ISO 9001:2015
ISO 14001:2015
OHSAS 18001:2004
National Electricity Registration Scheme (NERS)
Fleet Operators Recognition Scheme (FORS)
## Issue & Amendment Log

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**Contents review & approval**

**Signed:**

**Name & Title:** Mick Barrett – SHEQ Director

**Date:**
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2) ISO 14001:2015 Navigator – Environmental Management
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ISO 9001 Navigator - Management System Requirements

Management System Requirements

General Requirements

JSM Construction Ltd, implement and continually improve a documented quality management system in accordance with the requirements of ISO 9001.

Scope

The scope and boundaries of this Management System (IMS) is to provide highways and utilities civil engineering projects including ducted network systems for telecommunications, data, high voltage cables, sub-station works, gas and general civil engineering solutions. Services include the design and planning of network routes, excavation, ducting installation, reinstatement and cable installation.

Effective implementation of the quality management system will:

a. Identify the processes needed for the quality management system.
b. Determine the sequence and interaction of these processes.
c. Determine criteria and methods required that ensure the effective operation and control of these processes.
d. Ensure the availability of information necessary to support the operation and monitoring of these processes.
e. Measure, monitor and analyse these processes, and implement action necessary to achieve planned results and continual improvement.

These activities are managed in accordance with the MS processes and ISO 9001.

Exclusions from the IMS

None
Our Organisation

The organisation has determined external and internal issues that are relevant to its purpose and its strategic direction and issues that affect its ability to achieve the intended results of our management system.

The organisation monitors and reviews information about these external and internal issues including positive and negative factors or conditions.

SWOT (IMS Section 2.5) & PESTAL (IMS Section 2.6) analysis have been carried and cover these areas with the inclusion of technological, competitive, market, cultural, social and economic environments, whether international, national, regional and local considerations, values, culture, knowledge and performance of the organisation.

Understanding the needs and expectations of interested parties (4.2)

Due to their effect or potential effect on the organisation’s ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, the organisation shall determine:

a. the interested parties that are relevant to the quality management system;
b. the requirements of these interested parties that are relevant to the quality management system.

Determining the scope of the quality management system (4.3)

The organisation have determined the boundaries and applicability of the quality management system to establish its scope as determined in 1.1 Navigator page 2.

Quality management system and its processes (4.4)

The organisation has established, implemented and will maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of ISO 9001:2015 (4.4.1) - Section 1.2 of our management system

The organisation has determined the processes needed for the quality management system and their application throughout the organisation, and shall:

a. determine the inputs required and the outputs expected from these processes - IMS Section 5
b. determine the sequence and interaction of these processes - IMS Section 1.2
c. determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes - IMS Section 3
d. determine the resources needed for these processes and ensure their availability – IMS Section 3
e. assign the responsibilities and authorities for these processes – IMS Section 2
address the risks and opportunities as determined in accordance with the requirements of Clause 6.1 of ISO 9001 – IMS Section 2

evaluate the processes and implement any changes needed to ensure that these processes achieve their intended results – IMS Section 3

improve the processes and the quality management system – IMS Section 3

To the extent necessary, the organisation shall (4.4.2)

a. maintain documented information to support the operation of its processes - IMS Section 3.1
b. retain documented information to have confidence that the processes are being carried out as planned - IMS Section 3.3

Leadership (5)

Leadership and commitment (5.1)
Top management can demonstrate leadership and commitment with respect to the quality management system by:

a. taking accountability for the effectiveness of the quality management system;
b. ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organisation;
c. ensuring the integration of the quality management system requirements into the organisation’s business processes;
d. promoting the use of the process approach and risk-based thinking;
e. ensuring that the resources needed for the quality management system are available;
f. communicating the importance of effective quality management and of conforming to the quality management system requirements;
g. ensuring that the quality management system achieves its intended results;
h. engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
i. promoting improvement;
j. supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

Customer focus (5.1.2)
Top management can demonstrate leadership and commitment with respect to customer focus by ensuring that:
a. customer and applicable statutory and regulatory requirements are determined, understood and consistently met;

b. the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;

c. the focus on enhancing customer satisfaction is maintained.

Policy (5.2) – IMS Section 2.1

Establishing the quality policy (5.2.1)
Top management has established, implement and maintain a quality policy that:

a. is appropriate to the purpose and context of the organisation and supports its strategic direction;

b. provides a framework for setting quality objectives;

c. includes a commitment to satisfy applicable requirements;

d. includes a commitment to continual improvement of the quality management system.

Communicating the quality policy (5.2.2)
The quality policy is:

a. available and be maintained as documented information;

b. communicated, understood and applied within the organisation;

c. available to relevant interested parties, as appropriate.

Organisational roles, responsibilities and authorities (5.3)
Top management has ensured that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organisation – IMS Section 2.3

Planning (6)

Actions to address risks and opportunities (6.1)
When planning for the quality management system, the organisation has considered the issues referred to in 4.1 & 4.2 of ISO 9001:2015 and determined the risks and opportunities that need to be addressed to (6.1.1):

a. give assurance that the quality management system can achieve its intended result(s);

b. enhance desirable effects;

c. prevent, or reduce, undesired effects;
The organisation has planned (6.1.2):

a. actions to address these risks and opportunities – IMS Section 2 & 3
b. how to:
   1) integrate and implement the actions into its quality management system processes IMS Section 1.2
   2) evaluate the effectiveness of these actions IMS Section 3

Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.

Quality objectives and planning to achieve them (6.2) – IMS Section 3.9

The organisation has established quality objectives at relevant functions, levels and processes needed for the quality management system (6.2.1) - IMS Section 2.7 & 3.9

When planning how to achieve its quality objectives, the organisation has determined (6.2.2):

a. what will be done;
b. what resources will be required;
c. who will be responsible;
d. when it will be completed;
e. how the results will be evaluated.

Planning of changes (6.3)

When the organisation determines the need for changes to the quality management system, the changes shall be carried out in a planned manner – IMS Section 3

Support (7)

Resources (7.1)

The organisation will determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system

General (7.1.1)

The organisation has considered:
People (7.1.2)
The organisation has determined and provided the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes – IMS Section 2.2 & 2.3

Infrastructure (7.1.3)
The organisation has determined, provided and maintains the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.

Our Infrastructure includes:

a. buildings and associated utilities;
b. equipment, including hardware and software
c. transportation resources
d. information and communication technology.

Environment for the operation of processes (7.1.4)
The organisation has determined, provides and maintains the environment necessary for the operation of its processes and to achieve conformity of products and services.

Suitable environment considerations have been made including a combination of human and physical factors:

a. social (e.g. non-discriminatory, calm, non-confrontational) – IMS Section 3.4 – IMS Section 4.4
b. psychological (e.g. stress-reducing, burnout prevention, emotionally protective) - IMS Section 3.4
c. physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)

Monitoring and measuring resources (7.1.5) – IMS Section 3.4 & 3.7

Measurement traceability (7.1.5.2) – IMS Section 5

Organisational knowledge (7.1.6)
The organisation shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services – IMS Section 3.4 & 3.7

Competence (7.2) - IMS Section 3.4
Awareness (7.3) - IMS Section 3.4

Communication (7.4) - IMS Section 4.4

Documented information (7.5) - IMS Section 3.1 & 3.3

Creating and updating (7.5.2) - IMS Section 3.1

Control of documented information (7.5.3) - IMS Section 3.1

Operation (8)

Operational planning and control (8.1)
The organisation plans, implement and control the processes needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6 of 9001:2015, by:

a. determining the requirements for the products and services - IMS Section 5.1
b. establishing criteria for:
   1) the processes - IMS Section 4
   2) the acceptance of products and services - IMS Section 4
c. determining the resources needed to achieve conformity to the product and service requirements - IMS Section 2
d. implementing control of the processes in accordance with the criteria - MS Section 5
e. determining, maintaining and retaining documented information to the extent necessary - IMS Section 3.3

The organisation does not outsource any processes, but will ensure these are controlled if the status changes.

Requirements for products and services (8.2) – IMS Section 5

Customer communication (8.2.1)
Communication with customers will include:

a. providing information relating to products and services;
b. handling enquiries, contracts or orders, including changes;
c. obtaining customer feedback relating to products and services, including customer complaints;

d. handling or controlling customer property;

e. establishing specific requirements for contingency actions, when relevant.

Determining the requirements for products and services - IMS Section 5

Review of the requirements for products and services (8.2.3) - IMS Section 5
The organisation retains documented information, as applicable (8.2.3.2):

a. on the results of the review - IMS Section 3.3

b. on any new requirements for the products and services - IMS Section 3.3

Changes to requirements for products and services (8.2.4)
The organisation ensures that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

Design and development of products and services (8.3) – IMS Section 5.2

Design and development planning (8.3.2) – IMS Section 5.2
Design and development inputs (8.3.3) – IMS Section 5.2
Design and development controls (8.3.4) – IMS Section 5.2
Design and development outputs (8.3.5) – IMS Section 5.2
Design and development changes (8.3.6) – IMS Section 5.2

Control of externally provided processes, products and services (8.4) - IMS Section 5
The organisation ensures that externally provided processes, products and services conform to requirements.
The organisation will determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organisation shall retain documented information of these activities and any necessary actions arising from the evaluations.

Type and extent of control (8.4.2) - IMS Section 5
If required the organisation will ensure that externally provided processes, products and services do not adversely affect the organisation’s ability to consistently deliver conforming products and services to its customers.

Production and service provision (8.5) – IMS Section 5

Control of production and service provision (8.5.1) – IMS Section 5
The organisation will implement production and service provision under controlled conditions. Controlled conditions include, as applicable:

a. the availability of documented information that defines:
   1) the characteristics of the product to be produced, the services to be provided, or the activities to be performed;
   2) the results to be achieved;

b. the availability and use of suitable monitoring and measuring resources;

c. the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;

d. the use of suitable infrastructure and environment for the operation of processes;

e. the appointment of competent persons, including any required qualification;

f. the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;

g. the implementation of actions to prevent human error;

h. the implementation of release, delivery and post-delivery activities.

Identification and traceability (8.5.2) – IMS Section 5.6

Property belonging to customers or external providers (8.5.3)
The organisation shall exercise care with property belonging to customers or external providers while it is under the organisation’s control or being used by the organisation.

Preservation (8.5.4) – IMS Section 5.6
The organisation shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

Post-delivery activities (8.5.5) - IMS Section 5.7
The organisation shall meet requirements for post-delivery activities associated with the products and services.

In determining the extent of post-delivery activities that are required, the organisation considers:

a. statutory and regulatory requirements;

b. the potential undesired consequences associated with its products and services;
c. the nature, use and intended lifetime of its products and services;

d. customer requirements;

e. customer feedback.

Control of changes (8.5.6)
The organisation review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements. The organisation retains documented information describing the results of the review of changes, the person(s) authorising the change, and any necessary actions arising from the review. – IMS Section 3.3

Release of products and services (8.6)
The organisation implements planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.

The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.

The organisation retains documented information on the release of products and services. The documented information includes:

a. evidence of conformity with the acceptance criteria;

b. traceability to the person(s) authorizing the release.

Control of nonconforming outputs (8.7) – IMS Section 3.5
The organisation ensures that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery (8.7.1) – IMS Section 3.5

The organisation will retain documented information that (8.7.2):

a. describes the nonconformity;

b. describes the actions taken;

c. describes any concessions obtained;

d. identifies the authority deciding the action in respect of the nonconformity.

Performance evaluation (9)
Monitoring, measurement, analysis and evaluation (9.1)

The organisation has determined:

a. what needs to be monitored and measured;

b. the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results – IMS Section 3.7

c. when the monitoring and measuring shall be performed;

d. when the results from monitoring and measurement shall be analysed and evaluated.

The organisation evaluates the performance and the effectiveness of the quality management system. The organisation also retains appropriate documented information as evidence of the results – IMS section 3.3

Customer satisfaction (9.1.2) - IMS Section 5.7

Analysis and evaluation – IMS Section 3.7

Internal audit (9.2) - IMS Section 3.6

Management review (9.3) - IMS Section 3.7

Improvement (10)

Nonconformity and corrective action (10.2) - IMS Section 3.5

Continual improvement (10.3) - IMS Section 3.5

The organisation continually improves the suitability, adequacy and effectiveness of the quality management system.

The organisation consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.
ISO 14001:2015 Navigator

1 Scope
Our environmental management system provides value for the environment, our organization itself and interested parties. Consistent with our environmental policy, the intended outcomes of an environmental management system include:

— enhancement of environmental performance;
— fulfilment of compliance obligations;
— achievement of environmental objectives.

2 4 Context of the organization - IMS Section 2.4

2.1 4.1 Understanding the organization and its context - IMS Section 2.4

2.2 4.2 Understanding the needs and expectations of interested parties - IMS Section 2.4

2.3 4.3 Determining the scope of the environmental management system - IMS Section 1.1 Page 1

2.4 4.4 Environmental management system - IMS Section 1.1
To achieve the intended outcomes, including enhancing its environmental performance, our organization has established, implemented, maintains and continually improves its environmental management system, including the processes needed and their interactions, in accordance with the requirements of ISO14001:2015.

