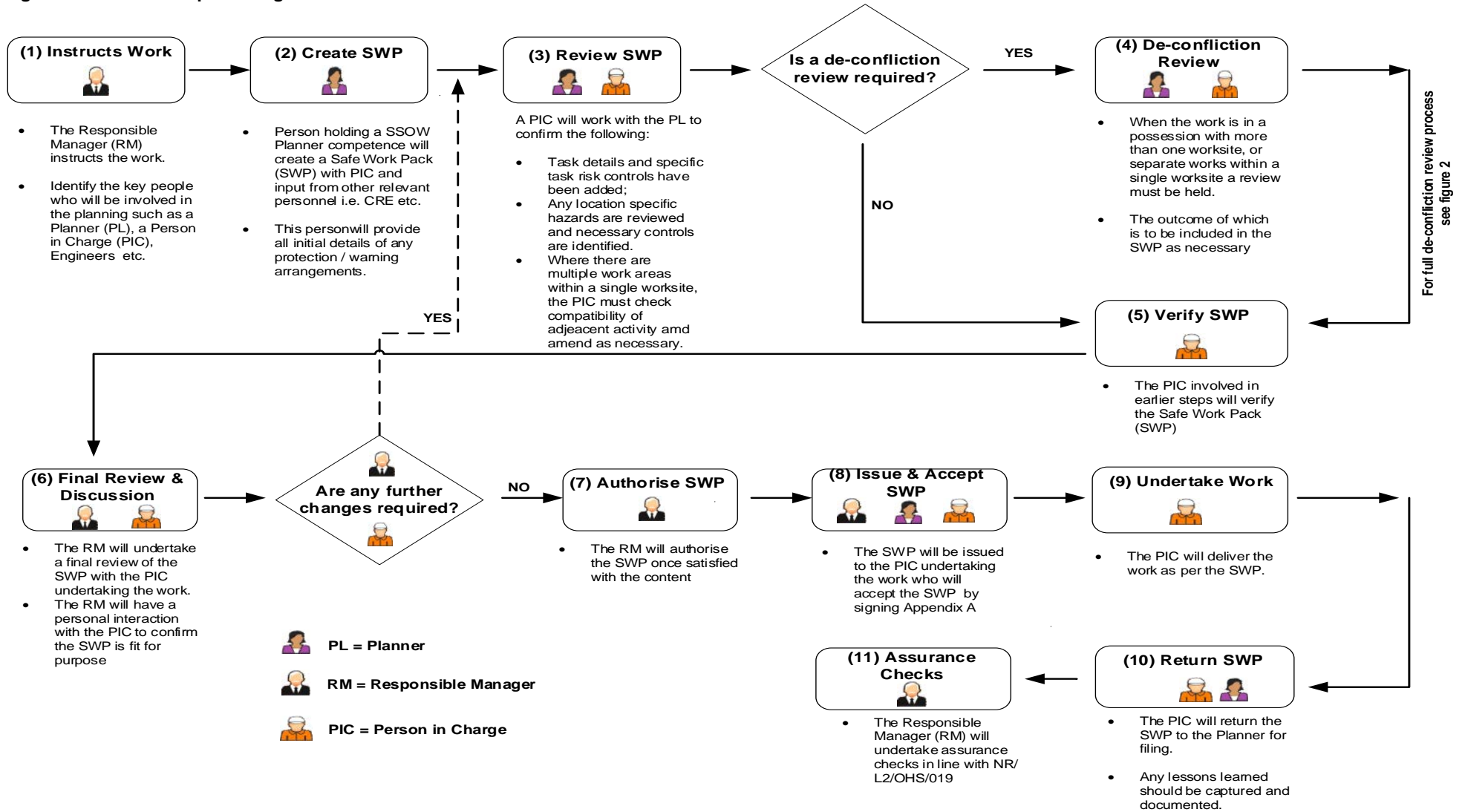
**5.2.1** Figure 1 overleaf provides an overview of the process for producing the SWP.

Figure 2 overleaf provides an overview of the De-confliction Review

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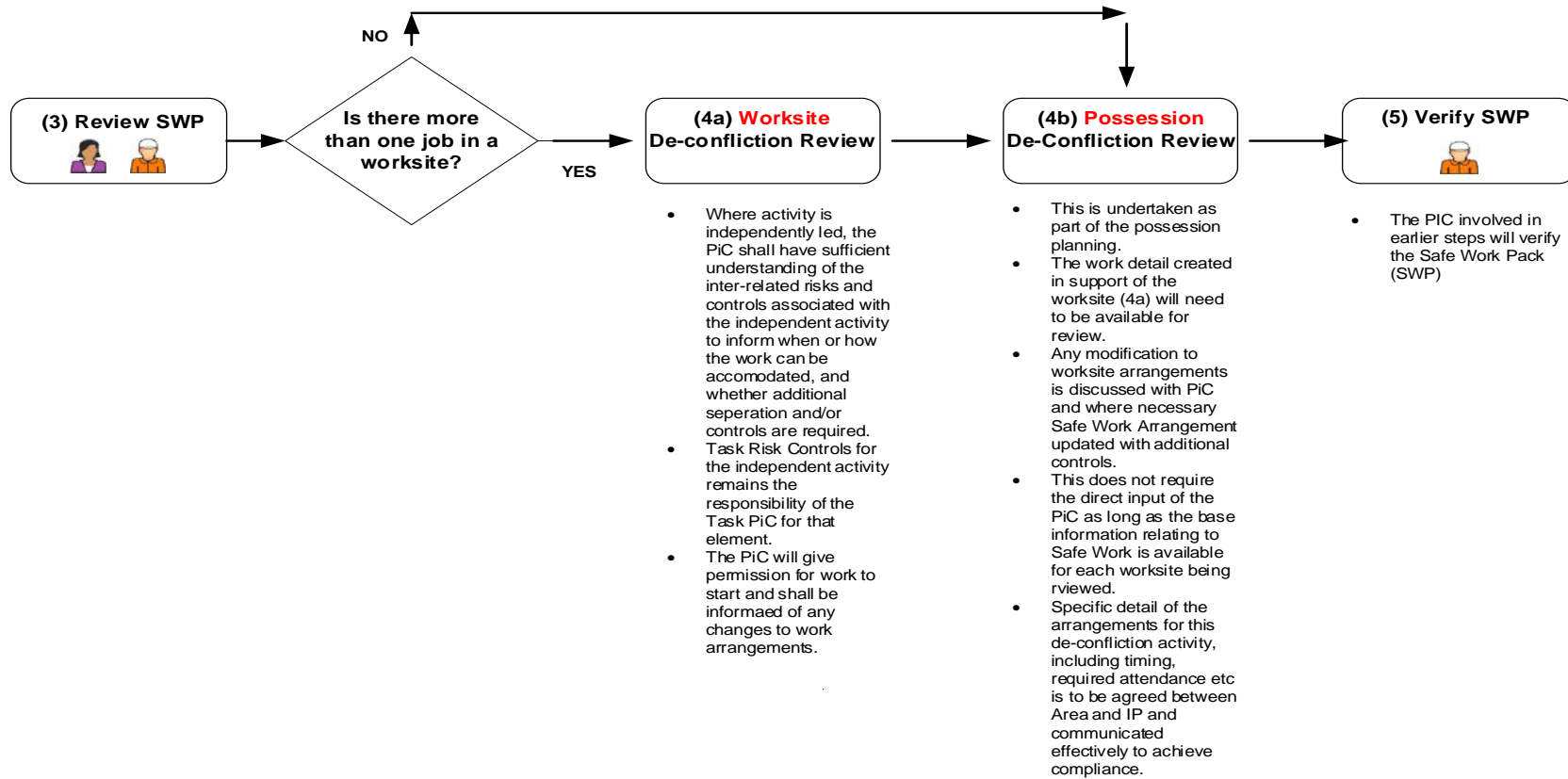
**Figure 1 – Process for producing the SWP**



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Figure 2 – Process for conducting the De-confliction Review



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**5.2.2 Project Manager**

The **Project Manager** is nominated by the business as responsible for the delivery of the project. They are responsible for the following under this procedure:

- a) Nominating **Responsible Manager’s (RM)** and their deputies within the Construction Phase Plan (CPP)
- b) Nominating **Planners (PL)** for the project
- c) Authorising how work will be prioritised, planned and delivered
- d) Monitoring the standard of PDSW Planning on the project and raising issues through the relevant Business HSQES Leadership Group (BSLG) and escalated to relevant operational line management

**5.2.3 Responsible Manager (RM)**

In accordance with NR/L2/OHS/019, the **RM** is accountable for the preparation of the SWP. This will be delegated to the person identified to undertake the **PL** role.

