

**1. PURPOSE**

The purpose of this procedure is to:

- control access, egress, walking and working on or near the line including site risks and task risks and / or anything that could affect operational safety of the line.
- control train, on-track machine (OTM) and on-track plant (OTP) movement risks to people walking and / or working on or near the line.

This procedure describes how the planning of work is carried out by the Responsible Manager (RM), Planner (PL), Person in Charge (PiC) and any other individuals involved in planning the work by:

- outlining the role of **PL, RM** and **PiC**
- confirming the verification (**PiC**) and authorisation (**RM**) of the Safe Work Pack (SWP) is not done by the same person
- confirming suitable risk assessment(s) is considered in the planning
- confirming the **PiC** can maintain a Safe System of Work (SSoW) whilst walking or working on or near the line
- identifying the key roles involved in planning and delivering of the SSoW
- complying with the Rule Book GE/RT8000.

**2. SCOPE**

This procedure is applicable on all VolkerRail (VR) projects, 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).

This procedure applies:

- to anyone walking and / or working 'on or near the line'
- where work on the lineside has the potential to affect the safe running of the operational railway
- to those working on behalf of Network Rail, third parties, their contractors, and sub-contractors
- to those involved in the development of a SSoW through the production and issuing of a SWP.

The **RM** should apply the decision tree (Figure 1 below) to determine the application of this procedure.

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

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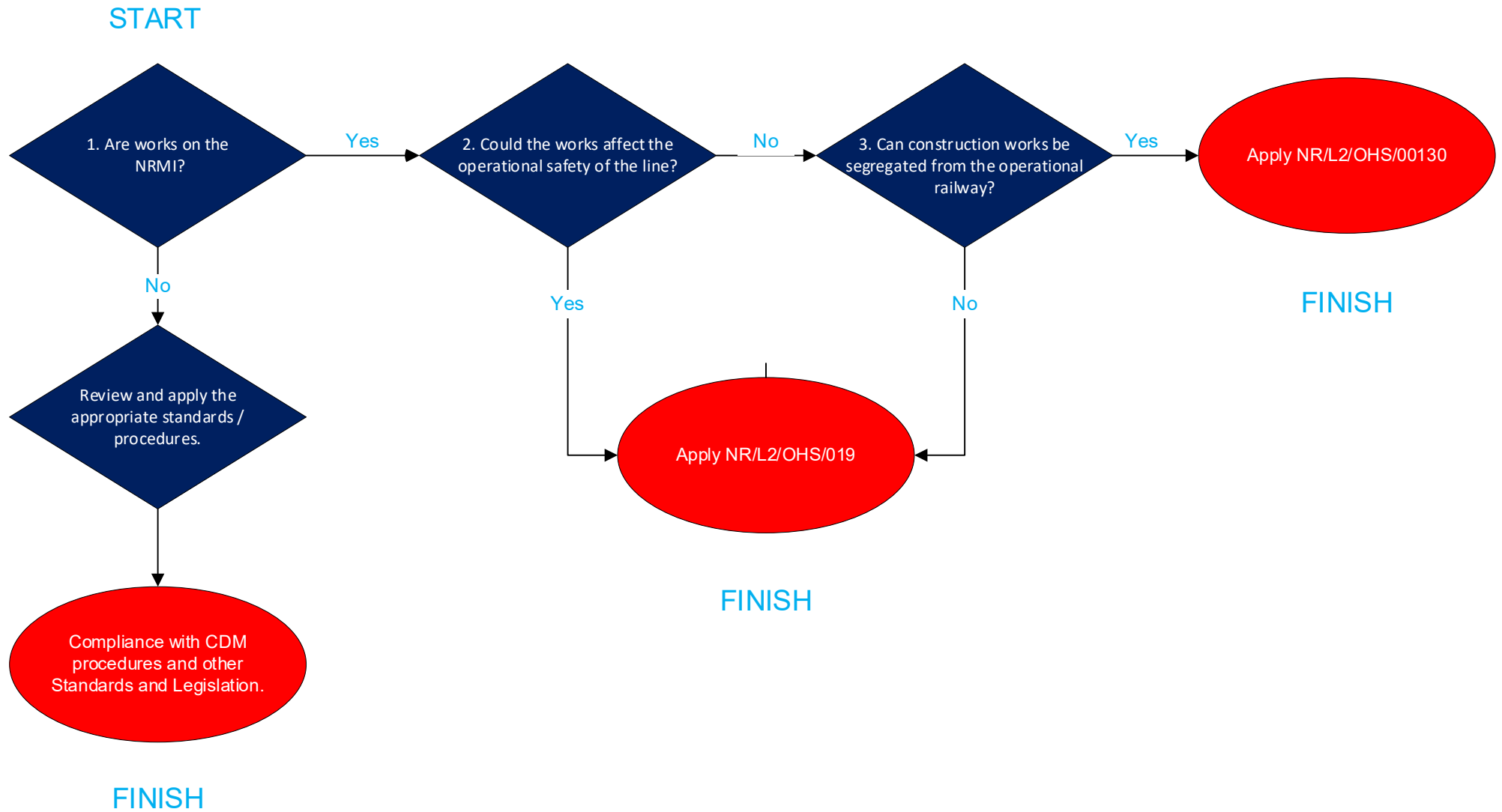


