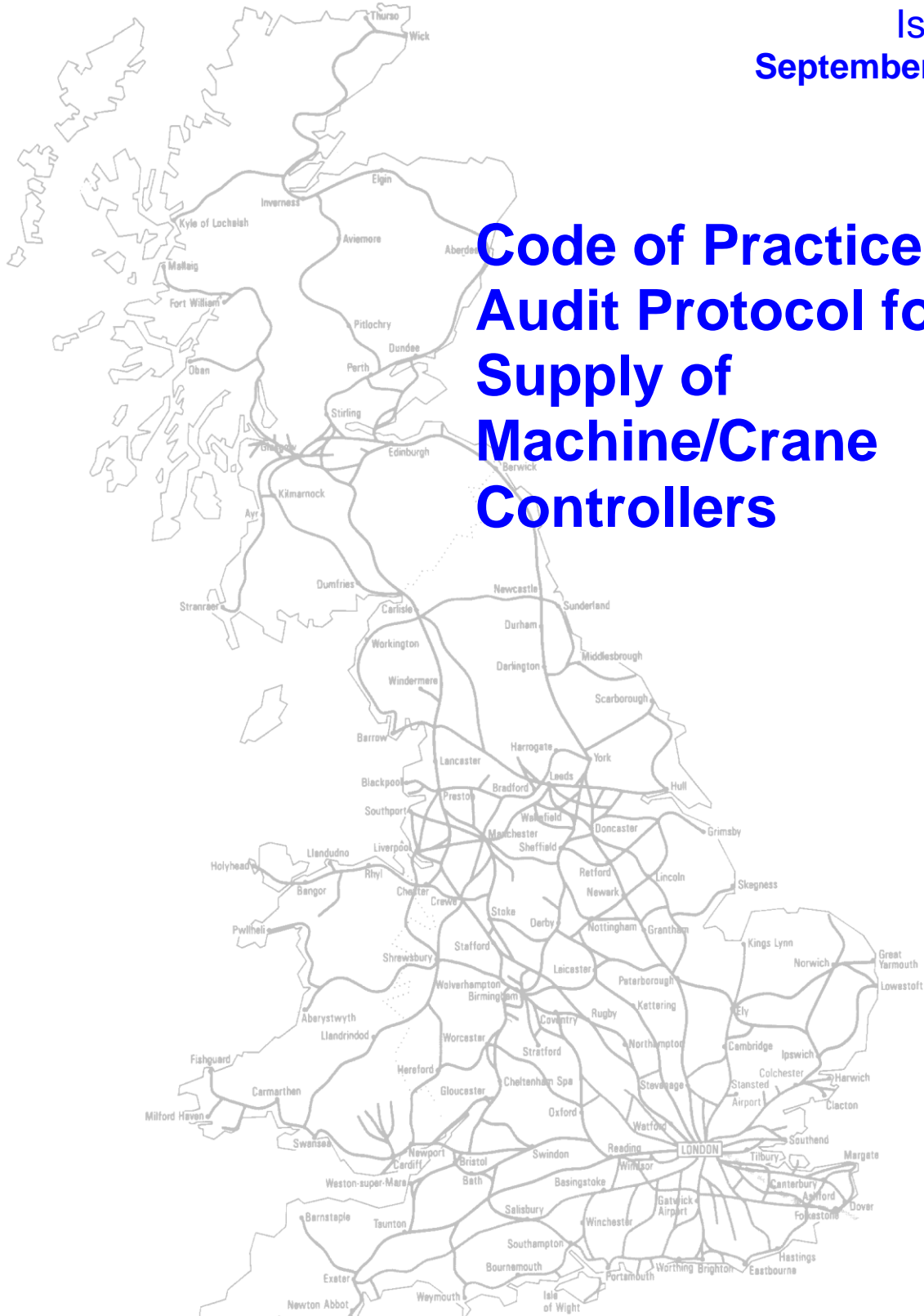


**AP0002**  
Issue 1  
September 2012



# **Code of Practice for Audit Protocol for Supply of Machine/Crane Controllers**

# **M&EE Networking Group**

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## Document revision history

Issue	Date	Reason for change
1	Sep 2012	First Issue

## Background

A sub-group of the M&EE Networking Group have looked at the auditing of suppliers of machine/crane controllers to the rail industry. The M&EE Networking Group recommend this COP as good practice for the industry.

