



Supplier  
Qualification  
Scheme

## RISQS Audit Report

<b>Audit ID</b>	4aefc053-902e-4c98-8570-3f4c33bc958c
<b>Supplier Name</b>	DATA TECH HOLDINGS LIMITED
<b>Supplier ID</b>	6901
<b>Auditor Name</b>	Robert Maydell
<b>Audit Date(s)</b>	14/11/2019 to 15/11/2019



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### Audit Details

The RISQS Scheme audit for DATA TECH HOLDINGS LIMITED took place between 14/11/2019 and 15/11/2019 and consisted of IMR Sentinel.

The audit was undertaken at:

Unit 4  
Gateway Business Centre  
Tom Cribb Road  
Woolwich Arsenal  
SE28 0EZ

### Audit Scope

<b>Initial audit</b>	Y
<b>Periodic audit</b>	N
<b>Additional audit</b>	N
<b>Condensed IMR for 5* Suppliers</b>	N
<b>Re-audit following failure</b>	N



## Executive Summary

This was Data Tech Holdings Ltd initial audit against the RISQS Industry Minimum Requirements (IMR) and Sentinel protocols. No non-conformances were identified at the audit.

Audits are based on sampling and there may exist non-conformances and other findings which were not discovered at this audit.

The Company presented an organisational chart which illustrated key roles in relation to Health & Safety, Quality, Environmental and Railway responsibilities. Duties were defined within associated job descriptions, which had been signed by the post holders and deputising arrangements were also in place to demonstrate contingency planning.

Competent Health, Safety and Environmental support was provided by an external consultant with a contract in place. The Health & Safety advisor had extensive experience in the rail industry and provided Chartered Membership of IOSH.

The business had a documented Quality Management System certified by a UKAS accredited certification body to ISO 9001:2015, 14001:2015 and most recently 45001:2018. The scope was documented as "Design, installation, testing and commissioning of data, ICT transmission & telecommunications Infrastructure; installation & removals of signalling, communications & power cabling and associated equipment on rail infrastructure; and civil engineering work".

The Company has a management system incorporating a selection of policies, procedures and forms in line with IMR and Sentinel modules. CIRAS Membership was also held by the organisation.

Company Policies including, H&S, Environment, Quality, Alcohol and Drugs and Fatigue Management were endorsed by the Managing Director and were displayed in a public area of the premises. The company are a new supplier although existing staff have many year's experience working on rail infrastructure; at the time of audit the organisation did not have Sentinel access or sponsor staff, therefore no inductions and policy briefings had taken place.

The business demonstrated that it had identified its scope of activities under the Construction (Design Management) Regulations as that of Contractor.

The business demonstrated that it had identified the competencies required for the workforce and undertake periodic performance management within the workforce.

Appropriate arrangements were in place for on-going competence management. The Company operated a skills data base which will be used to manage competency expiry and is condition formatted to alert when training is required.

Processes were in place for establishing a Contract of Sponsorship with each Individual Sentinel Card holder in line with the requirements set out within the Sentinel Scheme Rules, however; at the time of audit the organisation had not sponsored any individuals.

Unannounced drugs & alcohol arrangements were in place and the company demonstrated they had a "For Cause" contract in place with a RISQS assured D&A screening provider.

The Company demonstrated at the time of audit that suitable arrangements for the investigating and reporting of all accidents, incidents, near misses and close calls had been implemented across the business.

The Organisation demonstrated it had occupational health surveillance programmes relative to the size and scope of the organisation.

## Audit Findings

## Assessment Requirements

### Management Control [IMR - 1]



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Management Structure [1.1]



The Organisation was able to demonstrate within their integrated rail management system a clear management structure through the establishment of:

- an organisation chart
- signed job descriptions that detail the individual's role and responsibilities.

The Organisation maintain an Organisational Chart (Rail) utilising form F10 dated 19/01/2019. The document identified the following positions:

Managing Director  
Compliance Manager and Rail Administrator (Sentinel Coordinator)  
H&S Consultant  
Resources Manager  
Training Manager.

Additionally, the Organisational chart also contained designated members of staff and deputising responsibilities. The document listed designated staff including contact details for:

Managing Director  
Compliance Manager and Rail Administrator  
Rail Administrator  
Rail Director  
Resources Manager  
Training Manager  
Project Manager  
Rail Safety Advisor.

The company ensured roles and responsibilities were defined using document POL09 General Responsibilities. The document contained role & responsibility statements endorsed by post holder, sampled for the following individuals:

Rail Director endorsed 19/10/2019.

Responsible for the enforcement of Health, Safety Environmental & Quality policies. Deputising arrangements were stated as the Rail Administrator. The role holder is responsible for ensuring works are carried out with statutory regulation codes of practice Network Rail and QUENSH rules, an environmental focus maintained, first aid provision and facilities are maintained on all sites.

The role determines a minimum of five years rail project experience.

Rail Administrator endorsed 19/10/2019.

The role holder is responsible for ensuring statutory duties for drugs & alcohol screening including working experience with the Sentinel portal including three year's experience in a rail environment. When necessary the post holder will review Network Rail & Group Rail Standards periodically. The individual has responsibility to carry out the role of Sentinel Coordinator and deputise for the Managing Director.

Project Manager endorsed 19/10/2019.

Responsible for the endorsement of Health, Safety, Environmental & Quality policies ensuring LU safe systems of work re agreed and implemented. Additionally, the individual will shall provide adequate competent persons for projects and ensure an environmental focus is maintained.

The minimum requirements for the role include; having at least five year's experience working in a rail environment.

Rail Safety Manager endorsed 19/10/2019

Responsible for providing advice on the preparation, promulgation and review of company policies and management systems in respect of rail. The role holder minimum requirements include CMIOSH or equivalent professional registration. The Rail Safety Manager will provide advice relating to:

- Risk assessments & Legal requirements
- Prevention of injury
- Advise on new working methods
- Updating changes to railway standards
- Development of construction Phase and Health & Safety Plans
- Provide advice on training requirements
- Review and update rail standards.

Training Manager endorsed 19/10/2019

Responsible for assisting the Rail Coordinator including, recording results of training, maintaining the skills database. Ensuring all staff have the correct training.

Resource Manager endorsed 19/10/2019

Assist the Rail Coordinator with duties including ensuring working hours are recorded such as breaks and rest days. Carry out deputising arrangements for the Training Manager role.

Fully Compliant

**Management Control [IMR - 1]**

Health & Safety Competent Support [1.2]

The Organisation ensures they have adequate Health and Safety support to manage the work activities within their profile through the employment of the External Health and Safety Manager.