Figure 1. Decision tree to be applied by the RM.

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**3. REFERENCES (INPUTS)**

- ENG02 Production of Project Documentation incl. CPP, WPP and TBS
- PE326M001 Adjacent Line Open Working
- TRK01 Commissioning Track Works
- NR/L2/OHS/019 Safety of people Working on or Near the Line
- NR/L2/OHS/019/mod01 Planning & working for fault, failure & incident response
- NR/L2/OHS/019/mod02 Planning & working in a possession
- NR/L2/OHS/019/mod03 Planning & working using protection arrangements and warning systems
- NR/L2/OHS/019/mod04 Planning & working for High Output & track renewals involving engineering trains
- NR/L2/OHS/019/mod06 Planning & working for isolation duties and possession support
- 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
- NR/L2/OHS/00130 Creating a Site of Work Segregated from the Railway
- NR/L2/OHS/00130/mod 01 Creating a Site of Work Segregated from the Railway: On a Platform within a Station Environment
- NR/L2/OHS/00130/mod 02 Creating a Site of Work Segregated from the Railway: At Lineside Locations
- NR/L2/OHS/00130/mod 03 Creating a Site of Work Segregated from the Railway: On or Near the Line, Within a Possession and Lineside
- 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.

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TERM	DEFINITION
Enabling Safe System of Work	The planner shall consider if an additional enabling safe system of work (SSOW) is required that considers all methods of protection (walking and working) from the access to the site of work, when suspending, moving to a new site of work and including egress from the infrastructure. Planners may plan this as part of the SSOW to do the work
Engineering Supervisor (ES)	The Person responsible for establishing and managing an engineering worksite and authorising train movements within a worksite.
Informed	Those who need to be informed after a decision is made or action is taken – one way communication
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.
Lineside	A location from the boundary fence to the area called 'on or near the line'.
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)	The person involved in the planning and verification of the SWP with the Planner. The person named in the SWP. The person in charge is on site when the work is being undertaken and has overall accountability of supervising and overseeing works. The person in charge has overall accountabilities and responsibilities of operational, site and task risks This person holds COSS competency
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.
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.
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

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TERM	DEFINITION
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.
Runaway	The unauthorised and uncontrolled movement of Rail Mounted Plant.
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.

ABBREVIATION	MEANING
BHSQESLG	Business Health, Safety, Quality, Environment & Sustainability Leadership Group
COSS	Controller of Site Safety
ES	Engineering Supervisor (supervisor of a Worksite in a Possession)
HSQES	Health, Safety, Quality, Environment and Sustainability
HSQESLG	Health, Safety, Quality, Environment and Sustainability Leadership Group
IWA	Individual Working Alone
NR	Network Rail
NRMI	Network Rail Managed Infrastructure
PiC	Person in Charge
PICOP	Person in Charge Of Possession

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ABBREVIATION	MEANING
PICOS	Person in Charge of Sidings
PL	Planner
RISQS	Rail Infrastructure Supplier Qualification Scheme
RM	Responsible Manager
SWP	Safe Work Pack
SSOW	Safe System of Work
SSOWP	Safe System of Work Planner
TBS	Task Briefing Sheet
TOWS	Train Operated Warning System
VRCC	VolkerRail Control Centre
WON	Weekly Operating Notice
WPP	Work Package Plan

## 5. PROCESS

### 5.1 Accountabilities and responsibilities

- 5.1.1 The Responsible Manager (RM)  
The **RM**'s accountabilities and responsibilities are defined in section 5.10.1 of this procedure.
- 5.1.2 The Planner (PL)  
The **PL**'s accountabilities and responsibilities are defined in section 5.10.2 of this procedure.
- 5.1.3 The Person in Charge (PiC)  
The **PiC**'s accountabilities and responsibilities are defined in section 5.10.3 of this procedure.