M&EE COPs are produced for the benefit of any industry partner who wishes to follow the good practice on any railway infrastructure. Where an infrastructure manager has mandated their own comparable requirements, the more onerous requirements should be followed as a minimum for work on their managed infrastructure.

The M&EE Networking Group makes no warranties, express or implied, that compliance with this document is sufficient on its own to ensure safe systems of work or operation. Users are reminded of their own duties under health and safety legislation.

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## Sign off

The M&EE Networking Group agreed and signed off this Code of Practice on 21 September 2012 and published on 1 December 2012.

Amey	<b>J Nutty</b>	Mechanical Assurance Engineer
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## Introduction

This audit protocol covers the auditing of providers of Machine Controllers and Crane Controllers to work on Network Rail Infrastructure. This protocol forms the basis for the minimum technical and operational audit requirements and is intended to represent a common approach to the auditing of Machine Controller and Crane Controller providers. Individual businesses may wish to add to these basic requirements.

Each individual business is responsible for ensuring that it adequately covers their own Network Rail issued Principle Contractor Licence and/or Plant Operations Licence arrangements.

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## 1. Documents and Standards

### 1.1 *Does your organisation have sufficient relevant procedures in respect of the supply of Machine Controllers/Crane Controllers?*

*The Auditor should establish the following:*

- *Copy of procedures.*
- *Check for adequacy.*

Evidence Found

Deficiencies Identified

### 1.2 *Does your organisation have current copies of the following Health and Safety legislation?*

- a) *The Management of Health & Safety at Work Regs.*
- b) *The Manual Handling Operations Regs.*
- c) *The PPE at Work Regs.*
- d) *The Workplace Health Safety and Welfare Regs.*
- e) *PUWER.*
- f) *RIDDOR.*
- g) *LOLER.*
- h) *ROGS.*
- i) *COSHH.*

*The Auditor should establish the following:*

- *Copies of listed documents.*

Evidence Found

Deficiencies Identified

### 1.3 *Is all Health & Safety documentation/literature held by your organisation current, and how is it kept up to date?*

*The Auditor should establish the following:*

*See approval documents or exemption letters where appropriate for:*

- *RRVs Check dates and/or organisation subscribes to Croners or similar publication.*
- *Relevant updates/briefings to staff.*

Evidence Found

Deficiencies Identified

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**1.4 Does your organisation have access to current copies of the following Railway Group Standards, Network Rail Standards and Codes of Practice?**

- a) **RIS-1700-PLT Rail Industry Standard for Safe Use of Plant for Infrastructure Work.**
- b) **GM/RT2450 Qualification of Suppliers of Safety Critical Engineering Products and Services.**
- c) **NR/L3/OPS/048/TMMAND Mandatory sections of Train Ops Manual.**
- d) **NR/CS/CTM/001 Competency Manual.**
- e) **NR/SP/CTM/005 QA in Training Delivery.**
- f) **NR/SP/CTM/006 QA in Competency Assessment.**
- g) **Railway Safety Publication 1, ORR, Developing & Maintaining Staff Competence.**
- h) **GE/RT8000 Rule Book.**

The Auditor should establish the following:

- Copies of listed documents.

Evidence Found

Deficiencies Identified

**1.5 Has your organisation a process in place for receiving new, relevant Railway Group Standards and Network Rail Standards and changes to them?**

The Auditor should establish the following:

- View procedure.
- Identify competent person and verify competency.

Evidence Found

Deficiencies Identified

**1.6 What process is used to brief staff of relevant changes to Railway Group Standards, Network Rail Standards and Codes of Practice?**

The Auditor should establish the following:

- View process.