Rail Safety Manager endorsed 19/10/2019

Responsible for providing advice on the preparation, promulgation and review of company policies and management systems in respect of rail. The role holder minimum requirements include CMIOSH or equivalent professional registration. The Rail Safety Manager will provide advice relating to:

- Risk assessments & Legal requirements
- Prevention of injury
- Advise on new working methods
- Updating changes to railway standards
- Development of construction Phase and Health & Safety Plans
- Provide advice on training requirements
- Review and update rail standards.

A CV was sighted which provided evidence of the following attainment of qualifications, knowledge and experience. 30+ year's experience working with a rail environment including rail safety advice.

CMIOSH valid until 31/03/2020

Chartered Member of IOSH awarded 01/01/2007

CSCS valid until January 2020

The company representative provided a contract of engagement for the provision of services until October 2020. The document outlined provision of:

- Provision of Network Rail Company Standards
- Safety updates including Safety Central Briefings
- Pre-audit of RISQS systems annually or bi-annually.

Fully Compliant

**Management Control [IMR - 1]**

Management of Legal and Other Requirements [1.3]



The Organisation demonstrates that they are aware of the requirements of, and changes to legislation and standards through a written documented process P01 Document Management dated October 2019. The procedure documents a requirement to:

- appoint a responsible person for reviewing legislation and standard updates
- review and monitor all applicable Health and Safety Legislation, Network Rail, London Underground and Rail Industry Standards
- assess all legislation and Standard updates for business impact and apply changes to business practices where necessary
- all changes to be reviewed for effectiveness by an appointed responsible person.

The Organisation maintain a Document Register F01 dated 19/10/2019. Reviewed quarterly, the register included but is not limited to the following TfL, Network Rail, Group Rail Standards and UK Legislation:

LU Standards;

- LU-WN-01334 TfL LU rulebook 16
- LU-S1257 A2 Drugs & Alcohol
- LU-S1252 A" Alcohol at Work
- QUENSH Condition 18
- Sentinel Scheme Rules Version 3 issued July 2018

Network Rail Standards;

- NR/L2/OHS/003 Management of Fatigue issue 8
- NR/L2/INV/002 Accident & Incident Reporting procedures
- NR/L2/OHS/00112 Worksafe Procedure
- NR/L2/OHS/00120 Testing for Drugs & Alcohol
- NR/L3/INI/CP0036 Provision of Welfare Facilities.

General UK and Health & Safety legislation applicable to the scope of the organisation was documented as:

- Construction (Design and Management) Regulations 2015
- Control of noise at Work Regulations 2005
- Management of Health & Safety at Work Regulations 2006
- Health & Safety at Work Act 1974.

Environmental regulations and legislation pertinent to the scope of the organisation was documented as:

- Wildlife and Countryside act 1981
- Town and Country Planning Act
- Environmental Protection Regulations 2003.

Appropriate Group Rail Standards were documented as:

- RIS-3119-TOM Accident and Incident Investigation
- RIS-3279-TOM Hi Visibility Clothing
- RIS - 3118 - Incident response Planning and Management.

The organisation maintain subscription to IHS Workbench witnessed at the audit for the provision of TfL and Network Rail Standards.

Fully Compliant

### **Management Control [IMR - 1]**

Compliance with CDM Regulations 2015 [1.4]

The Organisation complies with the relevant requirements within the Construction (Design and Management) Regulations 2015 through the arrangements documented within P05 Competence Management dated October 2019.

The P05 Competence Management documents a requirement to:

- Comply with The Construction Phase plan when working on multi contractor projects
- plan, manage and monitor construction work under their control so that it is carried out without risks to health and safety
- ensuring adequate resources are available to satisfy the work requirements
- coordinate their activities with others in the project team
- prepare a Construction Phase Plan for single-contractor projects
- not begin work unless reasonable steps have been taken to prevent un-authorise access
- Ensure welfare facilities have been provided Fulfil the client's health& Safety duties.
- During works Network Rail or TfL will carry out the duties of Principle Designer.

The company representative provided evidence of preparation of method statement to fulfil the role of contractor duties as defined by CDM regulations. A sample method statement was evidenced for:

Automatic train Control (ATC) System Readiness (ASR) DTQ-ENG-MET-00018 R12 dated 22/10/2019. The document outlined the following information in relation to CDM duties:

- Method of Works
- Protection arrangements
- Briefing arrangements
- Permits and Licences
- Asbestos containing material
- Fire isolation
- Housekeeping
- Waste & Waste Clearance
- Site delivery
- Labour requirements
- First aid arrangements
- Welfare arrangements
- PPE requirements
- RIDDOR reporting requirements
- Incident reporting
- Access & Egress
- Communications contact list.

The organisation are a new supplier and at the time of audit did not sponsor staff. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Management Control [IMR - 1]**

Management Systems [1.5]





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The Organisation ensures that the Safety, Health and Quality Management Systems are assured through compliance and certification issued by a UKAS registered provider 245. The company had achieved the following accreditation:

ISO 9001:2015

Certificate number 19ACM7915Q

initial registration 11/11/2019

Valid until 10/11/2022

Scope "Design, installation, testing and commissioning of data, ICT transmission & telecommunications Infrastructure; installation & removals of signalling, communications & power cabling and associated equipment on rail infrastructure; and civil engineering work".

ISO 14001:2015

Certificate number 19ACM715R

Initial Registration 11/11/2019

Valid until 10/11/2022

ISO 45001:2018

certificate number 19ACM7915O

Initial registration 11/11/2019

Valid until 10/11/2022.

The company representative presented the most recent surveillance report undertaken between 11 August and 18th October 2019. The document for combined ISO 9001, 14001 & 45001 audits contained a total of twelve (12) NCR's and 7 OFI's. The company provided evidence of addressing and closing out all 12 NCR's from the auditor, who had undertaken a review of evidence submitted and confirmed satisfactory evidence had been presented, the company then received their certificate of registration.

Fully Compliant

**Management Control [IMR - 1]**

Policy Control [1.6]



The supplier can demonstrate, to employees and other affected parties, top level management commitment to Safety, Health, Environment and Quality requirements through the establishment and briefing of the following policies:

- HSP001 Health & Safety Policy endorsed by the Managing Director dated September 2019
- BMP02 Environment and Sustainability Policy endorsed by the Managing Director dated August 2019
- BMP01 Quality Policy endorsed by the Managing Director dated August 2019

The policies observed document the following RISQS protocol requirements:

The Health and Safety Policy contains a commitment to:

- elimination of hazards and reduction of risk
- safety so far as is reasonably practicable
- providing sufficient resources for the management of health and safety
- setting and monitoring safety objectives
- continual improvement in safety performance.