Throughout this procedure and modules, it is assumed that the **PiC** takes on duties of:

- Controller of Site Safety (COSS) or
- Individual Working Alone (IWA).

The **PiC** shall not perform the duties of a Site Warden.

- 5.1.4 Project Manager  
The **Project Manager** is nominated by the business as being responsible for the delivery of the project.

They are responsible for the following under this procedure:

- Ensuring a **RM** is nominated and their deputies within the Construction Phase Plan (CPP)
- Ensuring a **PL** is nominated for the project
- Authorising how work will be prioritised, planned and delivered
- Monitoring compliance with this procedure on the project and raising issues through the relevant Business HSQES Leadership Group (BHSQESLG) and escalated to relevant operational line management.

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**5.2 Process for creating a safe work pack**

The production of the SWP includes teamwork between the **RM**, **PL** and the **PiC** and any other people with the required technical or local knowledge relevant to the SWP.

Starting at item 1 and going clockwise through the diagram, each stage is discussed in further detail in the following clauses.

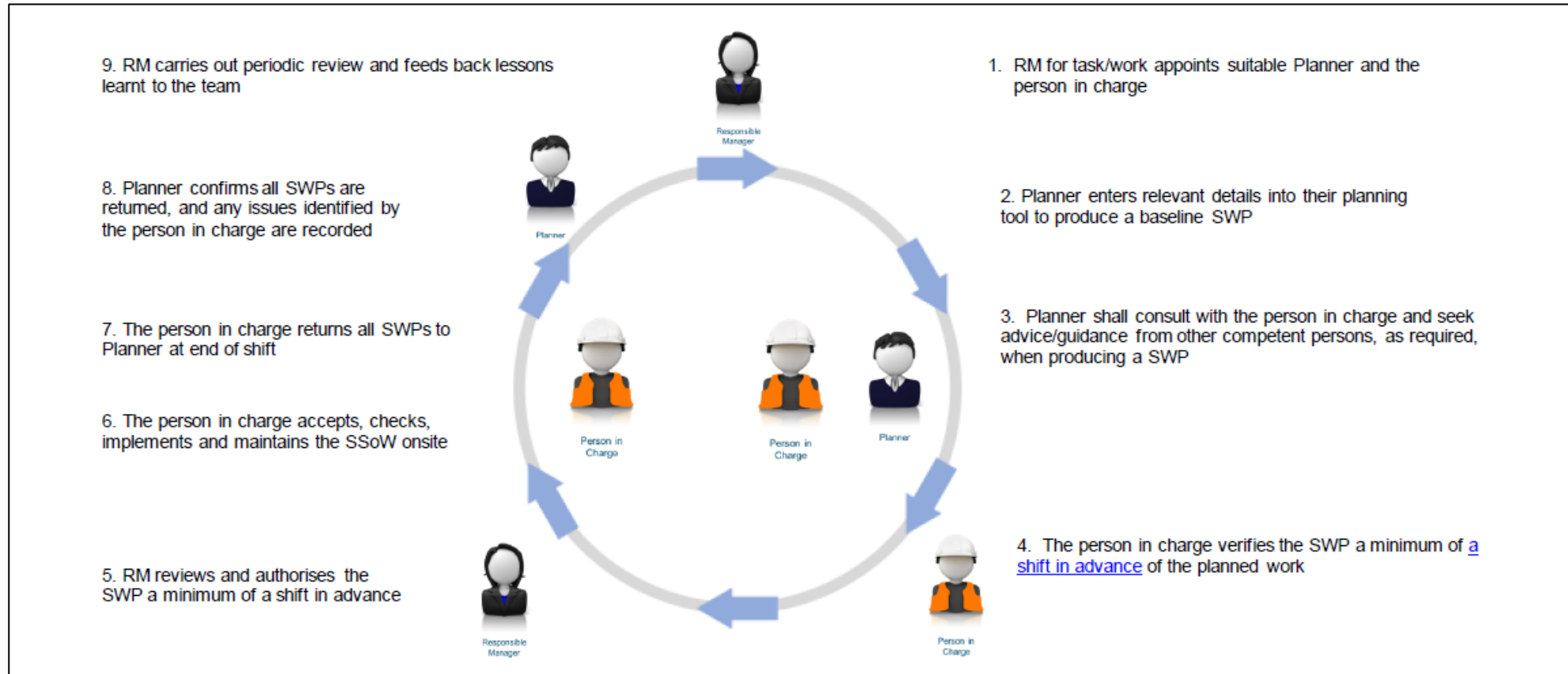


Figure 2. Overview of the planning cycle

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**5.3 Appointing the Planner and Person in Charge**
**5.3.1 Responsible Manager Duties**