3 Leadership (5) - IMS Section 2.3

4 Leadership and commitment (5.1) - IMS Section 2.4

4.1 Environmental policy (5.2) - IMS Section 2.1
Top management has established, implemented and continues to maintain an environmental policy that, within the defined scope of its environmental management system meets the requirements of ISO 9001:20015 a - e:

4.2 Organizational roles, responsibilities and authorities (5.3) - IMS Section 2.3

5 Planning (6) - IMS Section 6 & IMS Section 3.7

5.1 Actions to address risks and opportunities (6.1) - IMS Section 2.4 & IMS Section 2.5

5.2 General (6.1.1)– IMS Section (ENV Section) - IMS Section 6
5.3 Environmental aspects (6.1.2) - IMS Section 6.1

When determining environmental aspects, the organization takes into account:

a) change, including planned or new developments, and new or modified activities, products and services;
b) abnormal conditions and reasonably foreseeable emergency situations.

The organization determines those aspects that have or can have a significant environmental impact by using established criteria - IMS Section 6.1.2

The organization communicates its significant environmental aspects among the various levels and functions of the organization, as appropriate.

5.4 Compliance obligations (6.1.3) - IMS Section 3.2

5.5 Planning action (6.1.4) - IMS Section 6
1) significant environmental aspects – - IMS Section 6.1
2) compliance obligations - IMS Section 3.2
3) risks and opportunities identified - IMS Section 6.1

5.6 Environmental objectives and planning to achieve them (6.2) - IMS Section 3.9

5.7 Environmental objectives (6.2.1) - IMS Section 3.9

5.8 Planning actions to achieve environmental objectives (6.2.2) - IMS Section 3.9

6 Support (7) - IMS Section 3.4

6.1 Resources (7.1) - IMS Section 2.2 & IMS Section 3.4

6.2 Competence (7.2) - IMS Section 3.4

6.3 Awareness (7.3) - IMS Section 3.4

6.4 Communication (7.4) - IMS Section 6.2

6.5 Internal communication (7.4.2) - IMS Section 6.2

6.6 External communication (7.4.3) - IMS Section 6.2
6.7 Documented information (7.5) - IMS Section 3.1

6.8 General (7.5.1) - IMS Section 3.1

6.9 Creating and updating (7.5.2) - IMS Section 3.1

6.10 Control of documented information (7.5.3) - IMS Section 3.3

7 Operation (8)

7.1 Operational planning and control - IMS Section 6.4
Consistent with a life cycle perspective, the organization:

a) establishes controls, as appropriate, to ensure that its environmental requirements are addressed in the design and development process for the product or service, considering each life cycle stage;
b) determines its environmental requirement for the procurement of products and services, as appropriate;
c) communicates its relevant environmental requirement to external providers, including contractors;
d) considers the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services.

7.2 Emergency preparedness and response (8.2) - IMS Section 6.3
The organization has established, implemented and maintains process needed to prepare for and respond to potential emergency situations identified in accordance with points a to f of clause 8.2 of the standard.

8 Performance evaluation (9) - IMS Section 3.7 & - IMS Section 6.5

8.1 Monitoring, measurement, analysis and evaluation (9.1.1) - IMS Section 3.7 & - IMS Section 6.5
The organization monitors, measures, analyses and evaluates its environmental performance.

The organisation determines:

a) what needs to be monitored and measured
b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
c) the criteria against which we will evaluate its environmental performance, and appropriate indicators;
d) when the monitoring and measuring shall be performed;
e) when the results from monitoring and measurement shall be analysed and evaluated.

8.2 Evaluation of compliance (9.1.2) - IMS Section 3.2
The organization has:
a) determined the frequency that compliance will be evaluated.
b) evaluated compliance and taken action when needed.
c) maintains knowledge and understanding of its compliance status.

JSM Group retain documented information as evidence of the compliance evaluation results.

8.3 Internal audit (9.2) - IMS Section 3.6

8.4 Internal audit programme (9.2.2) - IMS Section 3.6

8.5 9.3 Management review (9.3) - IMS Section 3.7

9 Improvement (10) - IMS Section 3.7

Our organisation determines opportunities for improvement through management review and implements necessary actions to achieve the intended outcomes of our environmental management system.

9.1 Nonconformity and corrective action (10.2) - IMS Section 3.5

9.2 Continual improvement (10.3) - IMS Section 3.7
OHSAS 18001 Navigator – Health & Safety Management

1. General requirements

1.1 JSM Construction Ltd maintain, implement and continually improve a documented occupational health & safety management system in accordance with the requirements of OHSAS 18001.

1.2 The scope of this Safety Management System (SMS) includes all operations and activities of the business conducted at the head office/yard and every operational construction site.

2 OH&S policy

The Occupational Health & Safety Policy is established and maintained that:

a. Is appropriate to the nature and scale the business OH&S risk.

b. Includes a commitment to continual improvement.

c. Includes a commitment to comply with current applicable legislation.

d. Is documented, implemented and maintained.

e. Is communicated to all employees with the intent that employees are made aware of their individual OH&S obligations.

f. Is made available to interested parties.

g. Is reviewed periodically (at least yearly) to ensure that it remains relevant to our business.

3 Planning

Processes are established and maintained to identify hazards, assess risk and introduce arrangements and control measures to effectively manage the risk encountered – refer to IMS section 4.

3.2 Legal & other requirements – IMS section 3.2

3.3 OH&S objectives

3.3.1 OH&S objectives are established and must:

a) Be consistent with the OH&S policy & commitment to continual improvement.

b) Be quantifiable where practicable.

c) Consider legal & other requirements.

d) Consider hazards, risks & safety performance.

e) Consider technical options, financial, operational and business requirements.

f) Consider views of interested parties.

3.4 OH&S program

3.4.1 An OH&S management program is documented and maintained to include:

a) The designated responsibility and authority for achievement of the objectives.

b) The means and timescales by which the objectives are to be achieved.

The program is reviewed on a regular basis (at least every 6 months) and amended where changes are necessary.

4 Implementation and Operation

4.1 Roles, responsibility, accountability & authority – IMS sections 2.2 & 2.3
4.2 Competence, training & awareness – *IMS section 3.4*

4.3 Communication, Participation & Consultation – *IMS section 4.4*

4.4 **Documentation**

4.4.1 The core elements of the OH&S management systems are described in this navigator document, which provides direction to associated operational documentation, processes, procedures and records relating to the management system.

4.4.2 The interrelation of processes contained within the OH&S management system is detailed in the process map – *IMS section 1.2.2*.

4.4.2 Control of documents – *IMS section 3.1*

4.5 **Operational control**

4.5.1 Operations and activities that are associated with identified risk are managed and controlled in accordance with documented processes and where applicable, procedures. *Refer to IMS section 4.5*.

4.5.2 Detailed safety operating procedures, policies and safe systems of work are maintained in the company safety manual.

4.6 Emergency preparedness & response

4.6.1 Emergency preparedness & response plans are established where required to respond to the event of incidents & emergency situations – *refer to IMS section 4.6*.

4.6.2 Emergency plans should consider:

   a. Identification of person to take charge during an emergency.
   b. Evacuation procedures.
   c. Interaction with emergency services.
   d. Communication with statutory bodies, neighbours and the public.
   e. Protection of vital records and equipment.
   f. Availability of relevant information e.g.: MSDS, COSHH assessments, site information, etc.
   g. Emergency equipment list.
   h. Practice drills where practicable.
   i. Review of feedback from incidents, experiences & practice drills.
   j. Actions resulting from reviews and progress in achieving actions.

5 **Checking**

5.1 Performance measurement & monitoring – *IMS section 4.7*

5.1.2 Measuring & monitoring equipment – *IMS section 3.8*

5.2 Incident investigation, non-conformance, corrective & preventive action – *IMS section 3.5*

5.3 Control of Records – *IMS section 3.3*

5.4 Internal audit – *IMS section 3.6*

5.5 Management review – *IMS section 3.7*
1 Introduction & Purpose

1.1 JSM Construction Ltd maintain, implement and continually improve management systems, processes and procedures to ensure continual compliance with the National Electricity Registration Scheme.

1.2 To this end, JSM Construction Limited are committed to achieving and maintaining accreditation to NERS as a means of demonstrating compliance and providing assurance that the processes, practices and procedures are consistently applied and maintained.

2 Responsibilities

JSM Construction Ltd undertake to ensure that practices and procedures will be consistently applied as a responsible Utility Connection Provider (UCP) to include:

a. Maintain an effective management structure to consistently deliver accredited scopes of work to the scheme requirements.

b. Clearly define the scope of the services provided.

c. Remain pro-active in monitoring the quality of work without reliance on the Accreditation Body or the Adopting Utility.

d. Arrange with the Accreditation Body for visits to be done in accordance with the agreed surveillance programme.

e. Immediately cease work and implement improvements when a major deficiency is raised.

f. Ensure deficiencies identified by the accreditation body are closed out within agreed time scales.

g. Ensure that identified workmanship issues are rectified before work proceeds.

h. Notify the Accreditation Body of the following:

i. Changes to key personnel

j. Changes to ownership

k. HSE notices issued on them

l. Award of the first contract for a scope of work for which partial accreditation is currently held.

m. Rectify any defects notified by the accreditation body, or the adopting utility, that are the UCP responsibility.

n. Provide information required by any relevant regulatory bodies.

JSM Construction Ltd evaluate ongoing risk to our accreditation status. This is to ensure that compliance to NERS is continually maintained and to identify at an early stage any potential threats to accreditation status. The evaluation procedure relates to both contestable and sub-contracted works and is carried out in the event of:

a) Changes to key personnel.

b) Changes to ownership.

c) HSE Notices issued.

d) Changes to NERS.

e) Minimum 12 monthly.
Furthermore, assessment of the risk to our own accreditation status is evaluated for all works using sub-contractors – refer to section 5.

Records of evaluation are maintained – IMS section 3.3.

3 Scopes

3.1 Scopes performed under NERS accreditation:

Construction:
- a) Excavation and backfilling up to tile tape level.
- b) Cable laying at all voltages up to 132kV.
- c) Substation installation (distribution up to 11kV).
- d) Substation installation (primary/grid up to 132kV).
- e) Control and management:
- f) Cable jointing at all voltages up to 132kV using NERS approved sub-contractors.

Note:
Some DNO’s may require UCP’s to hold Live LV Jointing as a pre requisite before entering into relevant Network Connection pilot agreements. JSM Construction will check and establish the relevant DNO’s position on this point.

4 Role Competency Requirements

4.1 All personnel involved in the delivery of construction, control and management of NERS contestable and subcontracted works have the required technical competencies for the roles undertaken.

4.2 JSM Construction Ltd have appointed an Authorising Officer who is responsible for ensuring that all works are carried out in accordance with the relevant standards, specifications and regulations, including the issue of appropriate certification for works carried out. The Authorising Officer is a Director of the company and has full authority to ensure the responsibility as a UCP are met.

4.3 JSM Construction Ltd have appointed a suitably qualified Technical Advisor to oversee the process. The Technical Advisor shall demonstrate a level of technical competence relevant to the construction activities to be project managed. The responsibilities of the Technical Advisor is clearly defined within the contract of employment. The Technical Advisor is responsible for overseeing the role competency process and to carry out competency assessments of Engineering and Supervisory staff. Records are kept of all competency assessments together with the supporting evidence obtained during the competency interview and these are reviewed and updated at least annually.

4.4 JSM Construction Limited have appointed all required personnel with the relevant technical competences required by NERS Requirements Document Version 5.0.

4.5 Specific job descriptions for all roles required to meet the requirements of NERS specific scopes are defined and maintained at IMS section 2.3.

4.6 Competencies, awareness, training and re-training is managed and controlled in accordance with IMS section 3.4.
4.7 The administration to record and control issued certificates of competence and passports is established through the IMS with records controlled in accordance with IMS section 3.3. Paper records should be protected against risk of possible destruction. NERS specific records include, training data, copy training certificates, assessment and authority details together with review dates. Access to these specific records is limited to the SHEQ Director, Assessing Officer and Business Support Administrators.

4.8 The Table Guide to Minimum Training Requirements (NERS V5.0 Section 4.2.13) in incorporated into the JSM Construction NERS 05 Matrix.

5 Sub-contracted Works

5.1 All sub-contracted works under the scope of NERS accreditation will be either:
   a. Undertaken by a UCP who has a current Accreditation for that sub-contracted scope of work.
   b. Undertaken by a UCP who has Partial Accreditation for that scope of work to be subcontracted and that work is used as the basis to achieve Full Accreditation.
   c. Undertaken by a UCP who has Partial Accreditation for that scope of work to be subcontracted and that work is used as the basis to achieve Full Accreditation.