The **RM** shall:

- a) provide the **PL** with the tools, documents, and guidance required for them to perform their role
- b) determine, using the flowcharts in Appendices H & I of this procedure, as to what level of **Safe Work Leader** is required i.e. **SWL1, SWL2 or SWM**
- c) nominate a **PiC** to support the **PL** in drafting the SWP with the inclusion of adequate operational, task and location risk assessments
- d) nominate a **PiC** to verify the SSOW information and to add the appropriate task risk and control information to the SWP
- e) Responsible for checking that the **COSS/IWA** nominated is familiar with the location, type of work and protection arrangements required. If they are not, familiarisation shall take place prior to commencing the work. Familiarisation with the location will be achieved by conducting a site visit and recording this in the **COSS/IWA** Work Experience Book. This may be supplemented by provision of the documents relevant to the site of work e.g. extracts from the National Hazard Directory, Sectional Appendix, photographs and signalling diagrams.
- f) In checking the familiarity of the **COSS/IWA** the **RM** should consider their experience of the type of work, the type of protection arrangements and the time elapsed since they last undertook such duties.
- g) nominate a competent **SWL** as **PiC** to undertake the work, who is familiar with the location, type of work and protection arrangements
- h) make the required resources (including equipment, people and time) available to the **SWL** to allow them to carry out the work safely and in line with the SWP
- i) authorise the SWP for use after it has been verified by the **SWL** and the **RM** is satisfied that the nominated **SWL** understands the work being carried out and all the associated task and operational risks, utilising the *SWP Verification Form SAF19F05*.

A **RM** may authorise a request by the **SWL** to implement a SWP at a lower level in the hierarchy of control (operational risk) than planned if they have sufficient understanding of the relevant rules, standards and the arrangements for the work to make an informed decision. They may authorise any site changes to the SWP where there is a request by the **SWL** to make a significant change to the work or risk controls planned and authority reference is issued by the **RM**.

The **RM** shall review returned SWPs in accordance with NR/L2/OHS/019.

**5.2.4 The Planner (PL)**

As documented in NR/L2/OHS/019 the **PL** shall be competent as a **Safe System of Work Planner (SSoWP)**.

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The person nominated to act as **PL** in this process is responsible for planning the work in accordance with the priorities set by the **RM**.

The **PL** shall:

- a) draft a proposed SWP in accordance with NR/L2/OHS/019 applying the principles of the hierarchy of control with appropriate involvement of the **PiC**, and seek acceptance from the **RM**;
- b) check all completed and implemented SWPs returned to them for recorded lessons learnt errors and changes. Any lessons learnt shall be recorded for correction in all future planning, and all incorrect plans shall be withdrawn;
- c) Be empowered to challenge the SSOW requested by the **RM** if they feel that there is a risk to staff or operational safety;
- d) be assessed and certified as competent in SSOW planning and also as a **COSS/IWA** and they shall work under the authority of the **RM**, and
- e) Be responsible for identifying and agreeing, with the **RM**, the protection arrangements for the planned work

To assist them to develop a SWP, the **PL** shall have access to and use the 'On:Trac Connect' web system to generate the SWP, where applicable. Each **PL** will have a unique user access to the system and will use this access to produce SWP's.

The **PL** shall, upon receipt of a rejected planned SWP from the **RM** or nominated **PiC**, review the SWP and the reasons for its rejection. In consultation with the **RM** the **PL** shall then make any changes required to create an appropriate SWP.

The **PL** shall check all completed and implemented SWP's returned to them for recorded errors and changes. Any errors or changes shall be noted for correction in all future planning and all incorrect plans shall be withdrawn from use.

### 5.3 Person in Charge

#### 5.3.1 Person in Charge (PiC)

A **PiC** is a member of staff involved in the planning and who is on site where the work is being undertaken and has the overall accountability of supervising and overseeing works. The role of **PiC** shall be performed by an individual with one of the competences described in section 5.3.2 to 5.3.5 of this procedure.

When working within a possession the following applies:

**Task PiC** – The VR representative responsible for leading a task in a work area within a worksite in a possession. Acting as the key contact during the planning process and delivery of the work task, they will arrange the collation and provision of the relevant SWP for their task and work area. They will be identified within an engineering possession by wearing a COSS armband – blue background with white writing 'COSS'. Individuals undertaking the role of the **Task PiC** must be SWL or COSS competent.

**Worksite PiC** - The VR representative responsible for the overall accountability and responsibility for deconfliction and integration within the engineering worksite in which they are leading.

#### 5.3.2 Safe Work Leader (SWL)

There are two different **SWL** competencies which relate to the different operational environment within each the role is being undertaken. In each case the **SWL** appointed for the work will take on the role of **PiC**.

For each, an individual will have taken and passed the required competence training and will be able to demonstrate the experience and capability to lead the task for which they will be responsible.

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**5.3.3 Safe Work Leader Level 1 (SWL1)**

The **SWL Level 1 (SWL1)** is experienced in leading a team while working on an open line, in a line blockage or on the lineside.

The **SWL1** will be the appointed **Task PiC** and is responsible for protecting their own safety and the safety of persons in the work group from the risk of being struck by trains (operational risk), risks associated with undertaking the task, and location risks. **SWL1** are identified by wearing a SWL armband - blue background with white writing "SWL".

The **SWL1** shall support the **PL** in:

- confirming the hierarchy of control for operational risk selected can be used to deliver the task safely in the operational environment
- providing the task risk assessment and identifying controls for inclusion in the SWP
- providing the site risk assessment and identifying controls for inclusion in the SWP, and
- planning welfare provisions.

Once the **SWL1** has assured themselves of the contents of the SWP, they shall verify the SWP. On site, the **SWL1** shall check that the planned SWP is suitable for the conditions.

The **SWL1** shall not permit any works to commence or continue where they are not competent to undertake the duties or where the required safety arrangements cannot be established or maintained.

The **SWL1** shall return all completed, implemented or cancelled SWP's to the planner, highlighting the safety arrangements implemented and any lessons learned or changes that were required.

**5.3.4 Safe Work Leader 2 (SWL2)**

A trained and certified **SWL2** competent individual will be appointed as the **Worksite PiC** with overall accountability and responsibility for that engineering worksite. They will be experienced in:

- planning and managing the safety arrangements within an engineering worksite;
- the ability to lead and manage the interface risks associated with multiple tasks and/or groups.

The risks associated with each task will be managed by each relevant **Task PiC** who is accountable and holds the safe work pack for that activity.

A **SWL2** is identified by wearing a SWL armband - yellow background with blue writing "SWL".