The **RM** shall:

- identify the work
- appoint a **PiC** in consultation with the Resource Coordinator in with knowledge of the site and the task
- appoint a **PL** in consultation with the Operations Planning Team with knowledge of the site and the task

If the **PL** does not have the site and task knowledge, the **RM** must confirm that the **PL**:

- carries out a site visit
- uses online visual tools
- uses extracts from train mounted forward facing cameras / drones
- consults with other experienced **PL**'s.

The **RM** shall provide to the **PL**:

- time and resource for the PL to produce the SWP and for the PiC to review and verify the SWP, to undertake a check of:
  - the complexity of the task
  - the complexity of the site
  - any interface with other works.
- Engineers Line Reference (ELR) / line of route
- mileage (to include chainage / yards / Km) start and finish covering access and egress points
- task, number of people required, tools / equipment required
- time required to complete the works
- any special requirements
- first aid arrangements including appointees
- gender specific welfare facilities.

The **RM** in consultation with the **Resource Co-ordinator** shall appoint the **PiC** who will be doing the work to be involved in the planning process. The **RM** must assess the suitability of the **PiC** utilising the VR PiC Suitability App (for VR employed **PiC**'s) / SAF19F03(a) and SAF19F03 (b) (for non-VR **PiC**'s).

The **PiC** will:

- have knowledge / competence / experience of task and risks
- have experience of the SSoW requirements and hierarchy of control
- have knowledge of the location
- if the **PiC** does not meet all these points, they shall be supported by a **PiC** in the planning process that does meet the above requirements; or
- if the **PiC** does not have the site and task knowledge, the **PiC** shall use a combination of the following to gain familiarisation:
  - site visits
  - online visual tools
  - extracts from train mounted forward facing cameras / drones
  - discussions with the RM and PL using information such as signal diagrams, photographs etc.

The **RM** will use the VR Area Knowledge App to identify if the **PiC** requires further site familiarisation.

The **RM** shall give the **PiC**:

- time to review the SWP in collaboration with the **PL**
- equipment for the **PiC** to carry out their duties on site
- people to carry out the task and support functions to the SSoW such as Site Warden.

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The **PiC** may be replaced with authority of an **RM** with sufficient knowledge of task, location and interface risks on the on the day of the work if their absence is unforeseen (see Table 2).

The newly nominated **PiC** should:

- have time to review and accept the SWP
- confirm to the **RM** acceptance of the SWP.

All instances where SWPs are reassigned on the same shift the work is being undertaken shall be logged as a close call with VR Control Centre (VRCC), authorised by the **RM** and an authority number (EcoOnline reference) issued via VRCC.

#### 5.4 Creating the Safe Work Pack

The SWP is the documentation developed between the **PL**, the **PiC** and **RM** for the work they are doing. The minimum contents of the SWP are contained within OnTrac as per NR/L2/OHS/019.

The **RM** shall instruct the **PL** to plan the work using form SAF19F01 (Safe Work Pack Request Form) ensuring that the **PL** has adequate knowledge / information of the work being planned. All SWP requests shall be made a minimum of 5 working days before the work is planned to commence. Any SWP requests submitted less than 5 days must be authorised by the relevant **PM** who must log a close call with VRCC. Any SWP requests submitted less than 2 working days before the work is planned to commence must be authorised by the relevant **PM** and an HSQES Leadership Group (HSQESLG) member and logged as a close call with VRCC by the **PM**. Any late requests that do not follow the authorisation process will be rejected by the **PL** and logged as a close call with VRCC by the **PM**.

Any changes to the SWP request affecting task, location or operational risk must be submitted as a new SWP request using SAF19F01 (Safe Work Pack Request Form), noting the timescales for authorisation above.

