

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

Level 2

Supplier Qualification – Core Requirements

Endorsement and Authorisation

Endorsed by:

G Harvey, Working Group Chair

Authorised by:

I Sexton, Director Contracts and Procurement

Accepted for issue by:

M McManus, National Standards Manager

This document is the property of Network Rail. It shall not be reproduced in whole or part nor disclosed to a third party without the written permission of Network Rail.

© Copyright 2011 Network Rail.

Uncontrolled copy once printed from its electronic source.

Published and issued by Network Rail, Kings Place, 90 York Way, London N1 9AG.



Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

Issue record

Issue	Date	Comments
1	1 March 2008	New standard to reflect changes arising from the introduction of Link-up v.2, Strategic Sourcing and the Network Rail licensing regime.
2	3 September 2011	Work instructions for assessors have been removed and the document is now requirements only. Document consequently changed to a Level 2.

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 3 September 2011.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the Issue of any relevant Network Rail Standards current when GRIP Stage 3 was reached and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

	<i>The Construction (Design and Management) Regulations 2007 and ACoP (Appendix 4)</i>
GM/RT2450	<i>Qualification of Suppliers of Safety Critical Engineering Products and Services</i>
NR/L2/INI/CP0070	<i>Supplier Licensing</i>
	<i>Safety Critical Tasks - Clarification of ROGS Regulations Requirements – Office of Rail Regulation, Railway Safety Publication 4</i>
NR/L1/CTM/001	<i>Competence Management</i>
NR/L2/OHS/00120	<i>Pre-employment, pre-appointment & periodic testing for Drugs & Alcohol</i>
NR/L2/ERG/003	<i>Management of fatigue: Control of working hours for staff undertaking safety critical work</i>
NR/L3/INF/02226	<i>Corporate Records Retention Schedule</i>
NR/L2/OHS/020	<i>Track Visitor Permits</i>
NR/L2/OHS/021	<i>Personal protective equipment and workwear</i>
NR/L2/INV/002	<i>Accident and Incident Reporting and Investigation (And Supporting Work Instructions and Guidance) (NR/SP/INV/002 & RT/LS/P/002)</i>
NR/L2/EBM/029	<i>Product Introduction and Change</i>
NR/L2/EBM/029/F001	<i>How to decide what needs product acceptance via NR/L2/EBM/029</i>
NR/L3/INI/CP0036	<i>The Provision of Welfare Facilities</i>
	<i>Bribery Act 2010</i>

Disclaimer

In issuing this document for its stated purpose, Network Rail makes no warranties, express or implied, that compliance with all or any documents it issues is sufficient

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

Contents

1 Purpose	5
2 Scope	5
3 Roles and responsibilities	5
4 Definitions	6
5 Introduction	7
5.1 Structure and delivery of requirements	7
5.2 Exclusions	7
6 Core requirements	7
6.1 Policies	7
6.2 Organisation and responsibilities	8
6.3 Individual qualifications and experience of staff in 'key roles'	9
6.4 Management system	10
6.5 Competence management	11
6.6 Employment medicals	12
6.7 Alcohol and drugs arrangements	12
6.8 Managing refusals to work on grounds of health and safety	13
6.9 Managing worker and suppliers' workers' fatigue	13
6.10 First aid at work arrangements	14
6.11 Reviewing changes to customer and regulatory requirements	15
6.12 Document management	15
6.13 Personal track safety and the Sentinel Scheme requirements	16
6.14 Provision of competent health, safety and environment advice	16
6.15 Internal and external communication arrangements	17
6.16 Site inspection, corporate performance monitoring and system audit	18
6.17 Workforce involvement	19
6.18 'Close Call', 'Near Miss' and Accident reporting and investigation	20
6.19 Products and plant (including safety critical)	21
6.20 Risk assessment	23
6.21 Co-operation and co-ordination	24
6.22 Health, welfare, wellbeing	24
6.23 Control of bribery	24
6.24 Insurance arrangements	25

Copyright Network Rail

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

1 Purpose

This document sets out the core management system and management process requirements for suppliers of products and services that import risk onto Network Rail Managed Infrastructure.