The Environmental Policy contains a commitment to:

- comply with ISO 14001:2015
- preventing pollution
- protecting the environment, with reference to aspects of work activities that are environmentally significant
- minimising the environmental impact, for the life cycle; (including disposal), of plant, equipment, and other physical assets under the control of the supplier
- setting and monitoring environmental objectives
- continual improvement in environmental performance.

The Quality Policy contains a commitment to:

- comply with ISO 9001
- the setting and monitoring of quality objectives
- to work with suppliers and customers to establish and maintain the highest quality standards
- continual improvement in quality performance.

The company provided evidence of briefing of company policies in staff induction packs completed using form DTQ/SQS/FHR/0007. Forms were sampled for  
Individual A completed on the 31/10/2019  
Individual B completed on the 31/10/2019  
Individual C completed on the 31/10/2019.

Fully Compliant

### **Management Control [IMR - 1]**

Document Control [1.7]

The Organisation's arrangements for the identification of all documents that require control to ensure the effectiveness of operations is documented within P01 Document Management dated October 2019. The procedure identifies the key documents requiring control which are:

- National and International Standards
- relevant Legislation
- industry and contract specific documentation, including, but not limited to:
- Railway Group Standards
- client / customer standards
- technical specifications
- documents supporting the Organisation's processes.

The procedure P01 Document Control identifies:

- how documents are reviewed, and changes are identified
- how documents are issued and reach their point of use
- the process for cancelled and superseded documentation
- the process for archiving and retention.

Controlled documents were identified by the company as documented within the Document Register F01 dated 19/10/2019.

The list of controlled documents identifies both internal and external sources and included but was not limited to:

- Policy manuals
- Rail Manual Procedures
- Supporting forms
- External Document Register
- Policies included:
- HSP001 01 H&S Policy Statement
- BMP02 Environmental Statement
- POL 03 D&A Policy Statement
- BMP01 Quality Policy
- POL 11 Business Continuity Plan
- Rail Procedures, including:
- P02 Recruitment, medicals 7 Rail Management
- P03 Alcohol & Drugs procedure
- P05 Competence Management
- P07 Worksafe Process
- P10 risk Management
- P11 Personal Protective equipment
- P15 Behavioural Safety.

Document retention was listed within the Rail Manual, key time scales for the minimum retention period included:

- D&A Testing certificates 10 years
- Medical record 10 years
- Occupational Ill Health 40 years
- Worksafe reports 3 years
- Records of Briefings & TBT's 3 years.

All documents referenced throughout this audit contained a document number, revision number and date which corresponded with the company Document Register.

Fully Compliant

**Management Control [IMR - 1]**

Monitoring [1.8]



The supplier has arrangements documented within P04 Monitoring, Inspections, audit and review dated October 2019 for the proactive and reactive monitoring of their own performance and that of their suppliers. The arrangements include:

- Monitoring & Review of Contract work
- Routine inspections
- Review of suppliers
- Internal Audit programme
- Audit Reporting
- Record keeping

The organisation are a new supplier and at the time of audit do not sponsor any staff; therefore, site inspections had not been undertaken and would require further verification at the next periodic audit.

The organisation presented details of a management review recorded using form BMS1009. The meeting took place on the 23/10/2019 attended by the senior management team. Pertinent points were discussed and recorded relating to:

- Accidents & incidents
- Health monitoring
- Fire & emergency preparedness
- Environment
- Quality
- Internal audits
- External audits
- Non-conformances
- Hazard identification
- Drugs & alcohol
- Participation & consultation
- Training
- Risks & opportunities.

A HSEQ forum was documented to have taken place on the 22/10/2019. The forum was attended by senior management and worker representatives; pertinent points discussed included:

- Accident & incident reports
- Drugs & alcohol testing requirements
- Future health & safety targets
- Environmental waste management practices
- Health monitoring arrangements
- Fire protection
- First aid arrangements
- Risk & COSHH assessments
- Current toolbox talks.

The Organisation maintained a template Site Audit form DTQ/SQS/FR/0005. The form made provision for the documentation of site arrangements, including:

- SPC Details
- Protection staff
- Minimisation of noise
- Access & egress
- First aid details
- Hot works
- SPC duties
- SPC declarations
- Bottled water provision
- Plant & equipment
- Booking on and protection arrangements
- Waste collection arrangements.

This was an initial audit, the organisation did not have any sponsored staff; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

#### Design Management and Control [1.9]

The company representative stated that the organisation does not carry out design work or have the capability to review designs.

Fully Compliant

#### **Management Control [Sentinel - 1]**

##### Management Structure [1.1]

The Organisation was able to demonstrate within their integrated rail management system a clear management structure through the establishment of:

- an organisation chart
- signed job descriptions that detail the individual's role and responsibilities.

The Organisation maintain an Organisational Chart (Rail) utilising form F10 dated 19/01/2019. The document identified the following positions:

Rail Director

Compliance Manager and Rail Administrator (Sentinel Coordinator)

The company ensured roles and responsibilities were defined using document POL09 General Responsibilities. The document contained role & responsibility statements endorsed by post holder, sampled for the following individuals:

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Responsible for the enforcement of Health, Safety Environmental & Quality policies. Deputising arrangements were stated as the Rail Administrator. The role holder is responsible for ensuring works are carried out with statutory regulation codes of practice Network Rail and QUENSH rules, an environmental focus maintained, first aid provision and facilities are maintained on all sites.

The role determines a minimum of five years rail project experience.

Rail Administrator endorsed 19/10/2019.

The role holder is responsible for ensuring statutory duties for drugs & alcohol screening including working experience with the Sentinel portal including three year's experience in a rail environment. When necessary the post holder will review Network Rail & Group Rail Standards periodically. The individual has responsibility to carry out the role of Sentinel Coordinator and deputise for the Managing Director.

Fully Compliant

#### **Management Control [Sentinel - 1]**

##### Management Systems [1.2]

The Organisation has the documented procedure P02 Recruitment, Inductions, Medicals and PTS Management which provides the arrangements for the management of:

- Contract of Sponsorship Section 3.1
- pre-sponsorship Section 3.1
- competence management Section 1
- management of Sub-Sponsors section 3.2
- routine briefings and Information Cascade Processes section 16
- management of working hours Procedure 06 Fatigue
- procurement, management, calibration and provision of safety critical equipment Procedure P14 Control of Plant & Equipment
- provision of Personal Protective Equipment (PPE) and other personal issue equipment Procedure P11 PPE
- management of misconduct events section 4
- misconduct investigations Section 4
- management of records Section 6
- de-sponsoring of individuals Section 3.5

The Company produced a current certificate for membership to CIRAS No. C2489 valid until 31/03/2020.