The **PL** shall enter relevant details on OnTrac to produce a SWP with input from the **PiC**. The information contained in a SWP shall:

- detail the access, egress, location of work, resources required, needed to complete the works and tasks to be carried out
- provide clear information to enable the person in charge to use the SWP to control the risks to themselves and those working within the SWP
- include a partially completed RT9909 COSS Record of Arrangements Form
- include a partially completed NR3180 Line Blockage Form where appropriate.

#### 5.5 Planning the Correct Hierarchy

The **PL** shall:

- start at the top of the hierarchy of control for operational risk as shown in Table 1.
- only move down the hierarchy if:
  - the highest available SSoW cannot be used
  - the next highest SSoW is the safest and most suitable option
  - it would take longer than 25% of the planned works time to implement.
- record each justification within the Planning system.

No.	SSoW	Type	Description									
1	Safeguarded site of work	Protection	Every line at site of work has been blocked to normal train movements except for engineering train / On-Track Plant / On-Track Machines movements restricted to 5mph									
2	Fenced site of work	Protection	A suitable barrier between site of work and lines open to normal train movements. The table below shows the type of barrier and distance used based on line speeds at site: <table border="1" style="width: 100%; margin-top: 5px;"> <thead> <tr> <th>Speed of train</th> <th>0-40mph</th> <th>40-125mph</th> </tr> </thead> <tbody> <tr> <td>Rigid barrier</td> <td>at least 1.25 metres</td> <td>at least 1.25 metres</td> </tr> <tr> <td>Netting / Tape</td> <td>at least 2 metres</td> <td>at least 2 metres</td> </tr> </tbody> </table>	Speed of train	0-40mph	40-125mph	Rigid barrier	at least 1.25 metres	at least 1.25 metres	Netting / Tape	at least 2 metres	at least 2 metres
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No.	SSoW	Type	Description		
3	Separated site of work	Protection	The table below shows when a Site Warden (SW) is needed:		
			Distance to nearest line	Size of Group	SW needed?
			at least 2 metres	1 or 2 people	No
			at least 2 metres	+2 people	Yes
			at least 3 metres	Any	No
4	Warning systems-permanent-train activated equipment	Warning	Where there 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 ten seconds before any train arrives at the site of work		
5	Warning systems-portable - train activated equipment	Warning	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		
6	Warning systems - human activated equipment	Warning	Where portable equipment can be deployed and activated by a lookout 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 COMPANY DIRECTOR APPROVAL IS REQUIRED		

Table 1. Hierarchy of control for operational risk

### 5.6 Verify the Safe Work Pack

The **PiC** shall only verify the SWP when they have:

- confirmed the suitability of access and egress arrangements depending on the work, tools and materials required
- confirmed there is suitable first aid
- confirmed additional control measures required such as task lighting / specialist Personal Protective Equipment
- confirmed additional task equipment affecting the SSoW, trolleys / plant etc.
- confirmed any additional supporting roles required to establish and maintain the SSoW
- reviewed the SSoW method that the PL selected from Table 1
- reviewed the selection of protection and warning systems within Table 1
- advised the PL of any errors / omissions found in the SWP
- Confirmed suitable gender specific welfare facilities.

Once the **PiC** has reviewed the SWP, they shall verify the SWP at least one shift (minimum of 12 hours) in advance via OnTrac. Where the SWP is not correct, the SWP shall be returned to the **PL** for changes to be made or removed from use. Where changes are needed, these shall be done by the **PL** and sent back to the **PiC** for verifying.

**Note:** The person creating the SWP (**PL**) and the person verifying the SWP (**PiC**), cannot be the same person.

### 5.7 Review and Authorise the Safe Work Pack

The **RM** shall not authorise the SWP until it has been verified by the **PiC**. The **RM** shall discuss the SWP with the **PiC** and advise the **PL** of any errors or omissions if required. If there are no errors / omissions then the **RM** shall authorise the SWP at least one shift (minimum of 12 hours) in advance via OnTrac.

**Note:** The person preparing the SWP (**PL**) and authorising the SWP (**RM**) cannot be the same person.

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Where the SWP is not correct, the SWP shall be returned to the **PL** for changes to be made and allow the **PiC** to re-verify the SWP. In authorising the SWP, the **RM** shall confirm that:

- the hierarchy of control for operational risk in Table 1 is correct
- the most appropriate protection and / or warning system in Table 1 has been chosen for both the site and task
- all site, task, and operational risks have been included and all control measures are identified
- the requirements of 5.6 have been met.

In authorising the SWP, the **RM** should confirm that welfare and gender specific facilities are appropriate.