The **SWL2** may also lead an activity as a **Task PiC** within an engineering worksite if the **SWL2** undertaking the work considers it safe to do so, and if it does not compromise their ability to undertake their other responsibilities.

In an engineering worksite containing multiple tasks and/or groups the **SWL2** reviews the interface risks associated with multiple tasks, and therefore does not need to be competent to undertake each of the tasks under their control. They should confirm that the relevant **Task PiC** has assessed and will implement the controls to manage the risks associated with the delivery of their task.

The **SWL2** shall be nominated by the lead function or contractor during the planning process. They shall be briefed on the interface risks created by the parties intending to work within the engineering worksite, in timescales that allow any additional interface controls to be included in the SWP for the worksite.

**5.3.5 Safe Work Manager (SWM)**

A trained and certified **SWM** competent individual will be appointed as the **Worksite PiC** with overall accountability and responsibility for that engineering worksite. They will be experienced in:

- planning and project managing the arrangements (non-operational risk controls) within an engineering worksite which require a higher level of strategic risk management;

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- the ability to lead and manage the interface risks associated with multiple tasks and/or groups.

The risks associated with each task will be managed by each relevant **Task PiC** who is accountable and holds the safe work pack for that activity.

The **SWM** shall be the nominated **Worksite PiC** and approve the nominated **Engineering Supervisor (ES)** to support them in managing the workload and operational risks.

The **SWM** reviews the interface risks associated with multiple tasks and therefore does not need to be competent to undertake each of the tasks under their control. They should confirm that the relevant **Task PiC** has assessed the risks and identified controls.

The **SWM** shall be nominated by the lead function or contractor during the planning process, in time to meet with planning timescales and in order to meet their accountabilities. Work parties shall notify in writing their interface risks created as part of the de-confliction process.

**NOTE:** The **SWM** will be the appointed **PiC** of the worksite with overall accountability and responsibility for that worksite, the risks associated with each task will be managed by each relevant **Task PiC** who has planned that activity as the **PiC** and holds the SWP for that discrete activity.

**5.4 When do I need a SWL2 of a SWM**

During the planning process, if it becomes apparent that the engineering worksite requires a greater capability in strategic and risk management, a **SWM** should be appointed instead of a **SWL2**. This could be due to a number of factors for example:

- a) the number and complexity of engineering trains and on-track plant movements;
- b) the geography, track layout, location and severity of work activity risks, hazards and mitigation arrangements;
- c) the presence of more than one PC in the same worksite, the interrelated task risk and /or dependences;
- d) the complexity of the site of work, number of interfaces and workgroups anticipated;
- e) the number of other worksites in the possession if there is a worksite interface to be managed;
- f) the potential of industry reputational risk in the event of possession overrun;
- g) additional operational risks to manage e.g. split possession time, ALO, live AC or DC traction;
- h) the potential for work overload of the **SWL2**, managing **ES** duties with **SWL2** responsibilities; and
- i) any other risk based consideration.

**NOTE:** The list above is not exhaustive.

**5.5 Worksite PiC (if SWL2) and Task PiC interface**

The **Worksite PiC** shall:

- a) brief each **Task PiC** on the relevant interface risks for their work activity and associated controls;
- b) confirm that each **Task PiC** is aware of all of their task risks and has controls in place to manage them;
- c) instruct **Task PiC's** to onward brief the interface controls contents of the worksite SWP to their own work group within each work area;
- d) manage any changes to the 'worksite' SWP.

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**5.6 Delegation of Rule Book Duties**

All staff undertaking the duties of **PiC** (**SWL1**, **SWL2** or **Task PiC**) shall not delegate their Rule Book duties to anyone else within the work party (**COSS** and **ES**). They shall carry out the role of **PiC** for both operational, task and location risk at all times.

**5.7 SWM and Engineering Supervisor (ES) interface**

The **SWM** and **ES** shall:

- be appointed during the planning process;
- take into account interface risks (both task and operational) between activities, identify required controls and capture this in the SWP.

**NOTE:** If a **SWM** is appointed, a different individual will carry out the **ES** duties. The **ES** is responsible for all of the **ES** duties as stated within the Rule Book.

**5.8 SWM and Task PiC Interface**

The **SWM** shall:

- brief each **Task PiC** on the relevant interface risks for their work activity and associated controls;
- confirm that each **Task PiC** is aware of all of their task risks and has controls in place to manage them;
- instruct **Task PiC's** to onward brief the interface controls contents of the worksite SWP to their own work group within each work area;
- manage any changes to the 'worksite' SWP. Where the change is operational these changes require **RM** authorisation prior to implementation.

**5.9 De-confliction**

**5.9.1 General**

During planning, all SWPs need to be reviewed so that any work content does not conflict. A de-confliction process shall be undertaken involving all parties to resolve any conflicts in planned activities that might occur.

An overview of the de-confliction process is provided in figure 2 of section 5.2.1 of this procedure.

**5.9.2 De-confliction of Engineering worksites**

There are three levels of de-confliction when planning work within a possession:

- a) multiple work areas independently led within worksite;
- b) multiple worksites within the possession; and
- c) the interaction of adjacent worksites within a possession.

Diagrams of these scenarios can be found in the appendices of this procedure.

**5.9.3 Single work area directly controlled by SWL**

In single work areas directly controlled by **SWL**, de-confliction only needs to include the interaction of the different elements of work and what specific separation controls are required. This might be physical separation or sequencing of activities. **NOTE:** This is in addition to any individual activity controls required.

The **SWL** shall undertake a review of any conflict with other engineering worksites within the possession within the planning timescales.

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**5.9.4 Multiple work areas independently led within engineering worksite**

Where an activity is independently led (i.e. maintenance patrolling through a re-railing site), the **SWL**, acting as the **Worksite PiC**, shall have an understanding of the inter-related risks associated with the independent activity to determine when or how the work can be completed and whether additional separation and/or controls are required. Task briefings for the independent activities remain the responsibility of the **Task PiC** for that element.

Work activities for Infrastructure Projects shall use the documents referred to in VR procedure ENG01 produced to meet the requirements of NR standard NR/L2/OHS/0044 (work package plan, task briefing sheets). Any additional risks and controls identified at the de-confliction meeting shall be provided to the relevant **PL** and **PiC** to amend the final SWP for the planned work.

**5.9.5 The interaction of adjacent worksites within a possession**

This is the existing higher-level de-confliction undertaken as part of possession planning. For de-confliction to be effective, the work detail created in support of the worksite arrangements will need to be available for review. Any modification to the worksite arrangements shall be reviewed by the **SWL** in conjunction with the **RM** and **PL**, and safe work arrangements updated with additional controls if they determine it is necessary.

This de-confliction does not require the direct input of the **SWL** if the information relating to the work is available for each worksite being reviewed. Representatives from Network Operations, Infrastructure Projects and suppliers, together with Area/Route planning teams will be required for the de-confliction meeting.

**5.10 Planning the Work**

When planning the work, alternative means of achieving the objective should always be considered before requiring people to go on or near the line.

If this is not possible, work must be planned, following the requirements of NR/L2/OHS/019 - Safety of People Working On or Near the Line and this procedure.

In both cases the eight-stage Hierarchy of Safe Systems of Work must be considered and applied, as detailed in section 5.16 of this procedure.

Work activities when 'on or near the line' shall, where reasonably practicable, be carried out within Possessions, Line Blockages or Fenced sites of work.

**5.11 SSOW Requests**

The **RM** shall instruct the **PL** to plan the work using form SAF19F01 (SSOW Request Form) ensuring that the PL has adequate knowledge/information of the work being planned and has either walked site or found other means to get to know the worksite prior to submitting the request.