5.2 Arrangements in place for ‘labour only’ sub-contractors ensure that the requirements of NERS section 5.2 are met. To this end, labour only sub-contractors are managed and controlled as our own personnel in accordance with section 4 above.

5.3 Specialist sub-contractors are used for:
   a) Directional drilling.
   b) Specialist commissioning activities including:
   c) Cable pressure testing and earthing arrangements associated with primary voltages of 33kV and above.
   d) Complex secondary substations installed by the equipment manufacturer, their agents or other specialists.
   e) Work as agreed with the adopting utility.

5.4 Sub-contractors are managed, evaluated, re-evaluated and controlled in accordance with IMS section 5.3.

6 Work Issue & Control

6.1 Work control & management

6.1.1 JSM Construction Ltd maintain management control processes (IMS section 5.1.1) to manage works from inception through to adoption by the adopting utility. The controls:
   a. Recognise adopting utility and industry specific requirements.
   b. Provide effective interfaces with other UCPs, adopting utility, and developers.
   c. Ensure technical compliance from support sections within the UCP.
   d. Establish and maintain information, in a suitable medium (e.g. paper or electronic format) that describes the core elements of the management system and their interactions.

6.1.2 Controls ensure compliance with technical specifications and requirements for notices and communication specific to the adopting utility areas of operation. Controls also ensure that sector specific requirements are accessed for areas of operation in which JSM Construction Ltd are not currently active.

6.1.3 Tendering, planning and construction operations are managed and controlled in accordance with IMS sections
6.1.4 Written work instructions are issued which:

- Clearly describe the full extent of work to be carried out including layout and, as necessary, specification.
- Detail the limits of the work to be carried out.
- Live jointing work associated with un-metered connections and resulting from excavation, cable laying and back filling to tile/tape level will have in place a suitable decision making process to ensure safe operations where this work may be, or suspected to be, carried out in the vicinity of a main.
- Include the name of the issuer and, where possible, the recipient with and should include facility for sign off on completion by the recipient.
- Provide sufficient detail for work completed to be matched to a work instruction.
- Once signed off, be retained for an appropriate time (possibly governed by contract agreement) – IMS section 3.3.

6.1.5 Work packs produced are issued to operatives and include, as applicable to the project:

- Work instructions.
- Method statements and risk assessments, including site specific.
- Appropriate drawings, including utility drawings.
- Installation/assembly drawings & specifications.
- Wayleave and easement routes.
- Proposed route plans and access arrangements.

6.1.6 Work scheduling is managed in accordance with IMS section 5.1.1 & 5.5 and includes:

- Defined methodology using the project plan and H&S plan.
- Methodology to be used, i.e. Tee cards, white boards, software, etc.
- Co-ordination of interrelated activities by work scheduling, including order of material, provision of work packs, transport, etc.
- Ensuring that suitable trained and experienced personnel.
- Continual monitoring and review of the work schedule.

6.1.7 Issuing of work is by formal arrangements from design/planning teams to project management and construction teams to include:

- Handover of risk assessments and method statements to appropriate personnel with formal and recorded briefings.
- Arrangements for the handover and continuity of projects in the event of planned or unplanned absences.

6.1.8 Site supervision is managed and the supervision of operatives and sub-contractors controlled to a level that ensures compliance with safety and technical requirements to include:

- Appointment of qualified supervisors (as defined at NERS section 4) for all accredited scopes of work.

6.1.9 Variations to works are assessed and managed to ensure compliance with specifications (IMS section 5.5).
6.1 Types of variation that need to be referred back to designers.

6.1.10 The requirements for the formal handover of assets for adoption by the adopting utility to include staged completions, as-built drawings, test certificates, CDM files and records of connected services and properties are included in IMS section 5.1.1.

6.2 Methods of working

6.2.1 Method statements are prepared for all works undertaken and detail the how the work is to be undertaken to the standards set by the adopting utility. DNO Codes of Practice will be incorporated into method statements where specified to provide a full description of how the works will be undertaken, the standards to which the installation will comply, the material specification and how these criteria will be measured on site. In achieving this, JSM Construction will:

a. Identify those activities that require documented method statements providing guidance/instruction to operatives and ensure that adequate method statements are available for all relevant activities.

b. Ensure, where adopting utilities require a variation to standard methodology not covered by a method statement, that the specific procedures are documented and that confirmation of acceptance is received from the adopting utility in advance of work commencing.

c. Support, where appropriate, each method statement with a risk assessment identifying the risks associated with the work and the risk mitigating measures to be employed.

d. Document responsibilities for the preparation and regular review of method statements and risk assessments.

e. Review, at least annually, method statements for continued validity against current H&S legislation and technical requirements.

6.2.2 Compliance with specification will be delivered and verified in accordance with the JSM Construction Ltd management systems for OHSAS 18001, ISO 9001 and ISO 14001.

6.2.3 Hazard identification and risk assessment in managed and controlled on all work undertaken by the company and is the most significant essential requirement of our safety management systems. IMS section 4.1 details how the company conducts project specific, job/site specific and pre-work dynamic risk assessments, records the findings and communicates these to all relevant personnel. Risk assessments are:

Retained for an appropriate time (IMS section 3.3).
Made available to ensure compliance with legal and other requirements, e.g. COSHH, environmental, manual handling, PPE, confined spaces, etc.

6.2.4 Suitable equipment (i.e. test & measuring equipment, plant (mobile & light/tools), portable electrical tools, leads, transformers, generators, lifting and access equipment, etc.) is made available to enable timely and satisfactory completion of works under the NERS scheme. Management processes are established to ensure that all equipment, company owned or hired in, is of the required standard, maintained, tested, monitored and calibrated (where relevant) to IMS sections 5.4.1 & 5.6.

6.3 Procurement

6.1.1 Management processes are established (IMS section 5.4) to control the procurement of all materials, goods and
services to ensure that:

a. Only appropriately trained and competent staff undertake the technical aspects of the procurement function.
b. The material specifications and requirements of those adopting utility companies where the UCP is active are understood.
c. Material schedules produced include sufficient technical specification details to enable accurate purchase orders to be raised.
d. Purchase orders clearly identify the materials or services required and, when appropriate, refer to the relevant technical specification.

6.1.2 Management processes are established (IMS section 5.3) to ensure that materials, goods and services are only procured from approved suppliers and sub-contractors. The process in place:

a. Maintains a list of all approved suppliers / sub-contractors and makes the list available to all relevant staff.
b. Has controls to prevent procurement outside of the approved supplier system or the provision of substitute materials.
c. Has a procedure detailing the process for introducing new suppliers / sub-contractors onto the approved list.
d. Has a procedure which determines the assessment / audit process to verify the ongoing suitability of existing suppliers/subcontractors. The level of assessment / audit is determined by the criticality of the supplier / sub-contractor as determined by a risk framework process.
e. Identifies, where appropriate, for inclusion within the management process risk register where the procurement function identifies that materials, goods and service can only be procured from a single source.

6.1.2 Management processes are established (IMS section 5.6) to ensure that goods received conform with technical purchase requirements and to ensure that the relevant information, resources and facilities are made available to personnel for correct storage, including any adopting utility requirements.

7 Audit

7.1 Technical audit

7.1.1 Technical audits are conducted to ensure that compliance to specification is achieved. Technical audit policy:

a. Checks that the works are constructed in compliance with the appropriate industry agreed standards.
b. Ensures that audits are carried out using competent staff.
c. Plans audits to ensure, as far as is reasonably possible, that over a documented period the full range of activities performed by each operative (direct and sub contract labour) are audited to ensure that the individual level of competence continues to be commensurate to that originally assessed.
d. Ensures that identified deficiencies are closed-out within reasonable time periods.
e. Make available internal audit reports, on request, to the accreditation body and adopting utility.
f. Maintain a programme of audit frequency to ensure that all individuals are audited within a maximum review period of 1 year. The review period should be shorter for newly authorised staff and/or those found to have an area of weakness (i.e. knowledge / skill) as identified from routine monitoring
(supervision), site safety audits, or operational incident.

g. Ensure the range of remedial actions relevant to ‘f’ above are matched to the severity of any non
conformances identified. i.e. retraining, increased frequency of site audits or both.

h. Include direct and sub contract staff and detailed inspections of work instructions, method statements,
generic/site specific and daily risk assessments, safety documents, safety clearances, electrical safety
tools and test equipment.

The Authorisation Officer maintains a process to monitors the overall effectiveness of the audit procedure.

7.2 Safety, Health, Environmental & Quality (SHEQ) audit

7.2.1 SHEQ audits are an established element of the IMS system for OHSAS 18001, ISO 9001 and ISO 14001 registration
and are managed in accordance with IMS section 3.6. SHEQ audits are programmed (based on a risk approach
and previous performance) and ensures that all elements and aspects of the IMS is audited over a scheduled
period.

7.2.2 SHEQ audits are reported with deficiencies raised addressed within agreed timescales. Audit feedback is
analysed for trends and provide input into formal IMS management reviews.

7.2.3 IMS audits are conducted in addition to routine site inspections and monitoring.

7.3 Managing risk

7.3.1 A programme is maintained to ensure that audit checks are carried out to ensure scheme compliance over all
aspects of activity that is reliant on others to perform or delegated to include:

   a. Ensuring that reliance on scheme accreditation audits by Lloyds Register is not employed.
   b. Checking that sub-contractors work to scheme requirements.
   c. Ensuring that notices are issued to the adopting utility.

8 Contract Document & Record Control

8.1 Management processes are established (IMS section 3.1) to control documents and data relating to the scheme
accreditation to ensure that:

   a. Documents, data and information can be located and accessed by authorised personnel.
   b. Documents, data and information are periodically reviewed, revised as necessary, and approved for
adequacy by authorised personnel.
   c. Current versions of relevant documents, data and information are available at all locations where
operations are performed.
   d. Obsolete documents, data and information are promptly removed from all points of issue and points of
use.
   e. Archival documents, data and information retained for legal, knowledge preservation purposes etc. are
suitably identified.
   f. Documents, data and information are secure and, if in electronic format, are adequately backed up and
recoverable.

8.2 Management processes are established (IMS section 3.3) to control the identification, maintenance, traceable to
activities, security, protection, access and final disposal of records. NERS project records subject to these controls includes:

- Designs & contracts, drawings.
- Technical, construction and maintenance manuals.
- Inspection, commissioning, and calibration records.
- As-built records.
- Audit results and any resulting corrective actions.
- Standards and specifications (industry, BSI, ISO etc).
- Health, safety, environment and quality.
- Training and competency records.
- Client complaints.

9 **Legislation, Standards & Guidance**

9.1 Management processes are established (IMS section 3.2) to identify relevant legislation, regulatory and other requirements relating to all company activities. The register of legal, regulatory and other requirements is subject to a recorded periodic review at least every 6 months and is updated where relevant to reflect any new or impending change to relevant regulations or other requirements. Compliance to legal and other requirements is also assessed and recorded.

9.2 Access to relevant appropriate technical standards and specifications is arranged via the adopting utility, either through website provided data or matrix of relevant DNO/IDNO G81 specifications.

10 **Quality & Safety Systems**

10.1 **Quality management system**

10.1.1 JSM Construction Ltd maintain a quality management system in accordance with ISO 9001. This system is delivered through the company Integrated Management System manual (IMS) and holds registration to ISO 9001 with a UKAS Accredited Certification Body.

10.2 **Customer complaints**

10.2.1 Complaints from clients, customers, third parties and the general public are reported, investigated, and action taken to control and resolve the complaint in accordance with IMS sections 5.7 & 3.7.

10.2.2 Complaints, together with all supporting investigation records and action details relating to NERS projects will be made available to the Accreditation Body.

10.3 **Health, safety & environmental management system**

10.3.1 JSM Construction Ltd maintain a safety management system in accordance with OHSAS 18001. This system is delivered through the company Integrated Management System manual (IMS) and holds registration to OHSAS 18001 with a UKAS Accredited Certification Body.

10.3.2 JSM Construction Ltd maintain an environmental management system in accordance with ISO 14001. This system is delivered through the company Integrated Management System manual (IMS) and holds registration to
ISO 14001 with a UKAS Accredited Certification Body.

10.4 CDM Regulations
10.4.1 Management processes are established *(IMS sections 4.2 & 4.2.1)* to ensure compliance with current CDM Regulations. Controls and procedures ensure that:
   a. Staff given responsibilities under the Regulations shall be suitably trained and experienced.
   b. when simply working as a contractor on a site to which the Regulations apply the company, operatives and sub contractors co-operate with those holding significant duties under the Regulations.

10.5 COSHH Regulations
10.5.1 Safety management procedures (safety procedure SP035) are established to ensure compliance with current COSHH Regulations. Controls and procedures ensure that:
   a. Responsibilities for COSHH compliance and for the preparation of COSHH assessments are clear.
   b. A register of substances used by and covered by the COSHH Regulations is available.
   c. Those responsible for preparing COSHH assessments are adequately trained.
   d. Operatives using substances covered by the COSHH regulations have assessments or datasheets available and that they are adequately trained in order to avoid danger.
   e. Under environmental and ADR requirements, any carrier holds valid certification for the carriage and disposal of hazardous substances.