Evidence Found

Deficiencies Identified

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**1.7    How are the relevant employees of your organisation issued with relevant parts of the Rule Book?**

- The Auditor should establish the following:*
- View copies of sections as listed in guidance notes/matrix.
  - Check for signed receipt.

Evidence Found

Deficiencies Identified

**1.8    Have you a register of all your MC & CC competencies?**

- The Auditor should establish the following:*
- View Sentinel staff listing and verify sample for validity.
  - Check sample of counterparts.
  - Check for multiple sponsors.
- Random sample and view 10% of pre delivery check process includes checking appropriate documentation is carried on machine.*

Evidence Found

Deficiencies Identified

**1.9    Does your organisation undertake documented internal audits of technical/safety/quality systems?**

- The Auditor should establish the following:*
- View audit protocol.
  - View past results/action.
  - Any major non-conformances satisfactorily closed out.
  - Verify competency of auditor(s).

Evidence Found

Deficiencies Identified

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## 2. Recruitment

### 2.1 *Are personal details taken from applicants, e.g. date of birth, NI number, driving licence details?*

*The Auditor should establish the following:*

- *View application form and ensure fully completed.*
- *Are references and Sentinel checks carried out.*

Evidence Found

Deficiencies Identified

## 3. Training

### 3.1 *Are PTS holders trained in either AC or DC electrified lines or both?*

*The Auditor should establish the following:*

- *View copy of PTS register/data base.*
- *View copies of certificates.*

Evidence Found

Deficiencies Identified

### 3.2 *Who undertakes and where is the MC & CC training undertaken?*

*The Auditor should establish the following:*

- *View Training documents.*
- *Check facilities.*

Evidence Found

Deficiencies Identified

### 3.3 *Is the training machine type specific?*

*The Auditor should establish the following:*

- *View Training documents.*

Evidence Found

Deficiencies Identified

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**3.4 Are all staff employed by your organisation trained (based on risk assessments) in manual handling/kinetic lifting?**

*The Auditor should establish the following:*

- *View certification.*
- *View manual handling risk assessments.*
- *View control measure implementation.*

Evidence Found

Deficiencies Identified

**4. Competency**

**4.1 Does your organisation have a documented competency management system, which satisfies the Network Rail requirements?**

*The Auditor should view system.*

Evidence Found

Deficiencies Identified

**4.2 Are the competency assessments of your personnel undertaken by assessors who meet Network Rail requirements?**

*The Auditor should check qualification, background and experience of assessors.*

Evidence Found

Deficiencies Identified

**4.3 Does your organisation keep a record of staff who have undergone competency assessment relevant to the categories stated on the Sentinel Competency card?**

*The Auditor should view register/database.*

Evidence Found

Deficiencies Identified



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**4.4 When assessing Machine/Crane Controllers, are units/elements being assessed under acceptable conditions?**

*The Auditor should sample assessment records.*

Evidence Found

Deficiencies Identified

**4.5 Can you provide evidence to confirm workplace assessments have been undertaken?**

*The Auditor should establish the following:*

- *Controller time sheets/hire sheets.*
- *Order forms.*
- *Invoices.*

Evidence Found

Deficiencies Identified

**4.6 Is a register/database kept of all competencies held?**

***Does the system allow clarity of when the next assessment is due?***

*The Auditor should:*

1. *See copy of Sentinel register as earlier question.*
2. *Confirm, "flag up" or similar in place.*

Evidence Found

Deficiencies Identified

**4.7 Is there a process for verification of assessments?**

*The Auditor should establish the following:*

- *Identify internal/external verifiers.*
- *Copies of certification (D34) or V1 replacement..*

Evidence Found

Deficiencies Identified

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**4.8    Are competencies of individual members of staff communicated to those involved in the allocation of work/tasks to personnel?**

*The Auditor should establish the following:*

- Check all staff involved in planning and task allocation has easy access to relevant competency registers/databases.
- Check if machine specific i.e. Dozer, Highway Based Vehicle, Excavator Crane, MEWP.