Fully Compliant

#### **Management Control [Sentinel - 1]**

Policy Control [1.3]

The Organisation has produced, briefed and displayed copies of a:

- P03 Drugs & Alcohol Policy endorsed by the Managing Director dated 19/10/2019
- P06 Fatigue Management (Working Hours) Policy endorsed by the Managing Director dated 19/10/2019.

The company provided evidence of briefing of company policies in staff induction packs completed using form DTQ/SQS/FHR/0007. Forms were sampled for  
Individual A completed on the 31/10/2019  
Individual B completed on the 31/10/2019  
Individual C completed on the 31/10/2019.

Fully Compliant

#### **Safety Risk Management [IMR - 2]**

Health and Safety Risk Controls [2.1]



The procedure P10 Risk Management issue 1 dated June 2019 documents the Organisations arrangements for incorporating Health and Safety controls into its risk management process. The arrangements are:

- a competent person is to be appointed with responsibility for compiling and authorising all risk assessments
- hazards to be identified following a thorough inspection of the working area or review of the working methodology
- responsible person or team shall identify who may be harmed and how
- the risk is to be evaluated using a 5 x 5 matrix
- control measures are to be selected for the elimination or reduction of the risk
- the risk is to be re-evaluate following the implementation of the control measures
- all findings are to be recorded
- completed Risk Assessments are to be communicated and briefed to all parties that maybe affected by the activities
- continuous monitoring of all control measures identified in the risk assessment process to be adhered to.

The company provided a Generic Index of Risk Assessments (Form F15 dated 09/06/2019), which identified and provided control measures for 43 identified activities pertinent to the railway, including but not limited to:

- Activities on or near the line
- Weather
- Working near OLE
- Confined spaces
- Ventilation
- Night Work
- Use of Plant
- Loading & Unloading
- Leptospirosis
- Noise pollution.

Company risk assessments contained in the Generic Index were appropriate for the scope of the company's activities and were seen to detail the following information in regard to risk control:

- Activity
- Hazard
- Latent Risk
- Control Measures
- Residual Risk.

Risk assessments were included and briefed as part of the relevant Method Statements. Site specific risk assessment were included as part of the company's site documentation which was seen to include:

Method Statement ATC System Readiness dated 11/10/2019. The document contained appropriate control measures for the following identified hazards:

- Working at height
- Working in the vicinity of pigeons
- Contact with sharps
- Housekeeping accumulation of materials
- Asbestos containing managerial
- Optical fibre splicing
- Lone working
- Mobile phones
- Optical splicing equipment
- Task lighting
- Fitness for works
- Slips trips and falls
- Heat shrining using hot air gun
- Track trolley
- Dust
- Noise
- Working in confined space
- Personal security
- Live circuits
- Mechanical Handling

Site visitors

- MEWPS
- Vehicle operations
- working on platforms near the track
- Working near OLE
- Wildlife.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

#### **Control of Substances Hazardous to Health [2.2]**

The Organisation demonstrates how it complies with the Control of Substances Hazardous to Health (COSHH) Regulations through the establishment of the procedure 10 Risk Management section 6 COSHH. The procedure ensures the supplier consistently adheres to the following process:

- the Health & Safety Director is to take responsibility of all COSHH assessments
- information on every product/substance to be used is gathered by the Health & Safety Director
- the assessment shall detail:
  - substance name and description
  - identification of the hazard associated with its use
  - necessary controls
  - explosive/flammable risks associated
  - spillage control
  - WEL/LTEL/STEL information.

The company maintain a list of applicable products with COSHH sheets and associated MSDS contained within individual method statements. COSHH Sheets were sighted for the following substances:

- Pigeon Guano
- Contaminated water
- Workshop wipes
- Duct lubricant
- Diesel
- Petrol
- LPG Butane/Propane
- Rockwool
- Quelfire QF1
- XR70 Spill Granules
- Urethane Resin HY270.

COSHH sheets were observed within method statements, the list above contained the following information. The document records information and control measures for:

- How a substance is to be used
- How often a substance is to be used
- Health risks posed by the substance
- Routes of entry into the body
- Harmful effects
- Potential environmental impacts
- Disposal information
- Storage information
- Health Surveillance & Monitoring
- First aid procedures
- Personal protective equipment required
- Substance control measures.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

#### **Implementation of Risk Controls [2.3]**





The Organisations arrangements for implementing the risk mitigation control measures identified through the risk assessment process is as follows:

- creation of Work Package Plans issued by Principle Contractors
- creation and briefing of Method statements
- inductions (pre-project and pre-employment)
- provision of adequate Site Managers and Supervisors on all sites.

Risk assessments were included and briefed as part of the relevant Method Statements. Site specific risk assessment were included as part of the company's site documentation which was seen to include:

Method Statement ATC System Readiness dated 11/10/2019. The document contained appropriate control measures for the following identified hazards:

- Working at height
- Working in the vicinity of pigeons
- Contact with sharps
- Housekeeping accumulation of materials
- Asbestos containing managerial
- Optical fiber splicing
- Lone working
- Mobile phones
- Optical splicing equipment
- Task lighting
- Fitness for works
- Slips trips and falls
- Heat shining using hot air gun
- Track trolley
- Dust
- Noise
- Working in confined space
- Personal security
- Live circuits
- Mechanical Handling
- Site visitors
- MEWPS
- Vehicle operations
- working on platforms near the track
- Working near OLE
- Wildlife.

At the time of audit, the organisation had not undertaken rail site inspections in order to assess implementation of risk controls.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

Personal Protective Equipment [2.4]



The Organisations arrangements for the issuing, checking and monitoring of Personal Protective Equipment (PPE) are documented within P11 Personal Protective Equipment. The arrangements detail a requirement to:

- provide PPE free of charge
- provide PPE to persons who may be exposed to risks identified (including subcontractors and visitors that may be exposed)
- ensure all PPE conforms to legislation requirements
- provide information, instruction and training to ensure the employee understands why the protection is required and how to wear it correctly
- monitor PPE through regular onsite inspections.

Procedure P11 Personal Protective Equipment states a minimum requirement when working on or near Network Rail Managed Infrastructure and referenced relevant rail standards including RIS-3279-TOM Hi Visibility Clothing. Additionally, PPE Issue form F30 revision 6 details the following PPE issued:

- Orange Hi Vis and Trousers EN ISO 20471:2013 class 2
- Orange Hi Vis wet weather clothing EN ISO 20471:2013 class 1
- Hard Hat BS EN 387:1995 White or Blue
- Safety Boots with Mid sole protection BS EN ISO 20345:2004
- Ear defenders
- Safety Goggles
- General purpose gloves EN388:2121
- Other items of clothing such as trouser, polos and sweatshirts

The document states a minimum requirement when working on or near Network Rail Managed Infrastructure and reference relevant Rail Standards including RIS-3279-TOM Hi Visibility Clothing. A sample of PPE was checked and confirmed to meet the standard of GO/RT-3279, PPE was stored in a secure area of the premises.