10.6 PPE and other safety equipment
10.6.1 Safety management procedures are established (safety procedure SP010) for the identification, provision and control of PPE and other safety equipment. Controls and procedures ensure that:
Records are maintained for the issue of PPE and its condition is monitored.
   a. High visibility clothing is provided to operatives and used by operatives to meet the requirements of NRSWA and other recognised standards or good working practices.
   b. Emergency equipment such as fire extinguishers and first aid kits for vehicles and such other emergency equipment as demanded by the work being carried out is provided and maintained and stored in serviceable condition and is within its calibration date.

10.7 Safety briefings
10.7.1 Management processes are established *(IMS sections 4.4, 4.5 & 5.5)* that includes the provision of HS&E briefings to operatives. Routine briefings are given to all operatives during project induction and ad-hoc briefings during toolbox talks and following accidents, incidents, safety alerts, detection of previously un-foreseen risk and lessons learned.
10.7.2 Records of all briefings, including subject matter and attendees are maintained *(IMS section 3.3).*
10.8 Accident and incident investigation and reporting
10.8.1 Management processes are established *(IMS section 3.5 & safety procedure SP001)* for the investigation and reporting of all accidents and:
a. Allocates responsibility for accident investigation and reporting.
b. Establishes the make-up of formal panels of enquiry into serious accidents or incidents.
c. Requires that root causes are sought and disseminated.
d. Requires that the client, adopting utility and accreditation body are informed of serious accidents or incidents.

11 Human Resources Systems

11.1 Human resource procedures

11.1.1 HR procedures are established (Employment Procedures Manual Issue 24 Section A page 7-23) and detailing recruitment, selection, interview and appointment criteria. These procedures shall detail the competency requirements for the members of an interview panel and with regard to successful candidates:

a. Require that qualifications and references from previous employers are verified.
b. Require that results of any psychometric or trade tests (if appropriate) be recorded.
c. Require that results of medical assessments (where appropriate) be held.
d. Copies of issued certificates are retained until their expiry.

11.2 Job descriptions

11.2.1 Detailed job descriptions are established (IMS section 2.3) for all personnel holding roles under the scheme and includes:

a. Responsibilities with respect to Health, Safety, Environment and Quality.
b. Minimum training/experience/qualification criteria for each post.

11.2.2 Where advisors are appointed on a contract basis to support activities their role and the activities they perform are documented and details of the terms and duration of their contract shall be provided to the Accreditation Body.

11.3 Appointment to defined roles under NERS

11.2.1 JSM Construction Limited have appointed all required personnel with the relevant technical competences required by NERS Requirements Document Version 5.0.

11.2.2 The holders of the defined roles of Qualified Supervisor, Assessing Officer and Authorising Officer within the context of this scheme have been appointed in writing against defined role profiles.

11.2.3 Assessing Officers and Authorising Officers have accepted responsibility for their roles in writing.

11.2.4 To ensure the avoidance of potential conflict of interest undermining safety management, the Assessing Officer and Authorising Officer will not be the same person.

11.2.5 All Craftsperson’s /mates (including new and returning) must meet the requirements of NERS 4.2.8 in full and with a recorded/signed certificate of competence in place before being allowed to perform work.

12 Training

12.1 Training policy

12.1.1 Training processes are established (IMS section 3.4) and detail the competence, awareness and training requirements and controls adopted by the company. Comprehensive training records are maintained. With
respect to NERS, the JSM Construction Ltd training policy is to:

a. Only procure formal technical and operational training from industry recognised training providers. Other training may be procured from bona fide training providers or from in house resources.
b. Ensure that where training is provided to a person by the provision of personal supervision that such personal supervision is provided only by a person with suitable knowledge and experience.
c. Indicate circumstances where personal supervision is an appropriate form of training and, if so, detail its provision in terms of duration, number of occasions of provision, and the like. The receipt of personal supervision will be recorded in training records.
d. Identify and comply with any specific training requirement of adopting utility companies where the company is active.
e. Ensure that employees have sufficient knowledge and training to be aware of and know how to deal with unexpected dangers arising from their activities or from the environment within which their activities take place.

12.2 Induction training

12.2.1 Training and IMS management processes are established (IMS sections 3.4, 4.4 & 6.2) to ensure that all personnel, including sub-contractors and where relevant suppliers, are made aware of during induction training:

a. The standards and requirements to maintain scheme compliance.
b. The importance of compliance with all work instructions, safety rules, design and construction manuals and drawings, and other relevant policies and procedures.
c. Their roles and responsibilities in achieving compliance with company policies and procedures.
d. The potential consequences of departing from work instructions, method statements, safety rules, design and construction manuals and drawings, and other relevant policies and procedures.

13 Passport & Ongoing Competency Records

13.1 Passport and ongoing competency records are managed and controlled in accordance with the requirements of NERS section 13.

13.2 Persons required to hold passports are:

a. Civil and cable laying operatives.
b. Craftpersons.

13.3 Passports are not required for:

a. Lorry or grab drivers (unless they are required to work on the construction of electrical plant or in the area of electrical equipment – e.g., backfilling to tile / tape level.
b. Project Managers or Designers.

14 Insurances

14.1 JSM Construction Ltd will hold at least £5 million of public liability insurance covering all work under this scheme.

14.2 Insurance cover will also be arranged to meet contractual requirements and guarantee liabilities relative to the extent of work, and requirements of the adopting utility involved.
IMS Section 8 Transport - FORS Navigator

Bronze accreditation

7.1 Management
M1 FORS policies and procedures manual  IMS Section 8.1
M2 Responsibilities and accountabilities  IMS Section 2.3
M3 Responsible person  IMS Section 2.3 & IMS Section 8.1
M4 Regulatory licensing  IMS Section 8.1
M5 Communication  IMS Section 4.4 & IMS Section 8.1
M6 Review  IMS Section 3.7 & IMS Section 8.1
M7 Change
M8 Complaints  IMS Section 5.7 & IMS Section 8.1
M9 Resourcing  IMS Section 8.1
M10 Updates  IMS Section 8.1

7.2 Vehicles
V1 Inspection and maintenance plan  IMS Section 8.1
V2 Daily walk around check  IMS Section 8.1
V3 Fuel and tyre usage  IMS Section 8.1
V4 Insurance  IMS Section 8.1
V5 Vehicle Excise Duty  IMS Section 8.1
V6 Safe loading  IMS Section 8.1
V7 Vulnerable road user safety  IMS Section 8.1
V8 Working from height and the prevention of falls from vehicles  IMS Section 8.1
V9 Vehicle maneuvering  IMS Section 8.1

7.3 Drivers
D1 Licensing and qualifications  IMS Section 3.4
D2 Driving standards Driver Handbook
D3 Staff training  IMS Section 3.4
D4 In-vehicle technology
D5 Health and safety  IMS Section 4 & IMS Section 8.1
D6 Driver fitness and health  IMS Section 8.1
D7 Drivers’ hours and working time  IMS Section 8.1
D8 Monitoring driving  IMS Section 8.1

7.4 Operations
O1 Routing and scheduling
8 Silver progression

S1 Maintain FORS bronze
S2 Driver licensing
S3 Vehicle warning equipment
S4 Blind-spot minimisation
S5 Driver training
S6 Transport related fines
S7 Performance measurement

8.2 Gold progression

G1 Maintain FORS silver
G2 Promoting FORS standards
G3 Published case study
G4 Performance measurement
G5 Staff training
G6 Fuel and emissions champion
Section 3 – Integrated Management Processes
3.1 - Control of documents
3.2 – Regulatory requirements & legal compliance
3.3 - Control of records
3.4 – Competence, awareness & training
3.5 – Incident investigation, Ncr, corrective & preventive action
3.6 - Internal audit
3.8 – Measuring & monitoring equipment

Section 4 - Health & Safety Management

Section 5 – Quality management

Section 6 – Environmental Management

Section 7 – Rail Management

Section 8 – Transport (FORS)

IMS policies

Objectives & targets & programmes

Management Review - QMS 3.7

Review & update IMS

Analyse feedback

Improve, Corrective & Preventive Action – IMS 3.5

Client Feedback

Input resources
- Commitment
- Competency & skills
- Infrastructure
- Work environment
- Work equipment
- Materials
- Storage & transport

Client Communication

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement

IMS Output
- Client Satisfaction
- Regulatory Compliance
- Continual Improvement
Integrated Management System

ISO 9001 System Process Map

Active Management Processes

Section 3 - IMS Processes
3.1 - Control of documents
3.2 – regulatory compliance
3.3 - Control of records
3.4 - Competence, awareness & training
3.5 – Control of non-conformance
3.6 - Internal audit
3.8 – Measuring & monitoring equipment

Section 5 – Quality Management
5.1 – Tender review & contact control
5.2 – Route design & planning control
5.3 – Supplier & subcontractor evaluation
5.4 - Purchasing
5.4.1 – Plant & equipment
5.5 – Project planning & management
5.6 – Product control
5.7 – Client satisfaction

Processes Monitored

2.1.2 - Quality policy
Quality objectives

Review & update IMS

3.5 - Management Review

Analyse feedback

Client Feedback

Improvement, Corrective & Preventive Action - 3.5

Client Communication

QMS Output - Client Satisfaction

QMS Input resources
- Commitment
- Competency & skills
- Infrastructure
- Work environment
- Plant & equipment
- Materials
- Storage & transport

QMS Output - Continual Improvement

3.5 - Management Review

Client Feedback

Analyse feedback

Improvement, Corrective & Preventive Action - 3.5

QMS Input resources

QMS Output - Client Satisfaction

QMS Output - Continual Improvement

Processes Monitored

Section 3 - IMS Processes
3.1 - Control of documents
3.2 – regulatory compliance
3.3 - Control of records
3.4 - Competence, awareness & training
3.5 – Control of non-conformance
3.6 - Internal audit
3.8 – Measuring & monitoring equipment

Section 5 – Quality Management
5.1 – Tender review & contact control
5.2 – Route design & planning control
5.3 – Supplier & subcontractor evaluation
5.4 - Purchasing
5.4.1 – Plant & equipment
5.5 – Project planning & management
5.6 – Product control
5.7 – Client satisfaction
Integrated Management System

ISO 14001 System Process Map

Environmental Policy - IMS 2.1.3
- Objectives & targets
- Structure & responsibility
  IMS 2.2 & 2.3

Planning
- IMS 6.1 - Environmental aspects & impacts
- IMS 3.2 - Regulatory requirements & legal compliance
- IMS 1.4.1/7 - Environmental management programmes

Implementation & Operation
- IMS 3.4 - Competence, awareness & training
- IMS 6.2 - Communication
- IMS 3.1 - Control of documents
- IMS 6.4 - Operational control
- IMS 6.3 - Emergency preparedness & response

Checking
- IMS 6.5 - Performance, measurement & monitoring
- IMS 3.5 - Control of non-conformance
- IMS 3.5 - Corrective action
- IMS 3.5 - Preventive action
- IMS 3.3 - Control of records

Review/update IMS
- Review/update risk assessment
- Review/update EMS procedures

Review system feedback

Regulatory compliance & continual improvement of the IMS & environmental performance

Internal Use
Integrated Management System

OHSAH 18001 System Process Map

OH&S Policy - IMS 2.1.1
Objectives & targets
Structure & responsibility
IMS 2.2 & 2.3

Planning
IMS 4.1 – Hazard identification & risk management
IMS 3.2 - Legal & other requirements
IMS 4.3 – Objectives and programme(s)

Implementation & Operation
IMS 2.3 - Resource, roles, responsibility, accountability & authority
IMS 3.4 – Competence, training & awareness
IMS 4.4 – Consultation, participation & communication
IMS 1 to 4 – Documentation
IMS 3.1 – Control of documents
IMS 4.5 - Operational control
IMS 4.6 - Emergency preparedness & response

Checking
IMS 4.7 - Performance, measurement & monitoring
IMS 3.2 – Evaluation of compliance
IMS 3.5 – Incident investigation, non-conformity, corrective & preventive action
IMS 3.3 - Control of records management
IMS 3.6 – Internal Audit
IMS 3.7 – Management review

Review/update IMS
Review/update risk assessment
Review/update SSoW

Review system feedback

Regulatory compliance & continual improvement of the OH&SMS
Context of the organisation

Understanding the needs and expectations of interested parties is critical to our organisation and as a result JSM Construction Ltd has determined relevant internal and external issues with consideration to ISO 30001:2009 Clause 5.3.

Our external context includes all of the external environmental parameters and factors that influence how we manage risk and achieve our objectives. It includes, external stakeholders, local, national, and international environment, as well as key drivers and trends that influence our objectives. It includes stakeholder values, perceptions, and relationships, as well as social, cultural, political, legal, regulatory, financial, technological, economic, natural, and competitive environment.