Where tender/pre-contract site walkouts are required to be done, the SSOW of work will be produced and managed by VR where only VR staff and contractors are present on the walkout.

Where NR are arranging and/or attending the site walkout then the SSOW process will be managed and produced by NR. The **RM** continues to be responsible for the process irrespective of who instructs the **PL**.

All SSOW requests shall be made a minimum of 5 working days in advance of the planned works. Any requests submitted less than 5 working days before work commences must be signed off by the relevant **Senior Project Manager/Project Manager** and reported through to **VRCC**. Requests that are submitted 2 days or less prior to works commencing must be signed off by a HSQESLG member. Late requests that are not signed by a HSQESLG member will be rejected by the **PL** and reported through to **VRCC**.

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In circumstances where the **RM** cannot gain access to the form SAF19F01 SSOW Request Form, the **PL** may fill out the form on their behalf as long as they acknowledge its accuracy prior to the works taking place.

**Note:** Form SAF19F01 - SSOW Request Form must be completed for all types of working i.e. possessions, unassisted lookout etc.

## 5.12 Lookout Working

Where lookout protection is selected as the safe system of work the **RM** must ensure that the following requirements apply:

- a) Lookout working, walking (access/egress) will only be allowed once a full risk assessment has been conducted which proves without doubt that the work cannot be done in any other way
- b) Lookout working must be pre-planned i.e. a decision to come down the hierarchy on the day and work with unassisted lookout protection will not be allowed unless 'exceptional circumstances' apply. This will be authorised by **Health & Safety on-call representative**
- c) A suitable and sufficient risk assessment for lookout working must be authorised by an **HSQESLG member**
- d) Where reasonably practicable, only VR lookouts to be used. Alternatively, if they are not a VR employee, then VR must be the lookouts primary sponsor. When working on alliances/JV's then the lookout must be either VR or a permanent member of staff and primary sponsored by one of the alliance/JV partner(s)
- e) All **lookouts** must have undertaken the 'Non-Technical Skills Underpinning Knowledge Assessment' in VR procedure CMS04 and the NR eLearning assessment
- f) Lookout working must be pre-planned i.e. a decision to come down the hierarchy on the day and will be authorised by HSQES On-Call
- g) **Lookouts** must be planned to work on a 2hr shift rotation – a 'rotation plan' must be identified and the lookout shift rotation must be recorded on form SAF19F06 which will be provided in a booklet format to all competent lookouts by Document Control
- h) Omnicom/Route Planner to be used wherever possible within the business to reduce the need to go on or near the line
- i) ZKL3000 RC to be used wherever possible within the business to improve line blockage protection to our workforce

Occurrences of Lookout working to be tabled at the HSQESLG meetings for discussion.

## 5.13 Creating the Safe Work Pack

**PL's** are empowered to decide at what level within the hierarchy of SSOW a particular task is to be carried out, whilst following any instructions provided by the **RM** which limit how far down the Hierarchy of Safe Systems of Work the work may be planned.

Line blockages are to be applied for in all cases where work is planned to be carried out within 2 metres of the running line, unless work is planned to be within a possession or unless Lookout protection is deemed required. Refer to SAF19M003 – Planning and Taking Line Blockages.

Where work is to be undertaken on or near the line and is more than 2 metres from the running line or within a fenced area then a line blockage will not be required.

Where lookout protection warning is required to be used to get to a place of work (i.e. working in a fenced protection zone but having to walk on or near the line to reach the work site) then the RM must ensure that a suitable and sufficient Lookout Risk Assessment is undertaken and signed off by a HSQESLG member.

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The SSOW must follow the hierarchy as required and if Lookout protection is to be used then a review of the site layout, positions of safety, specific work location (i.e. are there any open lines to cross) and the suitability of the cess as a safe walking route must be identified.

If booked safeguarded, fenced or Site Warden protection is required the **PL** shall apply for this using PPS or GZAC and supply the appropriate forms along with the SWP.

Further details on the development, review, approval and implementation of the SWP is included in clauses 5.17 and 5.18 of this procedure.

**5.14 Employment definition and sponsorship**

**5.14.1 Definition of ‘employed’**

In regard to a **SWL** the individual shall be regarded as employed if they satisfy all of the following criteria:

- a) the employer is the Sentinel Primary Sponsor;
- b) he/she is employed under a contract of employment and is exclusively working for the employer; and
- c) he/she is acting on behalf of VR and using VR’s safety management system(s).

**5.14.2 Sentinel Sponsorship**

In accordance with NR/L3/OHS019-IP, all **SWL2** and **SWM** competent individuals shall be primary sponsored by VR.

VR where ever possible use **SWL1** staff who are primary sponsored VR. Where this cannot be achieved, VR may use a **SWL1** competent individual supplied from a third party as long as the following criteria are met:

- a) the 3rd party is approved to supply **SWL1** staff using the RISQS process;
- b) a contract of employment exists between the 3rd party and VR;
- c) evidence can be provided of efforts have been made to use **SWL1’s** employed and sponsored by the VR;
- d) the **SWL1** is employed and Primary Sponsored by the supplying 3rd party;
- e) demonstration why a particular **SWL1** was selected based on the requirements laid out in NR/L2/OHS/019;
- f) the **SWL1** complies with all **PiC** responsibilities as laid out in NR/L2/OHS/019;
- g) the **SWL1** has received a detailed induction into VR’s safety management system within the last 6 months or prior to the first shift if they haven’t worked for that lead organisation within the last 3 months.

**5.15 Possession Planning**

When planning work in possessions, the risks from train movements on open lines adjacent or close to the possession, and movements of engineer's trains, on track machines (OTM) and on track plant (OTP) within the possession, shall be taken into account.

Where there are open lines adjacent to the possession, the **PL** shall specify the SSOW to be adopted in relation to these lines, taking particular account of the distance between the blocked and open lines and the fact that this distance could vary through the length of the possession.

The requirements of managing the risk for open line working can be found in VR procedure PE326M001 - Adjacent Line Open Working and must be applied in all cases.

The requirements of the Rule Book and the Hierarchy of Safe SSOW shall be applied in respect of the open lines, with the highest practicable option being selected. The SSOW shall take into account any ALO Risk Assessments that have been produced for the work.

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The verification and detailed planning of the SSOW for the open lines shall be completed by the nominated **COSS/IWA**.

All movements of engineer's trains, OTM and OTP present a risk to track staff. The planning of the works will take into consideration the requirements of the rule book handbooks 7, 8, 9 and 12.

### 5.15.1 Factors for Consideration

The **RM** will consider / review:

- a) the extent of the access available or the access, which has already been booked and could be shared.
- b) the number of people involved and whether it is appropriate for them to be under the control of a single **Task PiC**
- c) whether it is appropriate for the **Task PiC** in charge of a work group to have work duties in addition to their duties
- d) whether any work will be done during periods of darkness or poor visibility arrangements for site access/egress and provision of lighting
- e) possession limits that will need to change or worksites shortened during the works
- f) number of Lookouts required in agreement with the **PL** (if this warning method is to be used) and the SSOW arrangements to protect their movements whilst On or Near the Line

The **PL** shall consider / review:

- a) The work
- b) Protection(s) required

The **PL** shall also take into account all relevant factors, which may include (but is not limited to):