2 Scope

Applies to:

- suppliers registered with Link-up who have triggered an audit due to product code selection and/or have otherwise indicated that they work or intend to work on Network Rail Managed Infrastructure;
- sponsors of Sentinel scheme card holders;
- suppliers prioritised by Network Rail as:
 - a) 'Principal Contractors' – who may be, or are, working on Network Rail Managed Infrastructure as Principal Contractor;
 - b) 'Rail Plant Operating Company in Possessions' – those organisations operating rail (on-track) plant only in engineering possessions on Network Rail Managed Infrastructure.

*NOTE 1 – This standard is a supplier qualification requirement independent of any specific current tendering or contract-specific requirements. A supplier may be assessed against the requirements contained in **Clause 6** at any reasonable time irrespective of the contractual status of the supplier. GRIP stage exclusions do not apply. Sourcing and contract management teams should satisfy themselves that timely and appropriate contract-specific supplier assurance and safety management arrangements apply independently of the qualification requirements contained in this standard.*

3 Roles and responsibilities

Assessor

Link-Up auditor, Network Rail Assurance Specialist (Licensing), or other similarly competent representative, who gains assurance that a supplier within the scope (**Clause 2**) is compliant with the requirements contained in this standard.

Lead Assurance Specialist, Investment Projects

Leads the Assurance Specialist (Licensing) team in Investment Projects responsible for delivering the licensing assurance of which this standard is a part.

Principal Assurance Specialist, Investment Projects

Leads the strategic development and manage an effective framework for Investment Projects to assure compliance with Network Rail standards, legislation, Network Rail's Health & Safety Management System and GRIP. Responsible for the overall management of the activities of the Assurance Specialists (Licensing).

Policy and Assurance Manager, Strategic Sourcing

Responsible for monitoring the overall efficacy of this standard and liaising with rail industry stakeholders to deliver continuous improvement.

Suppliers

Suppliers:

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

- with 'auditable' Link-up product codes (see Link-Up Product Code Booklet) shall assure themselves that their management systems and processes meet the applicable requirements contained in this standard.
- prioritised for licensing shall assure themselves that their management systems and processes meet the applicable requirements contained in this standard as a part of Network Rail's licence requirements (see NR/L2/INI/CP0070 *Supplier Licensing*).

4 Definitions

Management System

The organisation and arrangements, including methodologies that enable a business to meet its objectives.

Management Process

The practical application of the organisation and arrangements that enable a business to meet its objectives.

Licensed Principal Contractor

Corporate entity licensed by Network Rail as capable to operate as a Principal Contractor under regulation 14(2) of *The Construction (Design and Management) Regulations 2007*.

Rail Plant Operating Company in Possessions

Corporate entity who has demonstrated the capability for operating rail (on-track) plant in engineering possessions and has gained a licence to operate as such via Network Rail's licensing process.

NOTE 2 – 'Operate' and 'Operating' used in this context refers to a supplier who shall be solely responsible for planning and site management of rail (on track) plant in a Network Rail engineering possession. It does not apply to those suppliers who solely lease rail plant for use in engineering possessions and/or suppliers who solely supply technical staff to operate/'drive' such plant.

Safety Critical

An engineering product or service which is capable of importing risk to Network Rail infrastructure, (Examples include; track, structures, rail vehicles, components, systems, telecommunications, signalling, repairs, modifications, maintenance services, engineering activities, hire of labour, consultancy activities and technical advice; this list is not exhaustive).

NOTE 3 - Safety critical tasks are those carried out by a competent person, and include signaling, installation and maintenance, supervising safety of persons working on the track (provision of protection), etc. Installing or maintaining track, components or structures supporting the permanent way. Further definitions in terms of specific job roles see:

http://www.rail-reg.gov.uk/upload/pdf/rsp004-rogs-crtcl_tasks.pdf

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

5 Introduction

5.1 Structure and delivery of requirements

Each requirement contained in **Clause 6** is based on an objective.

The supplier shall satisfy the assessor that suitable and sufficient management controls are in place to deliver the objective by compliance with the supporting requirements.

However, it shall be at the Assessor's discretion to determine at what stage the supplier is in the assessment process and utilise an appropriate audit protocol.

5.2 Exclusions

Assessors shall review the supplier's scope of work for applicability to the requirements contained in this standard. Exclusions (including 'ISO'/'OHSAS' certifications) allowed shall be noted by the assessor in the formal written assessment outcome.