The Organisation has yet to issue rail PPE. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

Refusal to Work on the Grounds of Health and Safety (Work Safe) [2.5]

The Organisation has arrangements in place for managing the refusal to work on the grounds of Health and Safety within procedure P07 Worksafe Process. The arrangements include:

- A cascade procedure in the event of conflict / disagreement
- A commitment that employees are not penalised for refusing to work on grounds of Health and Safety
- The communication of a Work Safe Policy.
- Contact details for CIRAS
- The cascade process was evidenced through a block diagram outlining the process of reporting to aid decision making.

The company representative presented a Worksafe Policy endorsed by the Managing Director dated 19/10/2019. Company policies including the Worksafe Policy are included in the company induction pack, the Organisation had yet to induct individuals using the rail management system. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

Welfare Arrangements [2.6]



The Organisation's arrangements for ensuring that adequate welfare facilities are provided for personnel under their control can be seen within P10 Risk Management dated October 2019. The documentation observed is compliant with:

- the Construction (Design and Management) regulations 2015
- the Managing Health and Safety in Construction, HSE Guidance L153
- the standard NR/L3/INI/CP0036 and S1552 for TfL

The procedure details a requirement for the Organisation to supply the following provisions:

- Rest room
- Sanitary facilities
- Drying room
- Drinking water
- Storage facilities.

The Organisation ensure assessment and communication of welfare arrangements through the completion and issue of Site-Specific Instructions. The implementation was evidenced through the production of Site-Specific Instructions DTQ/ENG/SSI/E2004 dated November 2019 to November 2020 for the completion of Engineering Works on TfL stations. The document stated welfare facilities located on the nearest station.

Method Statement ATC System Readiness dated 22/10/2019 contained pertinent information and stated Station Welfare facilities identified as in agreement with the local Station Supervisor, alternative arrangements would be made in conjunction with the client. Bottled water was made available on site.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Safety Risk Management [IMR - 2]**

Communication and Coordination [2.7]

The Organisation has demonstrated an ability to provide arrangements for the communication and coordination of works, in direct compliance with CDM 2015, through the creation and briefing of the following material:

- Method Statements
- Risk Assessment
- COSHH Assessments

Additionally, the Organisation provides the following communication channels to ensure coordination with their own employees, subcontractors and any other party affected by their works:

- Tool Box Talks
- Site Inductions
- Safety Briefings

The Organisation had received a recent Safety Newsletter issued by the Rail Consultant (issue 24 dated Autumn 2019), the newsletter provided up to date Safety central and railway specific toolbox talk briefing information, such as:

- Worker Fatigue
- Trackworker near miss
- Environmental Damage
- Buried Services
- CIRAS Ladder fatality
- Updated Company Standards 113
- Updated Group Railway Standards.

The organisation receive and record all safety briefings including pertinent toolbox talks using bespoke software. The latest safety briefings received were sampled and included:

- NRA19-13 Access gate safety
- HSEB 41 -2019 - Planning to avoid crime and disorder
- 488 CAN287 SPC PWT EH Responsibilities
- HSEA 486 Tragic Accident at Waterloo Station.

The safety briefings listed above had not been issued to staff.

The company are a new supplier and currently do not sponsor staff, therefore no safety briefings have been issued by Data Tech Holdings Ltd at the time of audit. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

## **Safety Risk Management [Sentinel - 2]**

Personal Protective Equipment [2.1]



The Organisations arrangements for the issuing, checking and monitoring of Personal Protective Equipment (PPE) are documented within P11 Personal Protective Equipment. The arrangements detail a requirement to:

- provide PPE free of charge
- provide PPE to persons who may be exposed to risks identified (including subcontractors and visitors that may be exposed)
- ensure all PPE conforms to legislation requirements
- provide information, instruction and training to ensure the employee understands why the protection is required and how to wear it correctly
- monitor PPE through regular onsite inspections.

Procedure P11 Personal Protective Equipment states a minimum requirement when working on or near Network Rail Managed Infrastructure and referenced relevant rail standards including RIS-3279-TOM Hi Visibility Clothing. Additionally, PPE Issue form F30 revision 6 details the following PPE issued:

- Orange Hi Vis and Trousers EN ISO 20471:2013 class 2
- Orange Hi Vis wet weather clothing EN ISO 20471:2013 class 1
- Hard Hat BS EN 387:1995 White or Blue
- Safety Boots with Mid sole protection BS EN ISO 20345:2004
- Ear defenders
- Safety Goggles
- General purpose gloves EN388:2121
- Other items of clothing such as trouser, polos and sweatshirts

The document states a minimum requirement when working on or near Network Rail Managed Infrastructure and reference relevant Rail Standards including RIS-3279-TOM Hi Visibility Clothing. A sample of PPE was checked and confirmed to meet the standard of GO/RT-3279, PPE was stored in a secure area of the premises.

The Organisation has yet to issue rail PPE. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Environmental Management [IMR - 3]**

Environmental Risk [3.1]

The Organisation is committed to meeting the requirements of applicable environmental legislative requirements and the standard BS EN ISO 14001:2015. The Supplier achieves this through the implementation of:

- an Environmental Policy endorsed by the Managing Director dated August 2019
- an Environmental Management System which contains
- a Legal Register
- an Aspects and Impacts Register
- Environmental processes for communication, monitoring and measuring
- Emergency processes and plans for environmental incidents
- Environmental control procedures
- competent personnel.

The organisation maintain an Aspects & Impacts Register (document F16 revision 1 dated 09/10/2019). The form documented key aspects as identified by the scope of business activities. The following key aspects had been identified:

- Sewage from onsite sanitary facilities
- Use of paper and office products
- Ecology & natural habitats
- Asbestos in existing buildings
- Ecology in existing habitats
- Removal of waste materials
- Fuel storage
- Noise & Dust
- Transport
- Noxious Weeds
- Removal of site material
- Fuel Storage.

The company are a registered waste carrier and presented a current Waste Carrier Licence certificate CBDU307987 valid until unless revoked 01/10/2022. The organisation is registered as an upper tier waste carrier and dealer.