- a) how possessions and worksites will be managed
- b) the nature, location, duration and urgency of the work
- c) any specific requirements for the work, bearing in mind that some tasks will need to be undertaken in daylight (e.g. inspection or examination of infrastructure)
- d) the Hierarchy of Safe Systems of Work, as detailed in 5.16 of this procedure
- e) any necessary requirements for obtaining blockages of running lines or sidings
- f) the identification and duties of the **PICOS** in accordance with Handbook 13
- g) availability of safeguarded, fenced or **Site Warden** warning working opportunities
- h) any working in a train running environment (previously known as red zone working) prohibitions as specified in the Rule Book or the Network Rail National Hazard Directory
- i) other work going on in the area by other contractors, PC's, the Maintainer, etc. that may impact on the planned SSOW. (The **PL** is responsible for ensuring they have this information by attending or receiving suitable feedback from weekly construction/project meetings)
- j) the length of the work site
- k) whether any work will be done during periods of darkness or poor visibility arrangements for site access/egress and provision of lighting
- l) tools and equipment to be used
- m) presence of junctions, crossovers, bi-directional lines or single line working on any lines(s) at or adjacent to the work site
- n) number of trains on any line(s) at or adjacent to the work site

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- o) amount of time between trains on any line(s) at or adjacent to the work site
- p) length of warning time required for the work in a train running environment
- q) whether one or more lines will be open to traffic between the work site and the position(s) of safety
- r) where the work is moving particular care shall be taken that the SSOW will remain adequate at all times throughout the work. Any limited clearance structures, changes in line speed, junctions, crossovers, prohibitions, changes in sighting distances, noisy areas, etc. shall be taken into account
- s) movement of on track machines or trains within a possession or on any open lines close to a possession
- t) number of lookouts required in agreement with the **RM** (if this warning method is to be used) and the SSOW arrangements to protect their movements whilst 'On or Near the Line'
- u) whether train warning systems (equipment) is available and available staff are competent in their use
- v) whether there will be high noise levels either generated by the work or in the background
- w) the best reasonable means of doing the work and possession limits that will need to change or worksites shortened during the works

### 5.16 Hierarchy of Safe Systems of Work

The table shown below details the order or preference for selection of protection and warning systems where a protection system involving running lines being blocked to train movements or a warning system is to be chosen.

The highest achievable SSOW consistent with the nature, location, and duration of the work shall be selected in accordance with the criteria set out below in the table below.

Starting from the top, each SSOW in the hierarchy shall be considered in turn and the highest appropriate system selected. Work that has been planned using these SSOWs shall be considered to meet the planning requirements of both this procedure and the Rule Book.

Choice	Safe System of Work and (Type)							
1	<b>Safeguarded site of work (protection)</b> Where every line at the site of work has been clocked to normal train movements							
	<b>Possible consideration for not applying this safe system of work:</b> <ul style="list-style-type: none"> <li>a) the required blockage(s) of the line(s) are not available or</li> <li>b) the time required to take the line blockage is disproportionate; or</li> <li>c) work cannot be re-planned to maintain this optimal protection.</li> </ul>							
	<b>Examples of safe systems:</b> Engineering possession, Line blockages, Demarcation as Rule Book, Line block-staff/token, Lock Out Device (LOD), Lines blocked with T-COD, Line block with signal disconnection, Line block with detonators or PLB, Simple line block.							
2	<b>Fenced site of work (protection)</b> Where there is a suitable barrier between the site of work and any line open to the normal movement of trains or moving vehicles.							
	<b>Possible consideration for not applying this safe system of work:</b> <ul style="list-style-type: none"> <li>a) the required blockage(s) of the line(s) are not available or</li> <li>b) the time required to erect and dismantle fencing is disproportionate; or</li> <li>c) work cannot be re-planned to implement a higher protection</li> </ul>							
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	<p><b>Examples of safe systems:</b></p> <p>Engineering possession, Line blockages, Demarcation as Rule Book, Line block-staff/token, Lock Out Device (LOD), Lines blocked with T-COD, Line block with signal disconnection, Line block with detonators or PLB, Simple line block.</p>
3	<p><b>Separated site of work (protection)</b></p> <p>Where there is a distance of at least 2 metres (6 feet 6 inches) between the nearest running rail of an open line and the site of work, and a site warden has been appointed to maintain the safe limits of the protected area. There is an identifiable limit to the site of work; or</p> <p>Where there are 2 people in the group, a site warden does not need to be appointed. Neither member of the group is to go any closer than 2 metres (6 feet 6 inches) to the nearest running rail of the open line. There is an identifiable limit to the site of work.</p>
	<p><b>Possible consideration for not applying this safe system of work:</b></p> <ul style="list-style-type: none"> <li>a) the required blockage(s) of the line(s) are not available or</li> <li>b) the time required to erect and dismantle fencing is disproportionate; or</li> <li>c) work cannot be re-planned to implement a higher protection</li> </ul>
	<p><b>Examples of safe systems:</b></p> <p>Engineering possession, Line blockages, Demarcation as Rule Book, Line block-staff/token, Lock Out Device (LOD), Lines blocked with T-COD, Line block with signal disconnection, Line block with detonators or PLB, Simple line block.</p>
4	<p><b>Permanent (warning)</b></p> <p>Where this is permanently installed equipment, which will provide a warning, to give sufficient time to allow everyone involved to reach a position of safety at least 10 seconds before any train arrives at the site of work.</p>
	<p><b>Possible consideration for not applying this safe system of work:</b></p> <ul style="list-style-type: none"> <li>a) the required equipment is not available or</li> <li>b) the equipment is not suitable for the activity; or</li> <li>c) work cannot be re-planned to implement a higher protection</li> </ul>
	<p><b>Examples of safe systems:</b></p> <p>Permanent Installation of Signal Controlled Warning System (e.g. LEWiS); Automatic Track Warning System (ATWS); Semi-Automatic Track Warning System (SATWS)</p>
5	<p><b>Train Operated Warning System (TOWS)(warning)</b></p> <p>Where there is permanently installed TOWS that will provide a warning, to give sufficient time to allow everyone involved to reach a position of safety at least ten seconds before any train arrives at the site of work. Supplemented where necessary by other methods of warning.</p>
	<p><b>Possible consideration for not applying this safe system of work:</b></p> <ul style="list-style-type: none"> <li>a) TOWS equipment is not available; or</li> <li>b) the equipment is not suitable for the location due to local restrictions and/or special instructions; or</li> <li>c) adequate warning cannot be given; or</li> <li>d) work cannot be re-planned to implement a higher protection</li> </ul>
	<p><b>Examples of safe systems:</b></p> <p>Train Operated Warning System (TOWS)</p>

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<b>6</b>	<p><b>Human Activated Equipment (warning)</b></p> <p>Where portable equipment can be deployed and activated by a lookout in order to provide a warning, to give sufficient time to allow everyone involved to reach a position of safety at least ten seconds before any train arrives at the site of work.</p> <p><b>Possible consideration for not applying this safe system of work:</b></p> <ul style="list-style-type: none"> <li>a) the time required to plan, install and remove LOWS is disproportionate; or</li> <li>b) the required equipment is not available; or</li> <li>c) work cannot be re-planned to implement a higher protection</li> </ul> <p><b>Examples of safe systems:</b></p> <p>Lookout Operated Warning System (LOWS)</p>
<b>7</b>	<p><b>Portable (warning)</b></p> <p>Where portable equipment can be installed which will provide a warning to give sufficient time to allow everyone involved to reach a position of safety at least ten seconds before any train arrives at the site of work.</p> <p><b>Possible consideration for not applying this safe system of work:</b></p> <ul style="list-style-type: none"> <li>a) portable warning systems are not available or suitable for the location; or</li> <li>b) does not provide an adequate warning for the task; or</li> <li>c) the time required to plan, install and remove the portable warning system is disproportionate; or</li> <li>d) work cannot be re-planned to implement a higher protection</li> </ul> <p><b>Examples of safe systems:</b></p> <p>Automatic Track Warning System (ATWS), Semi-Automatic Track Warning System (SATWS)</p>
<b>8</b>	<p><b>Lookout Warning</b></p> <p>Where one or more lookouts are positioned to provide enough warning to allow everyone involved to reach a position of safety at least ten seconds before any train arrives at the site of work; or</p> <p>Where a Task Leader (COSS/IWA) is working alone and looking out for him/herself.</p> <p><b>THIS SHALL ALWAYS BE REGARDED AS THE LAST RESORT</b></p> <p><b>Examples of safe systems:</b></p> <p>Lookout fixed refuge, Lookout (multiple), Site Lookout</p>

### 5.17 Documenting the SSOW

Once appropriate protection has been decided and arranged, the **PL** shall record the planning process using the 'On:Trac Connect' system.