Our internal context includes our internal shareholders, our approach to governance, contractual relationships, our capabilities, culture and standards.

Governance includes the organisation’s structure, policies, objectives, roles, accountabilities, and decision-making process and capabilities include our knowledge and human, technological, capital, and systemic resources.

To establish the context means to define the external and internal parameters that our organisation must consider when managing risk. An Overview of our Context is detailed below but due to the confidential information relating to some parameters, the organisation has decided not to document all information in relation to this and only make this available through discussion as part of annual review. A SWOT (Section 2.5) & PESTEL (Section 2.6) Analysis has been carried out which covers the requirements set below.

External Parameters

Our external context includes:

External stakeholders – Defined, Reviewed and confidentiality maintained
Local Environment –
National Environment -
International Environment
External factors that influence our objectives - suppliers, board members,

Internal Parameters

Internal stakeholders –
Our approach to governance
Contractual relationships
Our culture - unions and shareholders
Our standards - regulatory body
Our capabilities - Sales and Marketing, Finance, IT, HR and Operations local government, citizens, employees.
### SWOT Analysis

#### Internal environment

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>- High profile position</td>
<td>- Lack of transparency and communication within the business</td>
</tr>
<tr>
<td>- 3 million man hours worked without RIDDOR</td>
<td>- Competence of main subcontractors</td>
</tr>
<tr>
<td>- Good health and safety stats</td>
<td>- Sporadic and incomplete employee appraisals</td>
</tr>
<tr>
<td>- Prepared to change / improve / adapt</td>
<td>- Insufficient Directors and senior manager’s safety tours being carried out</td>
</tr>
<tr>
<td>- Designated SHEQ Director, Manager &amp; Advisor’s</td>
<td>- A lack of understanding by line managers of HR procedures / requirements</td>
</tr>
<tr>
<td>- An approved and recognised safety, quality &amp; environmental management system</td>
<td>- Lack of thoroughness in Planning / Implementation of projects</td>
</tr>
<tr>
<td>- Recognised industry accreditations</td>
<td>- Training database out still being managed on an Excel spreadsheet</td>
</tr>
<tr>
<td>- A bolstered senior management team</td>
<td>- Certain job roles lacking key qualifications</td>
</tr>
<tr>
<td>- Employment of further expertise</td>
<td>- Insufficient audit trails in key areas of the business</td>
</tr>
<tr>
<td>- 24-hour Occupational health support</td>
<td>- Poor customer/client feedback</td>
</tr>
<tr>
<td>- Employee feedback say's that we are heading in the right direction in relation to safety</td>
<td></td>
</tr>
</tbody>
</table>
## External environment

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Threats</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Additional Safety, environmental and industry awards</td>
<td>• Sub-contactors</td>
</tr>
<tr>
<td>• In-house training courses to be offered to external companies</td>
<td>• Occupational Health claims</td>
</tr>
<tr>
<td>• Introduction of new training courses</td>
<td>• Rising Insurance claims</td>
</tr>
<tr>
<td>• Offer of additional work streams</td>
<td>• Complacency</td>
</tr>
<tr>
<td>• Improved competency management</td>
<td>• Missed work streams due to lack of communication and transparency</td>
</tr>
<tr>
<td>• New Clients</td>
<td>• Familiarisation (&quot;we have always done it this way&quot;)</td>
</tr>
<tr>
<td>• Investment in new and different Work Streams</td>
<td>• Lack of competence in new work stream</td>
</tr>
<tr>
<td>• Safety remains high on the agenda</td>
<td>• Pressure from clients to get the job done</td>
</tr>
<tr>
<td>• Software update</td>
<td>• Tight time scales</td>
</tr>
<tr>
<td>• Group unity by having cross divisional meetings</td>
<td>• Change in company profile</td>
</tr>
<tr>
<td>• Regular Internal audit</td>
<td>• Wrong job roles and responsibilities of key personnel</td>
</tr>
<tr>
<td></td>
<td>• Change in the sentencing laws in February 2016</td>
</tr>
</tbody>
</table>
PESTEL Analysis

Political Factors

A referendum on whether Britain should remain in the European Union was held on Thursday, 23 June 2016, JSM Group shall monitor after the vote has taken place to see if this affects business.

Government policies are monitored through various means i.e. HSE bulletins, British safety council, RoSPA, IMEA. Cedrec plus others. JSM Group has an environmental and a legal register and a register of legislative requirements which is reviewed annually. Any change to future legislation will have to be reviewed and acted upon as required.

An increase in the national minimum living wage which means that there is an increase in wages by 5% per year until 2020 may mean less employees can be employed and more work will have to carry out more work.

Due to the nature of the business and its working locations it is unlikely the company would be affected by any home-market or international pressure groups. Any war or conflict would have to be of a significant size to affect the business, largely UK customer base but any war which affects the cost of oil or gas could cause issues and the situation would have to be monitored at that time.

Any funding or grants and initiatives would be welcomed by the company. Previous funding has been used for staff improvement through training.

Economic Factors

Economic factors are a main concern for most businesses is the UK economy. Due to JSMs diverse range of client base and services, the market would have to significantly slow to cause a major concern but a wider range of clientele would be beneficial at JSM Group.

The company are also heavily affected by the price of oil due to the rising fuel costs. The company can monitor previous year’s mileage to monitor fuel usage and identify trends.

The exchange rate can be beneficial as it can improve the cost of materials and services to and from Europe and the United States. If the exchange becomes worse it will have the opposite effect.

Customers are requested for a forecast to plan for their requirements and the company produces a 6-week plan.

Social Factors

JSM Group provide local resources to client sites wherever possible. Employees are expected to work hours that represent a need to the client’s requirements and may call for early starts / late finishes. Each working day will consist of 8 hrs. and may be adaptable to 8.00 – 16.00 to 9.00 – 17.00. Employing suitable staff can be challenging and Acumen Concept Service have taken the opportunity to employ staff on an apprentice scheme to develop their skills and business requirements accordingly.

Any media contact or views would be through the Board of Director’s. Any law changes affecting social factors should be picked up through the legal register or environmental register.

The company have an equality policy which states that discrimination is unlawful and has a breakdown of various areas and action taken to address any issues raised considered to be of a discriminatory type disciplinary action will be taken.

The company use the internet to advertise and market product, also leaflets for product specific parts are produced.
The company brand and image is regarded highly in the industry and with continued improvements the company can provide additional services within the market.

The company states its stance on Religious and Political in the company handbook.

**Technological Factors**

New advancements in technology have brought various new opportunities for JSM Group with advancements in computer software and online sharing. The use of a sage system with Microsoft licenses and other numerous computer based licenses such as drop box are purchased throughout the company to enable access to current technology.

Funding has been made available for employees to undertake various types of training. JSM Group Rotational has in excess of 20 years’ experience within a diverse industry, with the company’s current ISO9001, 14001 & 18001 accreditation shows a maturity in the company’s integrated management system.

Information and communication can be passed between clients with the use of email, mobile phones/landline phones. All computer users can sign onto the system via remote desk top from any location. Information about the company is available globally on the internet.

New projects which come in to the business are assessed for feasibility and run through to ensure the most competent person can be assigned the project.

Global communications can be carried out through the internet, with web pages for each of our services available for general information with relevant contact information such as contact numbers and an available email addresses.

**Environmental Factors**

With increased pressure on companies to address environmental issues and adopt ways of operations which would benefit society, JSM Group are clearly committed to reducing its Carbon footprint by monitoring fuel usage, energy used and wastage.

**Legislative Factors**

As discussed in Political Factors
### Process Key Stage

<table>
<thead>
<tr>
<th>System documents – IMS systems, operational procedures &amp; control forms</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Establish document &amp; page format including revision &amp; issue control to ensure that current issue &amp; revision status is known.</td>
</tr>
<tr>
<td>2. Produce document to meet the requirement (relevant standard, regulation, specification, and/or company requirement).</td>
</tr>
<tr>
<td>3. Review document before approval. Ensure content is technically correct. Check background information where required (standard, specification, regulation, etc.). For revisions, ensure the revised version effectively addresses the reason for change.</td>
</tr>
<tr>
<td>4. Sign control index or document to approve the documents(s).</td>
</tr>
</tbody>
</table>

#### Document Review

<table>
<thead>
<tr>
<th>Document Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Review IMS documents resulting from changes in external standards, specifications, working practice, regulatory or other requirement, technical advancement &amp; IMS feedback from internal audit, customer feedback and 3rd party assessments.</td>
</tr>
<tr>
<td>6. Make necessary revisions to reflect changes following review of documents. Identify the page header with the next revision number and current issue date. Review and re-approve revisions and amendments before issue.</td>
</tr>
</tbody>
</table>

#### Documents of external origin (standards & publications)

<table>
<thead>
<tr>
<th>Documents of external origin (standards &amp; publications)</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Maintain a register of all external documents held including, international standards, technical standards, codes of practice, regulatory approved Codes of Practice, etc.</td>
</tr>
<tr>
<td>8. Monitor the status of the external standards and publications held at least 12 monthly. Obtain updates and amendments where relevant. Update the register with details of status checks made.</td>
</tr>
<tr>
<td>9. Review implication of changes in external standards and publications on the IMS. Introduce amendments to IMS documents in accordance with process key stage 1 – 4.</td>
</tr>
</tbody>
</table>

#### Documents Distribution

<table>
<thead>
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<th>Documents Distribution</th>
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</table>

#### Keeping Obsolete Documents

<table>
<thead>
<tr>
<th>Keeping Obsolete Documents</th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Obsolete documents that are retained for knowledge preservation purposes must be identified to prevent accidental or inadvertent use.</td>
</tr>
</tbody>
</table>
Integrated Management System

Regulatory Requirements and Legal Compliance

### Process Key Stage

<table>
<thead>
<tr>
<th>Register of legislation &amp; other requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain a register of legislation, regulatory &amp; other requirements to identify all relevant statutory safety &amp; environmental requirements that relate to the business to include.</td>
</tr>
<tr>
<td>1. Legislation/requirement title.</td>
</tr>
<tr>
<td>2. Requirement and impact on the business.</td>
</tr>
<tr>
<td>3. Enforcement agency.</td>
</tr>
<tr>
<td>4. HR</td>
</tr>
<tr>
<td>2 Conduct a periodic review (at least 6 monthly) of legislation, regulatory &amp; other requirements and update the register to reflect changes or new requirements.</td>
</tr>
<tr>
<td>Consult with relevant information sources to include:</td>
</tr>
<tr>
<td>2. SHP, BSC, RoSPA &amp; IEMA membership.</td>
</tr>
<tr>
<td>3. EA notifications (Cedrec email updates, etc.).</td>
</tr>
<tr>
<td>4. EA web site <a href="http://www.environment-agency.gov.uk">www.environment-agency.gov.uk</a>.</td>
</tr>
<tr>
<td>5. Grapevine.</td>
</tr>
<tr>
<td>4 Review impact of any changes to legal requirements on the EMS, Environmental Permit, environmental aspects &amp; impacts and management operations. Introduce changes into the company through the EMS processes and change control procedures where relevant.</td>
</tr>
<tr>
<td>5 Record details of the periodic review and summary of any changes introduced.</td>
</tr>
</tbody>
</table>

### Evaluation for regulatory compliance

| Monitor compliance with relevant legislation at least 6 monthly in line with the periodic review. The compliance review process is twofold: |
| 1. Establish compliance through feedback from regulatory enforcement visits and any prosecutions or improvement notices issued to the company. |
| 2. Determine that arrangements and controls are in place to address the legislation and that these appear sufficient. |
| 7 Record compliance status in the register of legislation adjacent to the regulation entry. |
| 8 Raise a non-conformance report to address non-compliance with legal requirements in accordance with IMS section 3.5. |
## Control of Records

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record producers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SHEQ Representatives</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Hard copy records

1. Records must be clear and legible.

2. Identify & protect records. Identify files to contents & use indexing to separate different records in the same file. Protect records against damage, deterioration, loss & unauthorised access.

   Retain records for at least the minimum retention period:
   1. IMS management records, audits, external assessments, customer complaints, non-conformance, corrective & preventive action - 3 years.
   3. Records required for Inland Revenue & Customs & Excise - 6 years.
   4. Personnel records - employment period plus 40 years.
   5. Health surveillance records – Will be kept in a suitable form for at least 40 years from the date of last entry
   6. Accident/incident records and claims – 5 years.
   7. Duty of Care transfer and hazardous waste consignment notes – 3 years.
   8. Other records not specified – 12 months.

3. Archive records when files become full/unmanageable. Clearly identify archive records to contents. Maintain a list of archive records to show content, date archived and archive box/location reference.

4. Sanction the disposal of records that have exceeded the minimum retention period. Determine method of disposal (shred, specialist destruction, etc). Maintain a journal of records discarded.