Key legislation was listed within the company Document Register & Compliance Matrix form F01. Key legislation identified included:

- Wildlife & Countryside Act 1981
- Town & Country Planning Act
- Environmental Protection Act 2003
- Water Resources Act 1991
- Hazardous Waste Regulations.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

Contract of Sponsorship Management [3.1]



The procedure P02 Inductions, Medicals and PTS Management details the processes for establishing a 'Contract of Sponsorship' with each Individual Sentinel Card Holder. As part of the contract of sponsorship, the Organisation has processes for:

- the provision and management of a valid Sentinel Card
- defining the contractual relationship between the primary sponsor and individual, and whether sub- sponsors are permitted
- the provision of safety critical equipment to enable them to undertake their responsibilities track side
- undertaking checks of an individual's suitability to work on the relevant rail infrastructure prior to engaging in a contract of sponsorship
- delivery of an Induction Briefing which will include as a minimum the rules and responsibilities contained within the Sentinel Scheme Rules
- issue of PPE branded with the Primary Sponsor logo
- delivery of regular briefings, Rule Book Updates and Sentinel Scheme Rule Updates
- the provision for training and assessment events at required intervals
- controlled issue of personal issue information such as Handbooks and relevant Standards
- providing advice, guidance or instruction on any restrictions based on medication and other medical fitness issues
- mentoring support to develop the competence of the individual
- monitoring the return of all relevant passes and permits.

The company representative provided a template Primary Sponsor Contract form F31 the document records the following personal details:

- Individual personal details
- Sentinel number
- Statement of contract of sponsorship
- Individual acceptance.

The company have yet to Primary Sponsor any individuals and await the outcome of this audit in order to set up a Sentinel portal. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

#### Management of Sub Sponsors [3.2]

The procedure 02 Recruitment, Inductions, Medical and PTS Management section 3.2 details the arrangements for the management of sub-sponsors. The arrangements include:

- a process for reviewing and then either approving or rejecting the sub-sponsors request
- a documented list of Sub-Sponsors and any associated agreements for sharing of labour that are in place between the organisations
- a process for reviewing Sentinel Reports, and for analysing usage by Sub-Sponsors
- a process for obtaining information on an individual from the Sub-Sponsor
- Sub-Sponsor being responsible for providing all information to the Primary Sponsor to enable them to manage the overall safety of the individual. This includes, but is not limited to:
  - Information on working hours
  - Safety incidents
  - Competencies used and competence short- falls.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

#### Misconduct Processes [3.3]

The Organisation has the procedure 02 Recruitment, Inductions, Medical and PTS Management section 4 which details the processes and documented responsibilities for misconduct reporting and investigation, where any suspected misconduct event becomes apparent. The process includes:

- The collection of information from sub-sponsors to enable the collation and conclusion of the Local Investigation.
- Responsibility for maintaining all records associated with the sponsorship of an individual, as required by the Sentinel Management System.
- The requirement to maintain all records associated with a misconduct investigation and provide these to the relevant infrastructure manager in the event of a Formal Investigation or Appeal Hearing.
- The requirement for the Organisation not to de-sponsor an individual on the grounds of misconduct without first investigating and holding a misconduct hearing for that individual.

The company procedure 02 Recruitment, Inductions, Medical and PTS Management states that the company cannot de-sponsor an individual following an allegation of a breach of the Sentinel scheme rules until an investigation is concluded. Investigations will be undertaken in accordance with the company procedures detailed in 02 Recruitment, Inductions, Medical and PTS Management.

The organisation are a new supplier and currently do not sponsor staff. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

#### Occupational Health [3.4]

The supplier has arrangements in place for checking that workers under its control meet and maintain the health requirements as specified by Network Rail and the Railway Industry Standards. The arrangements in 02 Recruitment, Inductions, Medical and PTS Management section 11 include:

- completion of a medical self-assessment using form F08 on an annual basis.
- the organisation may use a medication checking service in order to check over the counter or proscribed medication
- carrying out pre-employment medical examinations
- checking that persons engaged to work on the rail infrastructure meet the requirements set out for 'Pre-employment, pre-appointment & periodic testing for Alcohol & Drugs
- a process for managing any employee declaring:
  - a negative change to their state of health
  - the taking of prescription drugs that may impact on the safety of themselves or others
- obtaining medical self-certifications for Track Visitor Permits
- checking their supplier's arrangements for employee medicals.

The company did not have Sponsored Staff at the time of audit. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

#### Alcohol and Drugs Management [3.5]





The procedure P03 Drugs & Alcohol dated October 2019 provides the arrangements for checking that all workers under its control do not access the rail Infrastructure (e.g. Network Rail, TfL) or carry out safety critical tasks while under the influence of alcohol or drugs. The arrangements include:

- adherence with Railway Group Standard RIS-8070-TOM and Network Rail Company Standard NR/L1/OHS/051 Drugs & Alcohol.
- Unannounced screening will be in accordance with NR/L2/OHS/00120
- briefing employees on alcohol and drugs
- managing employees (and their suppliers' employees) taking prescription and over the counter medicine
- selecting and appointing an approved alcohol and drugs testing provider
- routine, pre-appointment testing
- carrying out annual Alcohol & Drugs screening (TfL requirement)
- 'Fit for Work' policy
- carrying out a risk-based programme of random testing (5% per annum)
- carrying out 'for-cause' testing following accidents, serious incidents or suspected of being unfit through alcohol or drugs
- implementing actions following a failure of an alcohol and drugs test
- access and update arrangements to Sentinel databases for changes to status of sponsored 'Sentinel' employees
- dealing with appeals.

The company Document & Legal Register stated; "when on TfL LU standard S1257 A2 Drugs & Alcohol will be adhered to".

The organisation held a valid For Cause Contract with Alere Toxicology valid until 13/11/2020.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Human Resources including Occupational Health Management [Sentinel - 3]**

Fatigue Management [3.6]



The Organisation proactively plans all work to avoid fatigue. The process and guidance on fatigue management can be found within procedure P06 Management of Fatigue. The process for the Organisation to adhere to is as follows:

Conform with the requirements of TfL standard S1552 Contract QUENSH, including:

- Minimum of 11 hours break between shifts;
- not work more than 72 hours in a 72-hour period
- Not work more than 6 consecutive shifts within 7 days
- not work more than 12 consecutive shifts within any 14-day period
- not work more than 12-hour shift.
- all work hours are to be pre-planned to ensure exceedances are not likely to occur
- ensure good Site Supervision to ensure works are delivered on time
- provide a risk mitigation system in the event of potential exceedance
- Exceedances will be risk assessed using form F07 by the Resources Manager.
- appoint a senior Manager to ensure all mitigation measures are applied in the event of an exceedance.
- refusal to work policy to be in place and staff not penalised for refusing to work on the grounds of Health and Safety (exceedance of hours)
- regular communication of a Fatigue Management (Working Hours) Policy.