The 'On:Trac Connect' System will maintain a register of SWP's that **VRCC** can access when required. In normal circumstances the **PL** shall propose the plan and provide a part completed Record of Arrangements Form (included in the On:Trac Connect SSOW Pack) and, if applicable, NR3180 form(s) to the **PiC**.

The required forms will be provided during the seven days prior to commencement of the work. The **RM** and **PL** should look to increase this timescale in the case of the use of sub-contracted **PiC** wherever possible.

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**5.17.1 The Safe Work Pack**

See section 5.1 of this procedure for details of the SWP contents etc.

**5.17.2 Worksites in Possessions**

In producing SWP's for worksites within possessions the **PL** shall consider the complexity and work content of the worksite.

For a worksite with several complex work items, possibly including Engineering Trains or On-Track Plant, the **PL** shall consider all factors in the possession that could affect the safety of track workers (as stated on the request form SAF19F01).

This includes the passage of engineering trains into worksites and on adjacent lines, taking of isolations, the operation of points, control of signals, level crossings for train movements and wrong direction movements. The **PiC** may be made aware of these movements in advance by the **PL** within the SWP. The planned movements will be briefed and confirmed again when the **PiC** signs in with the **ES** before commencement of the work.

A SWP is required for the placing and removing of worksite markerboards under signal protection.

**5.17.3 Verification of the Safe Work Pack**

The **PL** will supply the SWP to the **PiC** for verification using the 'On:Trac Connect' system.

The **PiC** will check that all the contents identified as required by the **PL** are included. The **PiC** will then forward the SWP to the **RM** for authorisation at least one shift in advance of the planned work. (For clarity, one shift in advance of the work is equal to 12 hours)

The **PiC** will verify that the proposed SSOW is appropriate and can be implemented as planned, using their part of SAF19F05.

The **PiC** will:

- check the SWP contains the required documentation, giving consideration to the location, the nature of the work and the resources required
- use the information provided and their local knowledge to check the pack contents is accurate, appropriate and can be implemented as proposed
- either accept and complete the plan, or reject it and return the rejected plan to the **PL** via the **RM**
- record the outcome of their verification of the pack either electronically or in hard copy using the SAF19F05 SWP Verification form.

**5.17.4 Rejection of the SWP**

If the **PiC** or the **RM** rejects any aspect of the SWP, they must record the changes necessary to establish an acceptable SSOW on SAF19F05 - SWP Verification Form and return to the **PL** via the **RM** for alteration.

The **PiC** must suspend the work until such time as an acceptable SWP can be established.

Upon receipt of a rejected SWP the **PL** will:

- consider the changes requested
- make any alterations necessary and obtain authority from the **RM** as required (e.g. for additional resources or for planning a SSOW at a lower level in the Hierarchy of Safe Systems of Work) prior to submitting the SWP for verification

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Records of this verification process, including the time and date the verification took place shall be kept by the **PL** through the On:Trac system.

### 5.17.5 Acceptance of SWPs

At the point of use the **Task/Worksite PiC** shall check that the SWP is fit for use. They shall check:

- whether the detail in the SWP is consistent with the locations and the work to be undertaken;
- That the specified controls are suitable and can be applied; and
- That planned risk controls remain adequate for the site conditions.

In worksites with independently led activities, the **Worksite PiC** shall seek confirmation from the **Task PiC** or equivalent that the SWP is fit for use before work commences.

The **Worksite PiC** and **Task PiC** shall review any inconsistency with the SWP. The affected work shall not be permitted to start until a review is completed.

### 5.17.6 Escalation by the PiC

Escalation by either the **Worksite or Task PiC** is not required for amendments when:

- Protection from trains is moved up the hierarchy of control (operational risk) to provide a higher level of protection;
- Any identified additional task does not import further risk;
- Amendment to access/egress arrangements are covered by the information within the SWP in open line only;
- Emergency response (exceptional circumstances) – other than normal escalation of incidents and response.

Escalation by the **PiC** is required for amendments when:

- The protection from trains arrangements are required to move down the hierarchy of control;
- Unplanned changes to worksite limits to cover work and access points;
- Significant change to work content and/or risk controls;
- Changes to planned detail is not supported by information in SWP;
- As determined by the **RM**;
- Where any doubt exists with the **PiC** to implement the SWP.

**NOTE:** The verification of SWPs will be recorded on SAF19F05 SWP Verification form.

### 5.17.7 Timescale Exceptions

The **PiC** will only verify a SWP during the same shift as that which the work is to take place where:

- unforeseen sickness of the originally nominated **PiC** has meant the **PiC** has been nominated for the work by the relevant **RM** in the previous 24 hours,
- or
- the relevant **RM** authorises it using the SWP Verification Form for other exceptional reasons. (e.g. for occasions when a **PiC** has returned to work following annual leave or a period of training). These occasions shall be kept to a minimum and must be logged with **VRCC**

All instances of SWP's being verified on the same shift as that on which the work takes place shall be recorded by the **RM** and discussed through the BHSQELG meeting structure as applicable.

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**5.18 Implementing the planned Safe Work Pack**

Once on site, the **PiC** shall check that the planned SWP is appropriate for the conditions and can be implemented as planned. The checking process must be recorded with **VRCC** who will issue a unique reference number.

Where a pre-booked line blockage is refused by the Signaller the **PiC** must report this to **VRCC** along with reasons for the refusal. **VRCC** will log the refusal and advise the relevant **RM**.

The **PL** must review the planned work and resources available on site and determine if it is safe to come down the hierarchy in accordance with table 1, Section 5.16 of this procedure. The **RM** is the only person who has the authority to authorise this in the event of a line blockage being refused but can contact the **Health & Safety on-call representative** for advice and record the changes on the RT9909 form.

Lookout warning will be the last resort in all cases and can only go ahead if all other possibilities have been considered and reasonably discounted. For re-planned work following a rejected line blockage, lookout warning must be approved by the **Health & Safety on-call representative**. If it is not possible to come down the hierarchy then the works will not go ahead. Further stipulations regarding lookout warning are detailed in clause 5.12 of this procedure.

The **PiC** retains ultimate responsibility for safety on site and has the final decision as to whether a planned SWP is acceptable.

On completion of the work the **PiC** will return the implemented SWP to the SAC or the VR representative on site who will return to the **RM** and **PL** who prepared the original SWP.

**5.18.1 Inadequate SSOW**

If the **PiC** considers the SSOW to be inadequate or determines that it cannot be implemented as planned (e.g. due to weather conditions, equipment failure or a problem with resources) they shall ensure work does not commence until the SSOW is adequate.

When moving **DOWN** the SSOW Hierarchy:

- Inform **VRCC** of the need to move down the hierarchy and request the input of a **PL** & appropriate **RM** to do so;
- Once consent of the **PL** is received, the **PiC** must seek authorisation from the **RM** and record the changes on the RT9909 form;
- Inform **VRCC** of the changes and confirm the **RM** authorisation. **VRCC** will record the changes in the 'comments' field on the SSOW register and the appropriate validation, and issue an AIRSWEB to the relevant distribution list

**5.18.2 Appropriate SSOW**

If the **PiC** is satisfied that the SSOW is appropriate and can be implemented as planned, the **PiC** shall sign the SSOW pack summary sheet and the RT9909 form and the **RM** shall consider the change and authorise where appropriate.