### 5.8 Delegation of COSS Duties

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

### 5.9 Changes to the Safe Work Pack after authorisation

#### 5.9.1 A change to the PiC

Due to an unforeseen absence of the named **PiC**, a new **PiC** shall be chosen for the work by the **RM**. The new **PiC** shall:

- only accept a SWP that has been authorised by the **RM**
- be given time to read and understand the complexity of the work and accept the SWP
- have the same level of knowledge / competence / experience as the *PiC* in the following:
  - Task risks
  - Operational risks
  - Site risks
- provide feedback to the **RM** prior to implementation of the SWP.

Where a change of **PiC** occurs, the **RM** shall log a close call with VRCC and receive an authority number (EcoOnline) record it in the SWP for the change of **PiC**.

If the above cannot be achieved the works shall be cancelled.

Table 2 gives guidance to the **RM** on what might cause a change of **PiC**.

Acceptable Examples	Unacceptable Examples
Non-attendance due to personal circumstance	<b>PiC</b> allocated elsewhere
Protection / warning system changes to a system original <b>PiC</b> is not competent / experienced in	Poor resourcing
<b>PiC</b> not fit for duty	Late planning

Table 2. Examples of acceptable / unacceptable reasons for a change of **PiC**

#### 5.9.2 Risk Control

The **PiC** shall verify and accept in OnTrac:

- site, task and / or operational risks that need further control
- the most competent person(s) to manage those risks
- confirm that the people carrying out these duties are aware of the risks to themselves and the working group.

#### 5.9.3 Briefing the workgroup on site before starting the work

The **PiC** shall:

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- brief the group on the SWP and requirements in accordance with GE/RT8000 Rule Book, including re-briefing where there are any changes to task, site and / or operational risks, location or personnel (e.g., change of shift)
- where technical briefs need to be provided, confirm those briefings are delivered by a technically competent person
- confirm the people carrying out these roles have signed the RT9909 form to confirm their understanding.

**5.9.4 On Site Arrangements**

The **PiC** shall always setup and continuously maintain / observe / review the planned SSoW or:

- confirm all members of the workgroup are in a position of safety and suspend the works
- brief the reason(s) for suspending the work with the workgroup
- discuss with RM or out of hours support required onsite change(s)
- discuss with RM using a lower level SSoW. If agreed, the **RM** must log as a close call with VRCC and obtain an EcoOnline reference number
- if no other options are available apply the Worksafe procedure / cancel the works
- record the reason for the changes in OnTrac and on RT9909 COSS Record of Arrangements form.

**5.9.5 Making changes to the SSoW and moving down the hierarchy of control for operational risks**

Where the **PiC** makes a request to move down the hierarchy of control for operational risks (Table 1):

- only move down the hierarchy if the chosen hierarchy option is the safest available and suitable option
- the **RM** shall authorise the changes and log as a close call with VRCC obtaining an EcoOnline reference number.

The **RM** should have enough understanding of:

- task, operational and site risks
- this procedure and the Rule Book to authorise the change.

If the SSoW hierarchy cannot be agreed, then works shall be cancelled. Table 3 gives examples on why the hierarchy of control for operational risks may reduce to a lower level on the shift(s).

Acceptable Examples	Unacceptable Examples
Operational equipment failure	Poor planning / got it wrong at the planning stage
Diversion route for another possession or accident elsewhere on the network	Essential support staff changes or delays
Unexpected operational traffic or engineering train movements	Where line blocks and possessions are read in conjunction with each other there are operational changes

Table 3. Acceptable and Unacceptable examples on why the hierarchy of control for operational risk may change

**5.9.6 Making changes to the SSoW and moving up the hierarchy of control for operational risks**

Escalation by the **PiC** is not required for amendments when:

- protection from trains is moved up the hierarchy of control for operational risks (Table 1) to provide higher level of protection
- any identified additional task does not import further risk
- amendments to access/egress arrangements are covered by the information within the SWP or Task Brief.

**5.9.7 At the end of the shift**

When work is finished the **PiC** shall confirm all equipment and people that can affect safety of the line, has been removed from the track prior to hand back the line is safe for the passage of trains. Refer also to SAF19M001 (Site Inspection Person Handback).

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**5.9.8 Completing and returning the Safe Work Pack**

At end of shift, the **PiC** shall:

- sign off the completion of work in OnTrac
- return the used or unused SWP to the **PL** via OnTrac
- where SWPs are unused, or errors identified, the **PiC** shall state the reason why in the SWP.