The Organisation held a template Hours Exceedance Authority form (F07), for the purposes of conducting a risk assessment and authorising an exceedance in working hours. Hours Exceedance Form F07 documented:

- Personal & Site information
- Supervisors assessment of existing risk such as;
- Number of hours worked
- Existing travel time to and from site
- Number of rest breaks received or required
- Nature of the work to be undertaken
- Next rostered shift
- Approval from the company Managing Director
- Authorisation
- Acceptance.

The Resource Manager programme engineers for the shift utilizing Excel spreadsheets, which is programmed as 8 hours. Any overrun is controlled by the Compliance Manager who completes a risk assessment following a telephone interview of all staff involved; to confirm shift requirements and existing fatigue concerns. SPC checks are completed prior to each shift whereby the SPC completes a fitness to work check of employees & sub-contractors, the checks are signed for on the Person in Charge Evacuation Registration (PICER).

Fully Compliant

#### **Management of Accidents and Incidents [IMR - 4]**

Accident and Incident Reporting and Investigation [4.1]



The Organisation's arrangements for the investigating and reporting of all accidents, incidents, near misses and close calls are documented within the procedure P08 Accident Reporting, Investigation, First Aid & Incident Response. The arrangements are as follows:

- staff are to provide an immediate and initial response:
- Appropriate corrective action is taken, contact the emergency services, provide first aid
- contact Close call system, client and/or HSE
- evidence to be gathered and the following record of information to be maintained:
- analysis of the information to be performed by a competent professional
- direct and indirect causes to be identified
- control measures to be applied to prevent re-occurrences
- lessons learned to be briefed to all staff
- control measures to be regularly reviewed for effectiveness in line with the monitoring and measuring procedures.

The organisation monitor accident statistics using an Accident & Incident spreadsheet for year to date from 2018. The document monitors:

- Details of the incident
- Illness
- No Injury incidents
- major injury
- Lost Time
- RIDDOR
- Environmental incident
- Total Shifts lost

The document was for Data Technologies Ltd and would be utilised by Data Tech Ltd in the future. The document provided adequate accident & incident analysis.

Accidents or Incidents would be initially reported using form DTQ/SQS/FRM/0047 Accident/Incident Form. The document template was seen to record:

- Type of accident
- Details of the injured party
- Details of the incident such as:
- Time & date
- Location
- Details of the incident
- Cause
- Treatment.

The completed Accident Report Form generates an Accident Investigation Report DTQ/SQS/FRM/0013 completed by the Health & Safety Manager. The form documents:

- Environment & weather conditions
- Personal details such as:
- Nature of the injury and any treatment given.
- Account of the incident
- Actions taken
- Investigation
- Correct PPE
- Briefings
- Housekeeping
- Guarding
- Environmental issues
- Spill Kits
- Third Party involvement
- Root cause analysis.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

#### **Management of Accidents and Incidents [IMR - 4]**

Emergency and Contingency Planning [4.2]



The Organisation has arrangements documented within P08 Accident Reporting, Investigation, First Aid & Incident Response section 12 Emergency Plan to assist staff who are involved in dealing with emergency arrangements. The purpose of the procedure is to assist with reaching decisions but is not intended to restrict good judgement. The procedure covers:

- incidents occurring on the Network Rail Managed Infrastructure
- instructions for the COSS to contact the controlling signaller
- identification of staff through the provision of adequate PPE with the company logo
- first aid arrangements on site
- receiving instructions in the event of a major emergency from a Command Officer and/or British Transport Police.

Arrangements for responding to emergencies while undertaking work on the rail infrastructure can be found within Method Statements. The arrangements include:

- emergency response plan specific to the site
- an emergency contact list
- provision of equipment for use in the event of an emergency
- provision of competent personnel.

Company issued method statements and work package plans were sampled in order to ascertain emergency planning:

DTQ/ENG/MET/00018 Automatic Train Control System Readiness dated 22/10/2019. The following emergency arrangements were documented:

- Arrangements for fire and firefighting provision
- Actions to take if flood affect work site or operatives
- Terrorist or criminal acts
- Environmental emergency's, noise levels will be assessed in accordance with RA024.
- Medical emergencies
- Asbestos disturbance
- RIDDOR actions for major incidents and minor incidents.

Site specific Instruction forms will be generated for each work site using form DTQ/ENG/SSI/E2004. The form details:

- Work locations
- Work zone access & egress arrangements
- Specific site information, such as:
  - Section 12 noise abatement
  - NWR Interface
  - Noise sensitive area
  - Depot interface
  - Conservation area
  - Evacuation procedure and staff assembly point.
  - Location and control methods for Asbestos containing materials along the route.

Fully Compliant

#### **Management of Accidents and Incidents [IMR - 4]**

##### Restoration of Service (Business Continuity) [4.3]

The Organisation's arrangements for the preparation and implementation of a business continuity management process is detailed within Business Continuity Plan Policy POL 11 Revision 1, the Business Continuity Plan was endorsed by the Managing Director dated 19/10/2019. The Business Continuity Plan (BCP) includes scenarios for:

- Loss of staff through illness, injury or death
- Damage to company buildings
- Loss of IT systems
- Loss of documentation
- Main office lock out.

The business IT system is server based with cloud fall back to provide system critical access. In the event the office facilities cannot be utilised staff have remote log in with the ability to work from other locations and all staff have remote email access. The IT system is tested monthly by a third-party IT provider.

Fully Compliant

### **Supply Chain Management [IMR - 5]**

#### Supplier and Subcontractor Management [5.1]

The Organisation ensures effective supplier and subcontractor management through the process detailed within procedure P09 Purchasing & Sub-contractors. The process is documented as:

- all new Supplier requests to be sent to the Procurement Department
- Suppliers Questionnaire to be issued to the potential new Supplier
- returned Questionnaires to be reviewed by the Contracts Manager
- successful applicants will be added to the managed and monitored approved suppliers list
- evidence of Suppliers insurances and certifications to be managed on an annual basis
- approved Suppliers performance to be monitored through regular inspection and/or audit.
- Wherever possible, products & services will be procured from companies operating systems with standards such as 14001:2015 & 9001:2015.

The organisation maintain an Approved Supplier Database using bespoke software. The database was sampled for the following suppliers:

- Express Medicals Ltd, -Rail Medical provider -RISQS ID 2248 expiry 12/02/2020.
- Safeaid - Rail PPE provider - RISQs ID 2506 expiry 05/05/2020.

Details obtained for the supplier listed above included:

- H&S, Environmental & Quality Policy
- D&A Policy
- ISO certificates for:
  - ISO 9001
  - ISO 14001
  - ISO 18001
  - ISO 27001
  - ISO 22301
- RISQS expiry date
- Associated accreditations
- Accident reporting data.

The Organisations Supplier Questionnaire DTQ/SQS/FRM/1005 requested the following business information:

- Company details
- Accreditations
- Company policies
- Accident Incident details
- Insurance details
- labour supply including providing all relevant certificates.