Prior to allowing work to start the **PiC** shall brief the SSOW to the entire work group, check their understanding of the briefing, and obtain their signatures on the RT9909 form to confirm they have received and understood the briefing. Signing of the RT9909 does not remove the requirement for the signing of specific documentation/permits that may be included in the SWP such as Task Briefs Sheets etc, which should be signed in accordance with ENG02.

The **PiC** shall ensure that they have tested the SSOW and briefed the lookouts on their position of safety and the location is recorded on the RT9909 form.

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Under no circumstances shall the **PiC** permit work to commence or continue where an adequate SSOW cannot be established or maintained.

### 5.18.3 Changing the SSOW after Implementation

If, after implementation, there is a need to change the SSOW detailed in the SWP, the **PiC** shall suspend any work taking place and move the work group to a position of safety.

Any additional task or site risk and their controls that have not been identified within the SWP, are required to be approved by the discipline specific **Construction Responsible Engineer or Construction Engineering Manager (CRE/CEM)** prior to their implementation.

Where additional task or site risks and controls cannot be agreed or implemented the works must cease and the works re-planned.

These agreed changes must be documented in section 7 of the relevant TBS, and the group re-briefed with the changes. The group must then re-sign the relevant TBS.

Prior to allowing work to restart the **PiC** shall brief the revised SSOW to the entire work group, check their understanding of the briefing and the new SSOW to be implemented, and obtain their signatures on the RT9909 form to confirm they have received and understood the briefing.

### 5.18.4 Out of Hours

The **PiC** retains ultimate responsibility for safety on site and has the final decision as to whether a planned SSOW is acceptable.

If there is a requirement to amend the planned SSOW then the **PiC** shall contact the **RM** to seek authorisation. This will be undertaken in conjunction with **VRCC** and, where going down the hierarchy, the **PL**.

## 5.19 Planning in Exceptional Circumstances

Occasions where the **PiC** plans the SSOW in emergency situations is not deemed applicable to the VR scope of operations and therefore will not be undertaken. Any changes to this requirement should be notified to the **VR HSQES Director** for review who will advise on an appropriate course of action.

## 5.20 Monitoring

The performance measurement requirements for this procedure will be monitored via the worksite validation process and performance data gathered from VRCC.

VR will monitor the effectiveness of this process by recording details of:

- The number of packs rejected by **RM's** or **PiC's**
- The number of packs amended on site
- The number of packs returned
- The number of packs reviewed by **RM's**

The **PM** will monitor the standard of SWP for their project and investigate any issues raised by the **RM / PL / PiC** at regular project review meetings.

These will then be raised at the relevant BHSQESLG meetings.

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The **RM** shall review trends of where SWP's have been verified on the same shift the work is being undertaken, as part of the audit/continual improvement process. This shall be in conjunction with a VR Senior Line Manager.

The **RM** shall maintain a log of the number of SWPs issued and not implemented.

The **RM** must review 10% of all completed SWP's per period using form SAF19F03 and instigate measures to address any issues found. The review of the SWP identify and assure whether the SWP:

- produced by the **PL** was accurate and appropriate and within the timescales
- was verified and authorised as required prior to implementation
- all relevant fields were completed accurately (including signatures)
- was implemented as planned and any changes made were authorised as required, and
- errors/amendments identified by the **PiC** have been corrected before the SWP is re-issued

Completed SAF19F03 forms must be emailed to [audits@volkerrail.co.uk](mailto:audits@volkerrail.co.uk) for input to the company AIRSWEB system.

### 5.21 Records

The **RM** is accountable for the retention of the SWP's and associated documents in accordance with the following:

- six years for electronic records; and two years for hard copies OR
- in the event of an incident, injury or fatality: six years for electronic records; and six years for hard copies

### 5.22 Working in depots and sidings

It is noted that the current NR PDSW standards / guidance do not adequately address the arrangements for working in depots and sidings that are taken under line blockage / possession arrangements from the client.

The rule book states that the arrangements for depots / sidings are under the control of the **Person in Charge of Sidings (PICOS)** when the sidings are taken under their control with the agreement from the Signaller but does not reference the requirements for a **PiC / SWL** etc.

Therefore, suitable arrangements are as follows:

- The lead person for the relevant depot will take the role of the **PiC** to ensure adequate planning and the involvement and coordination of all work activities.
- A **SWL1** will assist and will involve and liaise with and will hold the SWP and control task / operational activities on site. The **SWL1** will be supported by the **PICOS** who will manage the requirements with the Signaller and the client.
- Arrangements agreed will be detailed on the PICOS Record form (SAF19F12)
- The **SWL1** and **PICOS** can be the same person if they hold the required competencies and it is deemed appropriate to manage the risks by the lead person.

### 5.23 Handback – Nominated Site Inspection Person (NSIP)

The RSSB Modular Rule Book requires an **ES / SWL2** to certify that the infrastructure within their worksite is safe for the passage of trains prior to handing back to traffic.

VR process for the NSIP process is detailed in module SAF19M001 to enable the **ES / SWL2** to meet these requirements.

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SAF19M001 should be read in conjunction with the requirements of VR procedure TRK01 - Commissioning Track Works.

## 5.24 Explanation of associated forms

Below is a list of all associated forms with a short explanation of how they should be used.

Document Reference/Name	Purpose
SAF19F01 - Safe System of Work (SSOW) Request form	A form used to initiate the process for the planning of SSOW and the associated Safe Work Pack.
SAF19F02 – Subcontract COSS Briefing form	A form used when subcontract COSS/SWL are contracted to work on VR sites.
SAF19F03 – Responsible Manager SWP Audit form	A form used by RM's to monitor compliance to the SWP planning process by ensuring the accuracy of SWPs.
SAF19F04 – Responsible Managers Assessment form	A competency indicator test used to confirm the knowledge of Safe System of Work Planners and RM's.
SAF19F05 – Safe Work Pack Validation form	A form signed by the PL, PIC, RM to verify and be authorised to establish that all relevant task and site risk controls, permits etc. are in place for the work activity to be undertaken
SAF19F06 – Lookout Rotation Logbook	A form used on site when handover from one Lookout to another is undertaken.
SAF19F07 – Suitability Criteria for Responsible Manager	A form used by the relevant Line Manager for the nomination and appointment of Responsible Managers.
SAF19F08 – Suitability Criteria for Person in Charge	A form used by the relevant Line Manager for the nomination and appointment of Person in Charge.
SAF19F09 – Suitability Criteria for Safe Work Manager	A form used by the relevant Line Manager for the nomination and appointment of Safe Work Managers
SAF19F10 – Safe Work Pack Template	A Safe Work Pack is the document used to identify all operational and task risks associated with any activity and contains the appropriate mitigation controls for the risks.
SAF19F11 – Safe Work Leader 1 (SWL1) / Controller of Site Safety (COSS) Checklist	A form used by the SWL1/COSS to ensure all applicable tasks and activities have been completed.
SAF19F12 – PICOS Record Form	A form used to record working arrangements in a sidings following agreement by all relevant parties.
SAF19F13 – SWL2 Site Log	A form used by the SWL to log site activities
SAF19F14 – Worksite Certificate	A form which conforms to RT3199
SAF19F15 - SWP Supplementary Validation & Sign-In Form	A form used where an electronic pack does not allow sign in during this COVID-19 pandemic period.