### Electronic records

5. Save all data files to server drive.


7. Back up laptop PC data files to suitable media (USB memory stick, CD, etc.) before closing down where files have been saved to server drive.

8. Store back up media in protective environment (fireproof safe) or remove from site daily.


### Data protection act

10. Employment, personal, health surveillance and medical records held are protected by the Data Protection Act. This information cannot be transferred or disclosed to any party without the signed disclosure consent from the individual involved.
### Competence, Awareness and Training

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Induction &amp; Awareness</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Perform job related induction for all new employees joining the company.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Make all employees aware of:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Company policies (safety, quality, environmental and drugs &amp; alcohol).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Relevant hazards, risk assessment results and SSoW procedures.</td>
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<tr>
<td></td>
<td>3. Arrangements for welfare, first aid, site rules and emergency situations.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. IMS objectives &amp; targets relating to the role.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Job related processes and procedures.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. Importance of understanding and commitment to achieving objectives, targets and continual improvement.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Complete the induction before the employee begins working.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Competence</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Maintain competency levels within the workforce to meet operational business needs for:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Qualified safety practitioner (NEBOSH, NVQ, etc.).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Trained first aiders and appointed persons.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Trained fire marshal.</td>
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</tr>
<tr>
<td></td>
<td>4. Suitable driving license to operate LGV.</td>
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</tr>
<tr>
<td></td>
<td>5. CPCS trained to operate driven plant.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>6. NRSWA certified street works operatives.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>7. CSCS, BESC and/or EUSR cards for operatives.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>8. Authorised to perform IMS, site and operational audits.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Establish a matrix of skills, competence and authorisation showing skill sets of employees against required tasks, duties &amp; operational needs.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Review the matrix/database as required and at least annually. Identify any training and resources required to meet the competency needs of the Company.</td>
<td></td>
</tr>
<tr>
<td><strong>Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Maintain job specifications with minimum skills requirements for key roles. Conduct skills analysis on personnel to identify any training gaps and training needs. Perform skills gap review on starting role (new in, promotion, etc.) and at least every 12 months.</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Arrange for skills &amp; safety training with relevant provider (external training course or on the job mentoring).</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Complete training evaluation form within 5 days of completing the training.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Check &amp; review certificates issued for all training. Evaluate effectiveness of training within 4 weeks of training to ensure that competency needs are met.</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Update matrix of skills/database with competence gained/achieved and certification expiry date(s).</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Action feedback from training evaluation forms.</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Staff Appraisals

#### Process Key Stage

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training Department</td>
<td>Line Manager</td>
</tr>
</tbody>
</table>

#### Induction & Awareness

1. Perform job related induction for all new employees joining the company.

   Make all employees aware of:
   1. Company policies (safety, quality, environmental and drugs & alcohol).
   2. Relevant hazards, risk assessment results and SSOW procedures.
   3. Arrangements for welfare, first aid, site rules and emergency situations.
   4. IMS objectives & targets relating to the role.
   5. Job related processes and procedures.
   6. Importance of understanding and commitment to achieving objectives, targets and continual improvement.

   Complete the induction before the employee begins working.

#### Competence

Maintain competency levels within the workforce to meet operational business needs for:

1. Qualified safety practitioner (NEBOSH, NVQ, etc.).
2. Trained first aiders and appointed persons.
3. Trained fire marshal.
4. Suitable driving license to operate LGV.
5. CPCS trained to operate driven plant.
6. NRSWA certified street works operatives.
7. CSCS, BESC and/or EUSR cards for operatives.
8. Authorised to perform IMS, site and operational audits.

4. Establish a matrix of skills, competence and authorisation showing skill sets of employees against required tasks, duties & operational needs.

5. Review the matrix/database as required and at least annually. Identify any training and resources required to meet the competency needs of the Company.

#### Training

6. Maintain job specifications with minimum skills requirements for key roles. Conduct skills analysis on personnel to identify any training gaps and training needs. Perform skills gap review on starting role (new in, promotion, etc.) and at least every 12 months.

7. Arrange for skills & safety training with relevant provider (external training course or on the job mentoring).

8. Complete training evaluation form within 5 days of completing the training.

9. Check & review certificates issued for all training. Evaluate effectiveness of training within 4 weeks of training to ensure that competency needs are met.

10. Update matrix of skills/database with competence gained/achieved and certification expiry date(s).

11. Action feedback from training evaluation forms.
## Incident Investigation, Non-conformance, Corrective and Preventive Action

### Process Key Stage

### Non-conformity control and corrective action

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
</tr>
</thead>
</table>
| 1    | Identify all actual and potential non-conformities to include:  
    1. Accidents, safety incidents and near miss occurrences.  
    2. Client complaints.  
    3. Operational failure (incorrect/failed installation, etc.)  
    4. Failure in essential plant/equipment (resulting in significant delay, cost, etc.).  
    5. Damages (utility strikes, property damage, etc.) Note – safety related treat as 1 above.  
    6. Faulty, short fall or non-delivery of a purchase order or service from a supplier.  
    7. Environmental incident (spillages, potential spillages, non-compliant waste issues, etc.). |
| 2    | Ensure that immediate action is taken to correct the non-conformance by rectification/repair, operational change, etc. Ensure that corrective action taken is sufficient address the non-conformance. Remove imminent danger, stop leaks/source to prevent damage and take whatever steps necessary to mitigate the situation and reduce/prevent further impact. Refer to emergency preparedness and emergency action plans for safety and environment. |
| 3    | Report all accidents and safety incidents into the “incident report” and complete/address all sections. |
| 4    | Report all remaining occurrences of actual or potential non-conformities into the non-conformance report and allocate the next reference number from the non-conformance register. Complete the report with all relevant details of the incident/occurrence and the action taken to correct the situation. |

### Investigation and preventive action

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Investigate all non-conformance reports and establish the route cause. Evaluate also the effectiveness of the action taken to control the non-conformity. Where relevant, record the cause(s) determined into the report.</td>
</tr>
<tr>
<td>6</td>
<td>Evaluate the need for preventive action. Preventive action should be designed to prevent recurrence of non-conformity and should be appropriate to the seriousness of the non-conformity or potential impact.</td>
</tr>
<tr>
<td>7</td>
<td>Report the preventive action(s) in the non-conformance report and establish personnel responsible for the action(s) and target completion timescale. Communicate action plan(s) to relevant personnel for implementation.</td>
</tr>
<tr>
<td>8</td>
<td>Investigate the risk of potential non-conforming situations in installations handed over to clients. Identify where action is required and make arrangements with client for rectification, etc. where relevant.</td>
</tr>
<tr>
<td>9</td>
<td>Analyse all IMS feedback and data from accidents/incidents, complaints, customer satisfaction, audits, inspection &amp; monitoring results, improvement suggestions made, etc. to identify trends and the potential for non-conformance. Identify and introduce improvement and action to prevent a potential for non-conformance.</td>
</tr>
<tr>
<td>10</td>
<td>Monitor implementation of corrective action for both completion on time, suitability and where possible effectiveness. Update the non-conformance report with action completion details.</td>
</tr>
<tr>
<td>11</td>
<td>Sign off the non-conformity report as closed only once all corrective and preventive actions are completed and verified.</td>
</tr>
</tbody>
</table>

### General

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>Communicate results of investigation findings and actions raised to directors, management over area involved and personnel directly involved in the incident.</td>
</tr>
<tr>
<td>13</td>
<td>Provide relevant instruction, awareness and training to personnel resulting from preventive action to IMS section 3.4.</td>
</tr>
<tr>
<td>14</td>
<td>Control changes to IMS documentation resulting from corrective and preventive action to IMS section 3.1.</td>
</tr>
<tr>
<td>15</td>
<td>Any concession sought from the customer must be accepted in writing (email or fax) confirming the concession details.</td>
</tr>
</tbody>
</table>
# Integrated Management System

## Internal Audit

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Programme internal audits. Schedule audit frequency relative to importance of activity and previous audit results. Minimum audit frequency is:</td>
<td>SHEQ Director</td>
<td></td>
</tr>
<tr>
<td>1. Every IMS section - at least once per year.</td>
<td>Author</td>
<td></td>
</tr>
<tr>
<td>2. Technical compliance of IMS to standards - at least once every 2 years.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong> Assign internal audit task to qualified and independent auditor. Independent means an auditor cannot audit their own direct work</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong> Perform internal audit. Confirm evidence of compliance with relevant standard, specification and process/requirement by interview, visual checks, photographs, etc.</td>
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<tr>
<td><strong>4.</strong> Record any deficiency findings. Agree time scale for corrective action completion. Arrange &amp; complete corrective action.</td>
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<td></td>
</tr>
<tr>
<td><strong>5.</strong> Review audit findings with director(s) or department heads and sign the report. Obtain witness signature to the report and any deficiency findings.</td>
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<tr>
<td><strong>6.</strong> Perform a follow up audit where deficiencies have been raised within the agreed corrective action completion date.</td>
<td></td>
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<tr>
<td><strong>7.</strong> Close out corrective action with detail/evidence witnessed and signature.</td>
<td></td>
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<tr>
<td><strong>8.</strong> Review internal audit programme and re-schedule frequency of audits based on performance feedback.</td>
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<tr>
<td><strong>9.</strong> Provide internal audit feedback as input for IMS review and continual improvement (management review &amp; preventive action).</td>
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<tr>
<td><strong>NERS Specific</strong></td>
<td></td>
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<tr>
<td>10. Maintain technical audit programme to ensure that:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Works are constructed to specification and agreed industry standards.</td>
<td></td>
<td></td>
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<tr>
<td>2. Audits are conducted by a Technical Assessor and authorised to audit.</td>
<td></td>
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<tr>
<td>3. Plan audits so that all activities performed and all operatives, including sub-contracted, are audited over a 12 month period.</td>
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<tr>
<td>4. Deficiencies are closed out within agreed timescale (process stage 7 above).</td>
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<tr>
<td><strong>11.</strong> Ensure that the audit requirements of Competency Assessment Procedure (SP:NERS001 - section 1.7) are implemented and maintained.</td>
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</tr>
<tr>
<td><strong>12.</strong> Make available internal audit reports on request to the Accreditation Body (Lloyds RQA) and the adopting utility (DNO).</td>
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</tbody>
</table>
## Management Review

### Process Key Stage

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director</td>
<td>IMS Management Representative</td>
</tr>
</tbody>
</table>

### 1 Program management review to be conducted at least annually. Bring forward in the event of significant changes to scope of operations and major non-conformance reported during audit and/or external assessment.

### 2 Notify management review team of arrangements. Minimum attendance for management review is the SHEQ Director and an IMS Representative.

### 3 Review all input requirements:
1. IMS structure, policies & management responsibility.
2. Status of applicable standards (18001, 9001, 14001, etc.).
3. Changing circumstances, including regulatory, that could impact on the IMS.
4. Results from previous management reviews.
5. Results of internal audits and evaluations of compliance with regulatory other requirements.
6. Results of participation and consultation.
7. Results of communication with relevant external interested parties.
8. Client feedback, including complaints.
10. Status of incident investigations, corrective & preventive action.
11. Supplier performance & re-evaluation.
12. HR and feedback from staff.
13. Recommendations for improvement.

### 4 Review performance in extent of achieving IMS objectives & targets.

### 5 Set and authorise new IMS objectives & targets. Communicate objectives & targets to the workforce and relevant locations.

### 6 Present management review output report to include:
1. Report on input requirements.
2. Performance of the IMS.
3. Corrective, preventive & improvement actions identified.
4. Any resources required.