This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Competence Management [IMR - 6]**

#### Recruitment and Induction [6.1]

The Organisation provides the arrangements for the recruitment and induction of employees, and others under its control within procedure P02 Recruitment, Induction, Medicals and PTS Management.

The Recruitment process is documented as:

- evaluation of competency needs to be undertaken by a competent person who has knowledge of the requirements of the job
- job specification drafted
- interview and selection stage to be undertaken by an interviewer with knowledge to compile a question set applicable to the role
- reference checks performed
- verbal offer
- candidate entered onto a Competence Management Database managed by the Sentinel administrator
- induction.
- Candidate will be entered onto the Sentinel Database.

The following inductions are performed following recruitment:

- company induction
- department/ site induction.

The business have a template New Induction Checklist, the checklist will record the issue and briefing of the following topics:

- Company background
- Company Policies
- Training requirements
- Certification requirements
- Banned Items
- Health & safety requirements
- Responsibilities on site
- welfare arrangements Occupational Health
- Briefings
- PPE requirements
- Rail Specific requirements
- Site documentation such as:
  - Method statements
  - Site specific work instructions
  - HazMat material
  - COSHH assessments
  - Safe systems of work
  - Accident reporting procedures
  - Manual Handling.

The company are a new supplier and have not inducted staff using the New Induction Checklist. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant

### **Competence Management [IMR - 6]**

On-going Competence Management [6.2]



The Organisation provides arrangements for the on-going competency management requirements within the procedure P05 Competence Management. The arrangements are:

- Line Managers and Sentinel Administrator to assess the training requirements of the Organisation
- initial competency requirement assessment to be performed on all new starters
- annual performance appraisals to be staged to discuss on-going competency requirements
- the development and on-going management of a competency matrix to ensure all competencies in place are sufficiently managed
- training and support request process for the on-going development of staff.

The organisation maintain a skills database, the system holds details of all employees and allows a report to be generated for each skill set or competency. Upcoming training will be auto generated in a report using a traffic light system; (Green) 1 week or greater, (amber) training required within one week, (red) training expired.

Included rail and vocational training such as:

- ICI-LU
- PTS & D&A
- Basic Track Awareness
- NWR OLEC
- TFL (ERA) Equipment room awareness
- NEWR Medical
- PWT Medical
- PASMA
- First aid at work
- Confined space entry

The company are a new supplier and have not inducted staff using the rail management system. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

The Organisation have implemented a Familiarity Matrix for PWT staff. The document records booking on details and information required for PWT's to retain their licence. Information to be recorded, included:

- Line
- Type i.e. complex or simple area
- Location from and to
- Date
- Job number
- Each PWT has a dedicated tab which displays every area the PWT has ever booked.
- Details of NVQ packs
- Initial assessment
- First pass verification

Additionally, booking on and off track will be monitored using a document entitled "13-week sheet". The document is constantly monitored on a daily basis to monitor:

- Book on date
- Third party assessment
- Safety Critical Card expiry
- Log book issue.

Fully Compliant

## **Plant & Equipment [IMR - 7]**

Management, Maintenance and Servicing [7.1]



The Organisation ensures that its work equipment is fit for purpose through the implementation of the following arrangements documented in Procedure P14 Control of Plant & Equipment. The arrangements are:

- implementation and management of an Asset Register
- quarantine and non-conformance process in place and briefed to staff
- routine inspection, maintenance and service of all equipment
- provision of competent staff (which includes competent Fitters, Service Engineers and Operatives)
- provision of training for the use, maintenance and management of plant and equipment
- provision of adequate supervision and mentoring.

Equipment database that will be utilised by Data Tech Ltd once operational and sponsoring staff.

- Serial number
- Asset number
- Brief description
- Location
- Inspection date
- Due date
- Type of inspection
- Certificate of calibration

The organisation-maintained forms for checks of equipment, listed as:

DTQ/SQS/CHK/0009 Tower scaffold Fibreglass

DTQ/SQS/CHK/0007 Ladders

DTQ/SQS/CHK/0005 Stepladders

DTQ/SQS/CHK/0002 Tripod & Retriever.

The company Quarantine procedure dictates that items are immediately tagged "not to be used" and placed in a designated quarantine area. Quarantined equipment will be brought back from site and stored in a secure area, tagged with do not use tags with date, DT number and action required, checked during the day shift to either rectify or send for disposal.

The company are a new supplier and at the time of audit did not own or operate plant & equipment as Data Tech Ltd. This was an initial audit and further verification is required at the next periodic audit.

Fully Compliant

## **Human Resources including Occupational Health Management [IMR - 8]**

Occupational Health [8.1]



The Organisation is committed to the following occupational health surveillance programmes:

- pre- sponsorship drug and alcohol testing
- pre- sponsorship medicals
- Fatigue Management
- self-assessment medical arrangements

Health surveillance will be monitored through a document titled “Self-assessment of Medical Fitness” F08. The document will be completed at induction and annually. The document includes assessment for:

- diabetes
- epilepsy
- discomfort in the chest
- movement
- eyesight
- medication
- refusal of drivers licence due to ill health
- stress related illness
- refusal or dismissal on health grounds
- alcohol related issues.

Additionally, the organisation issued Health & Medical Monitoring Questionnaire DTQ/SQS/FRM/001. conditions monitored include:

- requirements for glasses
- Asthma
- allergies
- Back/neck and spinal disorders
- Blackouts
- Chronic chest disorders
- dermatitis
- Diabetes
- Eczema
- Hepatitis
- Heart or circulatory disorders
- Hearing impairment
- Kidney /bladder disorders
- Limb disorders
- Lung disease
- Mental health
- Narcolepsy
- Night blindness
- Stomach disorders
- Pain or numbness in hands

Fatigue Management will be controlled by the Sentinel Coordinator and Project Manager through the following arrangements:

- all works to be pre-planned to prevent fatigue
- time-sheets to be reviewed for patterns of possible breaches
- on call system in place for potential exceedances
- exceedance risk assessment process in place
- policy in place that adheres to NR/L2/OHS/003
- briefing of all arrangements.

The Organisation has procedures in place for the interview of safety critical workers follow periods of non-attendance. Employment handbook HRP001 Absence Procedures & Rules states that any absence which lasts for 7 days or fewer; the individual concerned will complete a self-assessment medical DTQSQFHR00003 immediately on return to work. If an absence is recorded greater than 7 days a fit to work form will be completed by a medical practitioner and interview with line manager.

The company are a new supplier and have not inducted staff using the rail management system. This was an initial audit; further verification will be required at the next periodic audit for implementation of systems and processes.

Fully Compliant