## 6. ASSOCIATED GUIDANCE & INFORMATION

- Appendix A – SWL1 as PiC – open line scenario
- Appendix B – SWL1 as PiC – line blockage scenario
- Appendix C – SWL1 as PiC – ‘Protection Controller’ scenario
- Appendix D – SWL2 as PiC – ‘Possession’ scenario
- Appendix E – SWL2 is PiC – ‘Multiple work activity possession’ scenario
- Appendix F – SWM is PiC scenario
- Appendix G – ‘Possession’ scenario – Network Operations managed worksite within a possession with multiple work activity

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- Appendix H – Safe Work Manager – Disruptive Possession
- Appendix I – Safe Work Manager – Rules of the Route Possession
- Appendix K – Remote signing into an ES worksite
- Appendix L – Creation and Application of Safe Work Packs and Briefing Arrangements – COVID-19 Contingency Plan
- SAF19M001 – Site Inspection Person handback process
- SAF19M002 – Rail Operations within a Depot Environment
- SAF19M003 – Planning and Taking Line Blockages

## 7. DOCUMENTATION (OUTPUTS)

- RT9909 – Record of Arrangements and Briefing Form
- RT3199 – Engineering Supervisors Certificate
- NR3180 – Line Blockage Form
- SAF19F01 – Safe System of Work (SSOW) Request form
- SAF19F02 – Subcontract COSS Briefing form
- SAF19F03 – Responsible Manager SWP Audit form
- SAF19F04 – Responsible Managers Assessment form
- SAF19F05 – Safe Work Pack Validation form
- SAF19F06 – Lookout Rotation Logbook
- SAF19F07 – Suitability Criteria for Responsible Manager
- SAF19F08 – Suitability Criteria for Person in Charge
- SAF19F09 – Suitability Criteria for Safe Work Manager
- SAF19F10 – Safe Work Pack Template
- SAF19F11 – Safe Work Leader 1 (SWL1) / Controller of Site Safety (COSS) Checklist
- SAF19F12 – PICOS Record Form
- SAF19F13 – SWL2 Site Log
- SAF19F14 – Worksite Certificate
- SAF19F15 – SWP Supplementary Validation & Sign-In Form

## 8. ISSUE RECORD

Issue	Date	Comments
1	01/10/2012	Previously issued as SQE/19, transferred to specific safety section. Rewrite of procedure to consider delivery issues within the organisation and the introduction of the 'On: Trac Connect' SSOW planning system. It also incorporates VolkerRail TTA/093 dated 06/07/2011 where working with multiple COSSs in a possession using an identical safe system of work. Includes reorganisation of forms and amendments to requirements for competencies.
2	03/05/2013	Updated to reflect the requirements of the Safe Systems of Work Action Plan Issue 2 dated 02/05/2013, which has been developed following the major accident at Stockleigh where a lookout was struck by a train. AIRSWEB AI ID 19897.
3	12/05/2014	Full review undertaken as part of the SSOW Action Group and the outcome of the SSOW Action Plan Issue 3. Procedure has been updated to ensure a more structured approach to the planning of SSOW with timelines now set between 7 and 2 days requiring authorisation from Senior Managers. A full description of the updates is included in the Briefing Note.

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Issue	Date	Comments
4	12/08/2015	Updated to incorporate PDSW arrangements and cross boundary working during the phased approach of PDSW across the regions. Also includes Lookout Working Risk Assessments / Instructions. Minor amendment made to clarify independent role of Responsible Manager and Planner during planning process and requirements for producing a SSOW pack for tender/pre-contract walkouts.
5	01/09/2017	Document fully reviewed and amended following the implementation of Issue 9 of Network Rail's standard NR/L2/OHS/019 Safety of People at work on or near the line. Full compliance to the Network Rail standard is 23 <sup>rd</sup> September 2017. Document further amended following receipt of updated guidance document from Network Rail. New clause 5.2.9 added to include definition and reference to the Technical Expert.
6	03/10/2018	Document fully reviewed and amended to reflect the issue of the Network Rail IP standard NR/L3/OHS/019-IP - Planning and delivering safe work – Implementation principles for Infrastructure Projects. Main change throughout the document is the introduction of a Worksite PiC and a Task PiC replacing the role Task Leader, which has been removed from the procedure. Further changes include the inclusion of a clause referencing the new SIP Handback module (SAF19M001), changes to the SAF19F03 and SAF19F04 forms and the creation of two new forms SAF19F11 and SAF19F12.
7	30/06/2020	Amendment to SAF19F01 - Safe System of Work (SSOW) Request form. Amendment to SAF19F05 – Safe Work Pack validation form. New form SAF19F13 – SWL2 Site Log. New form SAF19F14 - Worksite certificate (conforms to RT3199) New form SAF19F15 – SWP Supplementary Validation & Sign-in form Withdrawal of Appendix J New Appendix K - Remote signing into an ES worksite New Appendix L - Creation and Application of Safe Work Packs and Briefing Arrangements – COVID-19 Contingency Plan Introduction of module 2 – Rail Operations within a Depot Environment and SAF19M002F01 – Points Tracker.
8	21/07/2020	Minor changes made to the following clauses. 5.17.2 5.17.3 5.18.2
9	21/10/2020	Introduction of module 3 – Planning and Taking Line Blockages and associated forms (SAF19M003F01, F02, F03 and F04)

## 9. WHAT HAS CHANGED IN THIS LATEST ISSUE AND WHY?

Module 3 – Planning and Taking Line Blockages as well as associated forms, has been produced, following internal audit findings.

Section 5.13 has been updated to reflect this.

## 10. BRIEFING REQUIREMENTS

All new employees will receive an introduction to the Integrated Management System (IMS) at induction, according to the nature of the role.

All employees with an email address receive the 'Record of Revisions' each month, which details changes to the IMS. All Line Managers retain the responsibility to ensure their staff are briefed on changes as appropriate.

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The following table defines how revised issues of this document are briefed to existing employees according to related specific responsibilities.

This is determined using the 'RACI' principle. Those roles identified as 'Responsible' and 'Accountable' should receive a formal awareness briefing facilitated by the Document Owner.

Discipline	Role	RACI	Type of briefing
HSQES	Health & Safety Advisors	Consulted	Detailed
HSQES	Health & Safety Managers	Consulted	Detailed
HSQES	Senior Health & Safety Manager	Consulted	Detailed
HSQES	Training & Competence Manager	Consulted	Awareness
HSQES	Training & Competence Administrators	Informed	Awareness
Senior Management	Business Directors	Responsible	Detailed
Senior Management	General Managers	Responsible	Detailed
Project Management	Assistant Project Manager	Consulted	Awareness
Project Management	Project Engineers	Informed	Awareness
Project Management	Project Manager	Responsible	Detailed
Planning	Planning Personnel	Accountable	Detailed
Resources	Resource Manager	Responsible	Detailed
VRCC	VRCC Manager	Informed	Awareness
VRCC	VRCC Duty Controllers	Informed	Awareness

Competence	RACI	Type of briefing
Responsible Managers	Accountable	Detailed
Safe Work Leaders	Responsible	Detailed
Safe Work Managers	Responsible	Detailed
SSOW Planners	Responsible	Detailed
CEM/CRE's	Informed	Awareness
Engineering Supervisors	Informed	Awareness
Controllers of Site Safety (COSS)	Informed	Awareness
AOD (CC / MC / PO / LXA)	Informed	Awareness
H&S On-call	Responsible	Detailed

## 11. IMS AUTHORISATION

### Document owner approval:

**Stuart Webster-Spriggs**, HSQES Director – 21/10/2020

### Approval for IMS:

**Paula Roberts**, IMS Coordinator – 21/10/2020

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