Any exclusion from a requirement allowed by the assessor shall not be granted in perpetuity and the supplier shall retain responsibility to provide a service or product that meets client (contract), group and company standards and applicable statutory requirements.

6 Core requirements

6.1 Policies

6.1.1 Objective

The objective is to demonstrate, to employees and other affected parties, the supplier's board level commitment to Health Safety and Environmental requirements and identify the overall framework within which the company operates.

6.1.2 Requirement

The supplier shall have the following policy statements*:

- a) Health and Safety;
- b) Environmental;
- c) Quality.

The policies/policy shall:

- d) meet UK legislative requirements;
- e) be dated and current;
- f) be endorsed at Board level (i.e. signed-off at Director Level);
- g) cover all areas of the supplier's business.

The Health and Safety Policy* statement shall contain a clear commitment to:

- h) safety, in so far as is reasonably practicable;
- i) providing sufficient resources for the management of health and safety;
- j) setting and monitoring safety objectives;
- k) continual improvement in safety performance.

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

The Environmental Policy Statement* shall contain a clear commitment to:

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

The Quality Policy* statement shall contain:

- q) whether the supplier is accredited to any standards (e.g. ISO 9001 or any specific standards for the type of product or service);
- r) the setting and monitoring of quality objectives;
- s) a commitment to work with suppliers and customers to establish and maintain the highest quality standards;
- t) a commitment to continual improvement in quality performance.

**NOTE 4 - A single integrated policy statement, in compliance with the Health, Safety and Environmental requirements and Quality objectives, is permissible where the supplier has an integrated management system.*

The supplier shall have arrangements in place for managing policy statements, including:

- u) communicating them to all employees on induction, starting a contract and following policy changes;
- v) communicating them to their suppliers (as necessary) and other interested parties;
- w) reviewing them (as a minimum annually).

6.2 Organisation and responsibilities

6.2.1 Objective

The objective is to establish an adequate organisational framework for the safe and efficient delivery of a contract. This includes the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts.

6.2.2 Requirement

The supplier shall allocate the 'key roles' listed below to posts in the organisation and have a documented organisation structure indicating these posts and posts carrying out safety critical tasks.

NOTE 5 - This list is not exhaustive. It is expected that appropriate assessment is undertaken and documented to identify the roles required. Posts may undertake more than one 'key role'.

Key roles include:

those with the **accountability** for the following:

- safety management;
- environmental management;

Ref:	NR/L2/CPR/302
Issue:	2
Date:	3 September 2011
Compliance date:	3 September 2011

- quality management;
- technical expertise (as required for the work carried out e.g. civil engineering, electrification etc.);
- rail operations;
- competence management.

those with **responsibility for delivering** the following:

- maintaining the management systems;
- co-ordinating employment medicals;
- monitoring hours worked and authorising exceedances for employees and their suppliers' employees;
- co-ordinating pre-employment, random and 'for cause' alcohol and drugs assessments;
- assessing first aid resources to be provided on site;
- document control;
- planning work (including planning safe access and egress to Network Rail Managed Infrastructure);
- producing and delivering briefing material;
- performing Sentinel co-ordinator tasks;
- investigating accidents and incidents;
- procuring products and services;
- carrying out risk assessments;
- carrying out internal and external audits and other compliance activities as appropriate;
- competence assessment and training.

NOTE 6 - Safety critical tasks are as defined in Regulation 23 of the Railway and Other Guided Transport Systems (Safety) Regulations 2006.

The supplier shall have arrangements in place for:

- a) documenting the organisation structure, which shall be adequate for the work;
- b) keeping the organisation structure current and relevant at all times;
- c) clearly communicating the responsibilities, authorities and accountabilities to post holders;
- d) obtaining acceptance of the responsibilities from post holders;
- e) appointing deputies for posts carrying out 'key roles';
- f) where key safety, environment, quality or technical expertise is procured from outside the organisation, setting up the means of communication with the supplier of the expertise.

6.3 Individual qualifications and experience of staff in 'key roles'

6.3.1 Objective

The objective is to employ suitably qualified staff in 'key roles'.

6.3.2 Requirement

The supplier shall set the minimum acceptable competence requirements for the posts carrying out the 'key roles' identified in **6.2.2** of this standard. Competences shall include:

- a) years experience in specific roles;