Evidence Found

Deficiencies Identified

**4.9    Does your organisation have a procedure for the withdrawal of certification as a result of the following?**

- **Failure to meet medical standard criteria.**
- **Lack of competence.**
- **Leaving the company.**
- **Not performing duties within 12 months.**
- **Poor performance.**

*The Auditor should view procedure and see previously withdrawn certification*

Evidence Found

Deficiencies Identified

**5. Medical fitness**

**5.1    Do any Machine/Crane Controllers have medical deficiencies?**

*If yes, not to be used on Network Rail infrastructure.  
Check sample of medical details meet NR requirements, e.g. not colour blind.*

Evidence Found

Deficiencies Identified

**5.2    Does your organisation maintain a system to inform of medical expiry?**

*The Auditor should view register/database.*

Evidence Found

Deficiency Identified

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## 6. Monitoring of Working Hours

### 6.1 **Does your organisation operate a system, which monitors working hours, travel time and numbers of shifts worked in order to comply with Network Rail requirements?**

*The Auditor should view system to ensure compliance.*

Evidence Found

Deficiencies Identified

### 6.2 **Are staff responsible for programming work and allocating Machine/Crane Controllers made aware of hours worked, travel time and availability of individual personnel?**

*The Auditor should view procedure.*

Evidence Found

Deficiencies Identified

### 6.3 **Is there a procedure in place to provide information to the Client's Site Managers where authorised exceedances may become necessary?**

*The Auditor should:*

- *View procedure.*
- *Verify management sign off procedure.*
- *Ensure organisation does not plan for exceedances.*

Evidence Found

Deficiencies Identified

### 6.4 **Does your organisation employ any personnel on a casual/part time basis? If so, how do you monitor working and travelling hours when these staff are not working for you?**

*The Auditor should:*

- *Review list of casual employees.*
- *Obtain confirmation from Wages Dept.*
- *Review system for monitoring casual staff.*
- *View signed statements of casual employees hours worked, prior to taking duty within Network Rail controlled infrastructure.*

Evidence Found

Deficiencies Identified

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## 7. Personnel Protective Equipment

### **7.1    What standard PPE is issued to staff and are they aware of the PPE replacement procedure?**

*The Auditor should:*

- Check procedure.
- Check staff awareness.

Evidence Found

Deficiencies Identified

## 8. Safety Management

### **8.1    Does your organisation have a documented Safety Management System?**

*The Auditor should view document and assess adequacy.*

Evidence Found

Deficiencies Identified

### **8.2    Are members of your organisations management team on call 24 hours a day?**

*The Auditor should check on call manager roster.*

Evidence Found

Deficiencies Identified

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## 9. Insurance

### 9.1 Does your organisation carry insurance in respect of the following?

- **Employers liability £10m.**
- **Public liability £5m.**

*The Auditor should see:*

- *Copies of certificates.*
- *Employers liability certificate displayed in workplace.*

Evidence Found

Deficiencies Identified

## 10. Other issues

### 10.1 Is your organisation ISO 9001 accredited?

**If no, does the company have a documented management system appropriate for railway infrastructure working?**

*The Auditor should see copies of certificates, or check suitability of alternative arrangements.*

Evidence Found

Deficiencies Identified

### 10.2 Is your organisation aware of the specific requirements relating to management competency?

*The Auditor should:*

- *Obtain confirmation from managerial staff.*
- *List suitable criteria, training/competence.*

Evidence Found

Deficiencies Identified

### 10.3 Does your organisation have a customer feedback procedure?

*The Auditor should view procedure.*

Evidence Found

Deficiencies Identified

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**10.4   What process is there for ensuring your staff receive adequate instruction and briefing from the client on the client's SMS?**

*Does the process meet the requirements of the client?*

Evidence Found

Deficiencies Identified

**10.5   Where the MC/CC is also to act as COSS, what is the process for getting the 019 SSOW Pack to the MC/CC in advance of the shift so the MC/CC can verify that they are happy with the content?**

*Does the process meet the requirements of the client?*

Evidence Found

Deficiency Identified