**5.9.9 Monitoring**

The **PL** shall:

- check and verify that all packs have been returned, whether they are used or unused
- correct any errors or changes in the SWP before future use
- remove all incorrect SWPs from use
- advise the **RM** of any of the above.

The **RM** shall review:

- 10% of completed and implemented SWPs via OnTrac or where more than 500 SWPs are prepared per Network Rail period a minimum of 50 SWPs shall be checked
- any returned SWPs not implemented
- the reasons why a used SWP was not returned
- record any SWPs with amendments or changes
- discuss any errors or changes with the **PiC** and **PL** for future planning
- record and review for trends
- the number of times the **PiC** changed on each shift
- the reasons for the change
- the number of times a lower SSoW was authorised
- the reasons for the change.

**PM's** shall:

- monitor the performance of their projects, including compliance to this procedure and relevant modules. This shall include feedback on **PL** and **PiC**
- assure the competence (and capability) of their staff
- carry out pre-planned systematic examinations of workplaces and sites to
- carry out assurance activities identifying:
  - non-compliance to this procedure, identifying corrective actions appropriate
  - examples of best practice.
- lead safety conversations with frontline staff to improve safety culture and understanding of site, task and operational risks.

**5.10 Role and Responsibilities Requirements**
**5.10.1 The Responsible Manager (RM)**

The **RM** shall:

- be accountable for the preparation of SSoW
- decide how the work is to be prioritised, planned, and delivered to the relevant hierarchy of control
- appoint the **PL** in consultation with the Operations Planning Team and delegate the preparation of the SWP
- appoint the **PiC** in consultation with the Resource Co-ordinator to plan and implement the SSoW and the works
- review and authorise or reject the verified SWP
- collaborate with the **PiC** to ensure the contents of the SWP are understood, including task, operational and location risk controls
- be assessed as suitable for undertaking the role utilising SAF19F02 (Suitability Criteria for Responsible Manager) and undergo a RM briefing provided by the project / business H&S Advisor / Manager.

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**5.10.2 The Planner (PL)**

 The **PL** shall:

- be responsible for planning the work as instructed by the **RM** and / or requested by the **PiC**
- be responsible for consulting with the Isolation Planner to ensure that any required isolations have been planned in accordance with NR/L2/OHS/019 Module 6 and that the SWP the presence of AC or DC electrification within the limits
- have suitable and sufficient task and site risk knowledge and experience; or
- consult with those who can provide such knowledge and experience
- be assessed and competent as a SSoW Planner.

**5.10.3 The Person in Charge (PiC)**

 The **PiC** shall:

- be accountable for their own safety and the safety of all persons in their work group
- hold one of the following competencies:
  - COSS
  - when working alone, IWA as a minimum.
- retain accountability for safety at a site of work and has the final decision as to whether a SWP is acceptable before it is implemented
- where-ever possible be employed and sponsored by VR. Where this cannot be achieved, the use of non-VR **PiC**'s is permitted provided the following criteria are met:
  - the third party is approved to supply PiC staff using the RISQS process
  - a contract of employment exists between the third party and VR
  - the PiC is employed and sponsored by the supplying third party
  - the PiC complies with all requirements of this procedure and associated modules
  - a suitability assessment of the PiC is undertaken by the individuals Line Manager and the RM using the PiC Suitability App (for VR staff) or SAF19F03a and SAF19F03b (for non-VR staff)
  - evidence can be provided of efforts made to use PiC's employed and sponsored by VR.

**6. MONITORING**

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

Document Reference and Name	Purpose
SAF19F01 – Safe Work Pack Request Form	A form used to initiate the process for the planning of the SSoW and the associated SWP
SAF19F02 – Suitability Criteria for Responsible Manager	A form used by the relevant Line Manager for the nomination and appointment of RM's
SAF19F03a – Suitability Criteria for undertaking the role of the PiC – Part A	A form used by the relevant RM for the nomination of a non-VR PiC
SAF19F03b – Suitability Criteria for undertaking the role of the PiC – Part B	A form used by the relevant RM for the appointment of a non-VR PiC
SAF19F04 – PICOS Record Form	A form used to record working arrangements in a sidings following agreement by all relevant parties
SAF19F05 – ES Site Log	A form used by the ES to log site activities
SAF19F06 – Worksite Certificate	A form which conforms to RT3199