### 7 Communicate findings to:
1. Review attendees.
2. Persons identified with action.

### 8 Introduce change needed to the IMS following management review.
## Measuring & Monitoring Equipment

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Identify need for measuring &amp; monitoring equipment to confirm compliance to a standard or specification and safety or environmental monitoring.</td>
</tr>
<tr>
<td>2</td>
<td>Select suitable equipment that is:</td>
</tr>
<tr>
<td></td>
<td>1. Capable of measuring to the precision and accuracy required.</td>
</tr>
<tr>
<td></td>
<td>2. Approved for use by the client where relevant.</td>
</tr>
<tr>
<td></td>
<td>Control applies to all equipment owned and hired in.</td>
</tr>
<tr>
<td>3</td>
<td>Determine most suitable method of calibration.</td>
</tr>
<tr>
<td><strong>External Calibration</strong></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Certificate of calibration to include:</td>
</tr>
<tr>
<td></td>
<td>1. Equipment description &amp; serial number.</td>
</tr>
<tr>
<td></td>
<td>2. Traceability to National Standards for quality monitoring/measurement.</td>
</tr>
<tr>
<td></td>
<td>3. Accuracy of calibration and found uncertainty of measurement.</td>
</tr>
<tr>
<td></td>
<td>4. Calibration date and signature of a competent person.</td>
</tr>
<tr>
<td><strong>In-House Calibration</strong></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>In-house calibration checking must be to a documented check method that includes:</td>
</tr>
<tr>
<td></td>
<td>1. Equipment pre-calibration checks.</td>
</tr>
<tr>
<td></td>
<td>2. Use of test/comparison equipment that is calibrated and traceable to National Standards (for quality monitoring/measurement).</td>
</tr>
<tr>
<td></td>
<td>3. Pass &amp; fail criteria.</td>
</tr>
<tr>
<td></td>
<td>4. How to present results.</td>
</tr>
<tr>
<td><strong>Control Action</strong></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Establish calibration re-check frequency for equipment (based on usage, criticality of results, etc.). Maintain equipment record or register to control calibration activity.</td>
</tr>
<tr>
<td>7</td>
<td>Maintain identification of equipment (at least serial or asset number) to provide traceability to records and calibration status.</td>
</tr>
<tr>
<td>8</td>
<td>Use measuring &amp; monitoring devices for intended purpose only. Store equipment in a suitable protective environment when not in use.</td>
</tr>
<tr>
<td>9</td>
<td>Remove equipment failing calibration check from use until repaired, adjusted or disposed. Review results of checks made using failed equipment and consider re-checking where results are suspect and where agreed with the client.</td>
</tr>
<tr>
<td>10</td>
<td>Control equipment that has failed calibration and/or found to be damaged or suspect as non-conformance.</td>
</tr>
</tbody>
</table>
Establish objectives and targets for the business that are consistent with the SWOT & PESTEL analysis and scope of the business operations. Business planning objectives and targets must be measurable (where practicable) and must also consider:

1. Commitment to prevention of adverse risk to the organisation.
2. Compliance with legal requirements.
3. Continual improvement of management systems and operations.

When setting and reviewing objectives and targets, further consideration must be given to:

1. Significant risk.
2. Legal requirements.
3. Technological options.
4. Financial, operational and business needs.
5. Requirements and views of interested parties, e.g. Stakeholders, Directors, Shareholders, clients, etc.
6. A programme for introduction and achievement.

Present the objectives and targets into the "Objectives, targets and Programme" format to include:

1. Objective number.
2. Date established.
3. Objective detail.
4. Target and timescale.
5. Means of achievement.

Objectives and targets must be reviewed and updated to reflect progress and to measure and monitor the extent of achievement to the programme and set new objectives where relevant. Review and update objectives and targets at least every 6 months and record the review findings in the "measure/review" column.

Ensure that personnel are made aware of the relevant objectives and targets relating to the role if applicable.
## Hazard Identification and Risk Management

### Process Key Stage

<table>
<thead>
<tr>
<th>Conducting Risk Assessment</th>
<th>Managing &amp; Controlling Risk</th>
<th>Monitoring &amp; Development</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> Ensure risk assessment is performed for all business operations to include yard operations, offices, workshop and every operational project. Risk assessment types conducted include:</td>
<td><strong>4.</strong> Review initial risk findings and target measures to eliminate the risk where possible or control to an acceptable level (insignificant or low on the risk rating scheme) using the hierarchy of risk control principles:</td>
<td><strong>7.</strong> Monitor and measure introduction and effectiveness of the control measures using site safety audits, spot checks, supervisory checks, etc. and report on findings.</td>
</tr>
<tr>
<td>1. Operational generic – covering all known operational hazards and risks.</td>
<td>1. Eliminate hazard at source.</td>
<td><strong>8.</strong> Monitor continual effectiveness of risk management control measures and arrangements through continual review of:</td>
</tr>
<tr>
<td>2. Project/task specific – targeted at job/task specific hazards in the work/site environment.</td>
<td>2. Reduce hazard at source, e.g. engineering measures, re-design, substitution, remove person from the hazard, protection measures, etc.</td>
<td>1. IMS/site audits and inspection feedback.</td>
</tr>
<tr>
<td>3. Dynamic – operational assessment covering operational change or new/previosuly unforeseen hazards.</td>
<td>3. Minimise risk by designing suitable safe systems of work.</td>
<td>2. Feedback and participation from employees, clients, &amp; Regulatory Bodies.</td>
</tr>
<tr>
<td><strong>2.</strong> Assign risk assessment team to include at least one person competent and authorised to conduct risk assessment and at least one person experienced in the supervision and/or mechanics of the operation/task(s) being assessed.</td>
<td>5. Personal protective equipment as a last resort.</td>
<td><strong>9.</strong> Formally review risk assessments and control measures &amp; update where necessary following:</td>
</tr>
<tr>
<td><strong>3.</strong> Identify significant hazards that have the potential to cause harm. Present initial risk evaluation (assuming worse case scenario with no control measures in place) using the current risk rating scheme.</td>
<td><strong>5.</strong> Where the risk cannot be eliminated, establish the control measures needed to manage and control the risk. Residual risk, when control measures and arrangements are implemented and followed, must be reduced to a sufficient level to prevent harm. Where needed, present safe systems of work control measures using a safety procedure, method statement, written instruction, etc.).</td>
<td><strong>10.</strong> Maintain a clear audit trail of risk assessment update/change following introduction of countermeasures resulting from accidents, incidents, near misses and detection of new/previosuly unforeseen hazards and risk.</td>
</tr>
<tr>
<td><strong>4.</strong> Assign risk assessment team to include at least one person competent and authorised to conduct risk assessment and at least one person experienced in the supervision and/or mechanics of the operation/task(s) being assessed.</td>
<td><strong>6.</strong> Introduce the preventive and control measures into operations. Incorporate control measures into induction training and awareness briefings and obtain signatures from all personnel. Conduct briefings where new information or changes to risk control measures have been introduced following dynamic risk assessments, corrective action countermeasures, lessons learned, etc. Encourage participation with personnel through feedback systems and tool box talks.</td>
<td><strong>9.</strong> Formally review risk assessments and control measures &amp; update where necessary following:</td>
</tr>
<tr>
<td><strong>5.</strong> Identify significant hazards that have the potential to cause harm. Present initial risk evaluation (assuming worse case scenario with no control measures in place) using the current risk rating scheme.</td>
<td><strong>7.</strong> Where the risk cannot be eliminated, establish the control measures needed to manage and control the risk. Residual risk, when control measures and arrangements are implemented and followed, must be reduced to a sufficient level to prevent harm. Where needed, present safe systems of work control measures using a safety procedure, method statement, written instruction, etc.).</td>
<td><strong>10.</strong> Maintain a clear audit trail of risk assessment update/change following introduction of countermeasures resulting from accidents, incidents, near misses and detection of new/previosuly unforeseen hazards and risk.</td>
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</tbody>
</table>
### CDM Management

#### Process Key Stage

<table>
<thead>
<tr>
<th></th>
<th>On construction projects, ensure that:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1. The client is aware of their duties (notify only).</td>
</tr>
<tr>
<td></td>
<td>2. That a Principal Designer &amp; CDM Duty Holder has been appointed (notify only).</td>
</tr>
<tr>
<td></td>
<td>3. Hazards are eliminated and risk reduced through design (all projects).</td>
</tr>
<tr>
<td></td>
<td>4. Remaining risks are identified (all projects).</td>
</tr>
<tr>
<td></td>
<td>5. Providing any information needed for the Construction Phase Plan and / or the H&amp;S file</td>
</tr>
</tbody>
</table>

#### Responsibilities on notifiable projects:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Advise and assist client in their duties.</td>
</tr>
<tr>
<td>2</td>
<td>Notify HSE (F10) in writing.</td>
</tr>
<tr>
<td></td>
<td>Co-ordinate H&amp;S aspects of design work and co-operate with others involved with the project.</td>
</tr>
<tr>
<td></td>
<td>Facilitate good communications between, client, designers &amp; contractors.</td>
</tr>
<tr>
<td></td>
<td>Liaise with principle contractor regarding ongoing design.</td>
</tr>
<tr>
<td></td>
<td>Identify, collect and pass on pre-construction information.</td>
</tr>
<tr>
<td></td>
<td>Prepare/update information needed for the H&amp;S file.</td>
</tr>
</tbody>
</table>

#### Provide sufficient information to contractors at tender stage so that the contractors can properly assess the requirements for health and safety. Provide a copy of the pre-construction phase H&S plan where this has been supplied by the client. Also identify the minimum amount of time provided in the pre-construction phase H&S plan for planning and preparation of the works. |

#### Prepare and develop a written construction phase H&S plan and site rules. The plan must be prepared before work begins and developed in discussion with and communicated to those contractors affected by it, i.e. give contractors relevant parts of the plan. |

#### Ensure that suitable welfare facilities are established on the site from the outset and maintain these facilities for the duration of the project. Suitable facilities means sanitary conveniences, washing facilities, drinking water, changing rooms and lockers and facilities for rest. Refer to the CDM 2015 schedule 2 for specification. |

#### Check competencies of all personnel, including contractors personnel that are reporting to work on the site. Only permit individuals to work on site when satisfied that competency requirements are met. Keep copy of competency certificates and cards on site. |

#### Ensure that every worker on and visitor to site undergoes a site induction before entering the worksite. Ensure that all workers are provided with relevant instruction and further information, tool box talks and training needed for the work. Consult with workers in matters relating to site rules, H&S planning, arrangements, change, instructions, accidents/incidents and near misses, lessons learned, etc. |

#### Secure the site to prevent unauthorised access. Monitor and maintain arrangements to ensure effective security. Control access to and egress from the worksite in line with the H&S plan and security arrangements. |

#### Liaise with the Principle Designer regarding ongoing design and design change. Develop and maintain the H&S plan as the project evolves. Provide any information needed for the H&S plan. |

#### All JSM Group Ltd employees (duty holders if applicable) under CDM are required to:

<p>| | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Check own competence.</td>
</tr>
<tr>
<td>2</td>
<td>Co-operate with others and co-ordinate work so as to ensure the health and safety of construction workers and others who may be affected by the work.</td>
</tr>
<tr>
<td>3</td>
<td>Report obvious risks.</td>
</tr>
<tr>
<td>4</td>
<td>Comply with requirements in Schedule 3 and Part 4 of the Regulations for any work under their control.</td>
</tr>
<tr>
<td>5</td>
<td>Take account of and apply the general principles of prevention when carrying out duties.</td>
</tr>
</tbody>
</table>
### Process Key Stage

<table>
<thead>
<tr>
<th>CDMS Duty</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>Designers must fully understand their duty under CDM Regulations. Refer to the CDM Regulations and the CDM Approved Code of Practice (ACoP) for detail. Note: this process is only required where JSM take on the Designer role under CDM.</td>
<td>CDM 2015 ACoP</td>
</tr>
</tbody>
</table>
| **2** | Main Designer responsibilities – all design projects:  
1. Avoid foreseeable risk in design.  
2. Provide information on residual risk.  
Additional requirements on notifiable projects:  
4. Not to begin construction phase design work until after the Principle Designer / CDM Duty Holder has been appointed.  
5. Liaise with the CDM-C, project team, contractors and any other designers with provision of information. Needed for pre-construction information and the Health & Safety file. Refer to the CDM ACoP guidance document. | |
| **3** | Survey the proposed route/site and identify foreseeable risks (to IMS section 5.2). Produce design for the route and indentify those hazards and risks that can be avoided and/or eliminated in the design, e.g.:  
1. Existing buried services & infrastructure.  
2. Overhead power/utilities.  
3. Deep excavations.  
4. Restricted access & space to construct, install and ongoing maintenance.  
5. Any other aspect that could present a risk or hazards during construction, installation, in-use and during ongoing maintenance. | IMS 5.2 |
| **4** | Where it is not practicable or possible to eliminate the hazard through design, give consideration in your design to measures that will reduce overall risk by reducing the:  
1. Likelihood of harm.  
2. Potential severity of harm.  
3. Number of people exposed to harm.  
4. Frequency and duration of exposure to harm. | |
| **5** | Identify sub-contract elements of design (e.g. structural, technical, engineering & sub-design) and provide relevant information to the engineer/sub-designer. Obtain details of sub-designers own risk information for incorporation into the design. | |
| **6** | Communicate with the project team, sub-contractors and suppliers where necessary to review risk elements and produce practical solutions to reduce risk. | |
| **7** | Produce a "Designers Risk Analysis Record" for every drawing and identify:  
1. Design element and hazard.  
2. Any residual risk details.  
3. Information provided for hazard/risk control. | Designers Risk Analysis Record |
| **8** | Include sub-designers risk information into the Risk Analysis Record for the drawing by cross reference only. Do not attempt to re-word or re-present sub-designers own risk information. | |
| **9** | Include a CDM residual risk block on all drawings and cross reference all residual risks to the Risk Analysis Record. For as built drawings, only show the residual risks that will be present during use and ongoing maintenance of the installation. | |
| **Outsourced Designs** | Design requirements that can not be undertaken via our internal, trained in-house designers will be outsourced where appropriate i.e. Cabling design. Only approved nominated designers will be considered and must be identified on the organisation Approved Supplier / Subcontractor evaluation list. | IMS 5.2 |
### Process Key Stage

#### 1
Establish objectives and targets for the business that are consistent with the Health & Safety policy and scope of the business operations. H&S objectives and targets must be measurable (where practicable) and must also consider:
1. Commitment to prevention of accidents and ill health.
2. Compliance with legal requirements.
3. Continual improvement of the safety management systems.