**Detail required**
**7. ASSOCIATED GUIDANCE & INFORMATION**

- SAF19M001 – Site Inspection Person Handback Process
- **SAF19M002 – Rail Operations within a Depot Environment**
- SAF19M003 – Planning and Taking Line Blockages
- SAF19M004 – Worksite Management within a Possession

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**8. DOCUMENTATION (OUTPUTS)**

- RT9909 – Record of Arrangements and Briefing Form
- NR3180 – Line Blockage Form
- SAF19F01 – Safe Work Pack Request Form
- SAF19F02 – Suitability Criteria for Responsible Manager
- SAF19F03a – Suitability Criteria for undertaking the role of the PiC – Part A
- SAF19F03b – Suitability Criteria for undertaking the role of the PiC – Part B
- SAF19F04 – PICOS Record Form
- SAF19F05 – ES Site Log
- SAF19F06 – Worksite Certificate (conforms to RT3199)

**9. 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.
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.

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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)
10	13/05/2021	Introduction of module 4 – Worksite Management within a possession and associated forms (SAF19M004F01 and F02) Various forms updated
11	16/06/2021	Definitions for Runaway and Watchman have been added. The references to LOW's have been removed throughout this procedure. Withdrawal of SAF19F06 - Lookout Rotation Logbook.
12	03/08/2021	Definition for Watchman has been updated. Appendix O has been updated.
13	18/10/2021	Removal of reference to RM authorising significant changes to task risks. Removal of the SWL1 booking on process (this does not affect line blockages which are covered by SAF19M003).
14	19/04/2022	Withdrawal of Appendix L – no longer required. Minor amendment to section 5.21.
15	20/05/2022	Inclusion of requirements to plan and implement a site of work segregated from the railway (5.24)
16	29/07/2022	Amendment to the Individual Working Alone (IWA) definition.
17	30/08/2022	Document reviewed and amended to reflect Network Rail standard NR/L3/OHS/019 issue 11 including: 5.16 Amended hierarchy of control for operational risks
18	22/12/2022	Removal of SWL and SWM roles Inclusion of decision flow chart (section 2) Inclusion of VolkerRail PiC Suitability App Removal of Appendix A-I Removal of Forms F02, F09, F11 and F15
19	23/05/2023	Removal of requirement for Planners to hold COSS / IWA competence
20	26/08/2023	Procedure has undergone a complete review and consolidation to reflect working practices in line with NR standards NR/L2/OHS/019 and NR/L2/OHS/00130. Removal of forms F03, F04, F05 and F10. Removal of appendices K, M, N and O. Renumbering of existing forms from number 1.
21	30/01/2024	Amendment to decision tree in section 2 - Scope.

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22	05/08/2024	Requirement for SWP requests less than 2 days to be authorised by the relevant PM and HSQESLG member.

**10. WHAT HAS CHANGED IN THIS LATEST ISSUE AND WHY?**

Requirement for SWP requests less than 2 days to be authorised by the relevant PM and HSQESLG member.

**11. 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.

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	H&S Advisors / Managers / Senior Manager	Consulted	Detailed
HSQES	Head of Health & Safety	Consulted	Detailed
HSQES	Training & Competence Manager	Consulted	Awareness
HSQES	Training Coordinator	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
Planning & Programming	Operations Planner / Assistant / Senior	Accountable	Detailed
Planning & Programming	Planner / Assistant / Trainee	Accountable	Detailed
Planning & Programming	Project / Possession Planner	Accountable	Detailed
Resources	Resource Manager	Responsible	Detailed
Resources	Resource Coordinator	Responsible	Detailed
VRCC	VRCC Manager	Informed	Awareness
VRCC	VRCC Duty Controller	Informed	Awareness

Competence	RACI	Type of briefing
Responsible Managers	Accountable	Detailed
SSOW Planner	Responsible	Detailed
CEM / CRE	Informed	Awareness
Engineering Supervisor	Responsible	Detailed
H&S On-call	Responsible	Detailed

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Competence	RACI	Type of briefing
Controllers of Site Safety (COSS)	Responsible	Detailed
AOD (CC / MC / PO / LXA)	Informed	Awareness

**12. IMS AUTHORISATION**
**Document owner approval:**
**Stuart Webster-Spriggs**, HSQES Director, 05/08/2024

**Document author approval:**
**Kirsti Neal**, Head of H&S, 05/08/2024

**Approval for IMS:**
**Paula Roberts**, IMS Co-ordinator, 05/08/2024

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