When setting and reviewing objectives and targets, further consideration must be given to:
1. Significant safety risk.
2. Legal requirements.
3. Technological options.
4. Financial, operational and business needs.
5. Requirements and views of interested parties, e.g. HSE, BSC, clients, etc.
6. A programme for introduction and achievement.

Present the objectives and targets into the “Objectives, targets and Programme” format to include:
1. Objective number.
2. Date established.
3. Objective detail.
4. Target and timescale.
5. Means of achievement.

Objectives and targets must be reviewed and updated to reflect progress and to measure and monitor the extent of achievement to the programme and set new objectives where relevant. Review and update objectives and targets at least every 6 months and record the review findings in the “measure/review” column.

Ensure that personnel are made aware of the relevant objectives and targets relating to the role.
Communication, Participation and Consultation

Process Key Stage

Communication

1. Provide standard H&S awareness instruction and information to all new employees and workers on induction BEFORE putting to work.

2. Maintain notice board accessible to all employees to include all current H&S information for:
   1. Safety representatives (First aid & fire marshals).
   2. HSE “what you should know” poster.
   3. Safety policies, rules and arrangements.
   4. Current safety notices, safety alerts, campaigns, etc.
   Update the notice board with new information and remove obsolete.

3. Provide safety information & instructions to every employee that is relevant to their role & responsibility. Ensure that safety rules and safety arrangements are explained and understood. Record all briefings given.

4. Team packs are provided to every employee and worksite with job specific safety briefings recorded for every employee and sub-contractor working on the worksite.

5. Maintain instructions and arrangements to control all visitors and contractors for:
   1. Completing the visitor book with their details.
   2. Supervision and guidance
   4. Approval of safety arrangements where relevant for contractors working on site.

6. Communicate additional safety information & instruction to every employee:
   1. Following change to risk assessment, safety arrangements and/or work practice.
   2. Following countermeasures resulting from accident, incident or near miss experiences.

7. Record details of relevant communications with external parties regarding H&S issues. Relevant communication includes site visits and the receipt of H&S related documentation. External parties can include Clients, HSE, EHO, local authorities, claims lawyers or the general public.

8. Respond to the external party in the first instance (where relevant) and advise on course of action. Record details of responses and correspondence. Determine relevant course of action. Report complaints or incidents as non-conformance in accordance with IMS section 3.5.

9. Determine information to be communicated to the external party. Consult with subject specialists, insurance and/or legal representative if required to determine company position and legal standing if required. Communicate the information to the external party. Maintain records of information released and subsequent action.

Participation & Consultation

10. Ensure that arrangements are maintained for employee/worker participation through:
   1. Involvement in risk assessments and development of control measures – IMS section 4.1.
   2. Involvement in accident and incident investigation – IMS section 3.5.
   3. Provide a feedback route for comments/suggestions on H&S policy and objectives.
   4. Communication of intended change that could effect the IMS or safety arrangements.
   5. Safety representatives and safety meetings.

11. Safety meetings are required to be conducted at various levels throughout the organisation:
   1. Monthly board meeting.
   2. Quarterly managers meeting.
   3. Quarterly employee safety meeting.
   Report meeting results and communicate actions and findings to the workforce.

12. Communicate any change to H&S arrangements to contractors where relevant and obtain record of the communication/briefing.

13. Introduce change and improvements into the IMS resulting from safety meeting actions.
Operational Control

Process Key Stage

<table>
<thead>
<tr>
<th>Identify those operations that require procedures to ensure they are carried out under controlled and specified conditions to ensure:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Operation controls are integrated into the OH&amp;S management systems.</td>
</tr>
<tr>
<td>2. Management and control of the significant risks and hazards.</td>
</tr>
<tr>
<td>3. Control to prevent accidents, injuries and ill health.</td>
</tr>
<tr>
<td>4. Compliance with policy and objectives.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specific operation include must include:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Safety method statement for every project.</td>
</tr>
<tr>
<td>2. Safe system of work procedures for all high risk tasks.</td>
</tr>
<tr>
<td>3. Safety procedures, rules and suitable signage where the absence could lead to deviation from OH&amp;S policy and objectives.</td>
</tr>
</tbody>
</table>

| Procedures must stipulate the specific operational criteria needed to control the activity. |

| Produce, approve, issue and control safety procedures in accordance with IMS section 3.1 – Control of Documents. |

| Monitor implementation and effectiveness of safety procedures and controls during site monitoring and measurement - IMS section 4.7. |

| Communicate relevant operational procedures to clients, suppliers and sub-contractors where needed to ensure management of significant safety risk. |

| Establish safety arrangements needed to control purchased goods, equipment and services. |

Visitors & Contractors

| Maintain identified parking areas and directional signing to reception for visitors to the yard. All visitors must sign the visitor book so that their presence can be accounted for in the event of an emergency situation. |

<table>
<thead>
<tr>
<th>Obtain project specific risk assessments and safe system of work method statements from any sub-contractor that is required to provide:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Service or work on a construction project.</td>
</tr>
<tr>
<td>2. Works in the yard/office involving work at height, hi voltage electrical, hot works, confined spaces and involving driven plant/machinery.</td>
</tr>
</tbody>
</table>

Management of Change

<table>
<thead>
<tr>
<th>Review safety arrangements, procedures and controls following change resulting from:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Risk assessment update.</td>
</tr>
<tr>
<td>2. Countermeasures following audit, accident and incident actions.</td>
</tr>
<tr>
<td>3. Change in regulatory requirements.</td>
</tr>
<tr>
<td>4. New equipment, materials, technologies, etc.</td>
</tr>
</tbody>
</table>

| Introduce change and amend relevant documentation in accordance with IMS section 3.1. |

| Make all relevant personnel aware of change through safety briefing and/or tool box talks in accordance with IMS section 3.4. |
Emergency Preparedness & Response

Process Key Stage

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>SHEQ Department</td>
<td></td>
</tr>
<tr>
<td>Managing Director &amp; Line Managers</td>
<td></td>
</tr>
</tbody>
</table>

Emergency Planning

1. Establish and maintain H&S emergency plans to deal with real health and safety emergency situations.

The emergency plans should consider:
1. Nature of potential accidents and emergencies.
2. The person responsible for taking charge during an emergency.
3. The steps to be taken during an emergency, including those to be taken by external people on site (other contractors, visitors, etc.).
4. Responsibilities of personnel with specific roles during an emergency (fire wardens, first-aid, rescue, etc.).
5. Emergency equipment needed.
7. Identification & location of any hazardous materials and action to be taken.
8. Interface with emergency services.
9. Communication with Statutory Bodies (HSE, EA, LA).
10. Communication with neighbours & the general public.
11. Protection of vital records & equipment.
12. Availability of information needed during an emergency (hazardous material data, hospital route, contact telephone numbers, layout plans, etc.).
13. Rehearsal procedures.

2. Ensure that all emergency equipment identified in the emergency plan is available in adequate quantities. Emergency equipment includes:
1. Alarm systems.
2. Emergency lighting & power.
3. Escape & rescue equipment.
4. Isolation cut out switches.
5. Fire fighting & first aid equipment.
6. Communication facilities.

Monitoring & Review

3. Where practicable (and identified in the emergency plan) perform rehearsal of emergency plan to a pre-planned schedule. Record results of the rehearsal and any resulting actions.

4. Review and evaluate emergency planning arrangement for continual suitability:
1. Following emergency situations and feedback from rehearsals.
2. During safety review meetings.
3. Following changes to operations, facilities & arrangements.
4. Through continual improvement of the IMS.

5. Communicate plan to all relevant personnel and relevant information points.

6. Implement plan in event of an emergency.
## Integrated Management System

### Performance, Measurement & Monitoring

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>SHEQ Department</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Directors &amp; Line Managers</td>
<td></td>
</tr>
</tbody>
</table>
| 1                 | Establish OH&S performance monitoring & measuring requirements to determine:  
  1. Achievement of OH&S objectives.  
  2. Risk controls are implemented and effective.  
  3. Lessons are being learnt from system failure and hazardous events (accidents, illness & near misses).  
  4. Effectiveness of awareness, training, communication and consultation.  
  5. Information that can be used to review and/or improve aspects of the OH&S systems. |       |

#### Proactive Monitoring

2. Conduct safety monitoring & audits to ensure that site arrangements and risk control procedures are implemented and effective. Identify key safety monitoring points & introduce into the SHEQ Audit Report form.

3. Conduct these SHEQ audits on all operational work sites, yard, workshop and office operations with the following minimum audit inspection frequency of:  
   1. All projects exceeding 5 days duration at least once and at least 1 project audit per week.  
   2. Yard and workshop at least monthly.  
   3. Office at least every 3 months.


5. Perform maintenance, inspection and testing of equipment in accordance with regulatory requirements (lifting equipment, pressure vessels, electrical equipment, etc) in accordance with PUWER & LOLER.

6. Arrange & conduct health monitoring for personnel in accordance with risk assessment findings, operational requirements & health surveillance needs.

7. Conduct safety management system compliance audit in accordance with IMS section 3.6.

#### Reactive Monitoring

8. Report all accidents, illnesses, dangerous occurrences and near misses to IMS section 3.5 using the accident & incident investigation report.

9. Introduce changes & improvement to working practice & site operations to address feedback from monitoring & measurement where required.

10. Introduce changes & improvement to IMS sections in accordance with IMS section 3.1.

11. Maintain accident & near miss incident records for AFR monitoring.

12. Introduce countermeasures needed to address non-conformance, corrective & preventive action resulting from monitoring & measurement feedback.
## Tender Review & Contract Control

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tendering</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>From new business lead, review the enquiry and determine that the prospect meets with the company profile for scope of works, capability, technical specification, commercial viability and risk. Refer also to IMS section 5.1.1 for NERS contestable projects.</td>
<td><img src="#" alt="IMS 5.1.1" /></td>
</tr>
<tr>
<td>2</td>
<td>Identify return dates on formal tenders. Plan and allocate resources to complete &amp; return tender within the specified time scale.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>3</td>
<td>Ensure there is sufficient information to enable evaluation of requirement and provide accurate costings and proposals, i.e. tender requirements, technical specification, drawings and full scope of works, etc. Obtain any additional information required. Perform pre-tender meeting(s) with client and conduct survey(s) and assess requirement as required. For contestable works please ENA/DNO GB1 specifications.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>4</td>
<td>Identify and address safety, quality, environmental issues and produce any required pre-tender documentation, SHEQ plans, etc. Identify &amp; address insurance requirements.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>5</td>
<td>Obtain relevant sub-contract proposals/ budget for inclusion into costing.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>6</td>
<td>Estimate costing. Complete bills of quantities and/or tender documentation where required. Complete proposal.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>7</td>
<td>Perform tender evaluation and verify that all tender requirements are addressed before submission of tender/proposal/quotation. For formal tenders, ensure that the delivery requirements of the tender are followed. Record proposals/tenders/quotes into the quotation register.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>8</td>
<td>Contact the client and establish reasons for failure where applicable and/or possible. Maintain records of all tender documentation and correspondence.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td><strong>Contract Award Review Process</strong></td>
<td></td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>9</td>
<td>Check contract award notification/orders instruction received from the client. The award notification must be in an acceptable format: 1. In writing or email. 2. A letter of intent to proceed to tender or expenditure level. 3. Priced purchase order/signed contract. Check the order against the quotation/tender. The order must be correct to the tender in all respects with no ambiguous or conflicting requirements. Ensure that relevant correspondence is included as addendum to contract where relevant.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td></td>
<td>Note: verbal call off order is acceptable providing the requirements of stage 11 are completed for pro-former invoice work (e.g. TFL, add-hoc works, etc.).</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>10</td>
<td>Resolve any issues with the client before acceptance.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>11</td>
<td>Send acknowledgement of acceptance where required by the client. For small/TFL/ad-hoc works, issue pro-former invoices which must be paid and cleared before acceptance (order call off can be verbal).</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>12</td>
<td>Enter accepted contracts/jobs into the contract register and assign a contract number (to denote contract review and acceptance). Set up a contract file. Pre start contract review meeting to be held between Project Management and Commercial team and notes taken.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td><strong>Change to order/contract after acceptance</strong></td>
<td></td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>13</td>
<td>Review a request for change to an order or contract received after order acceptance and determine if the change can be reasonably accommodated.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>14</td>
<td>Review impact on design, manpower, resources, costing, time scales and re-present quotation to client if relevant. When change is accepted by the company, demonstrate this by either an order/contract amendment in writing from the client or a written confirmation of change notification to the client detailing the accepted change.</td>
<td><img src="#" alt="IMS 3.3" /></td>
</tr>
<tr>
<td>15</td>
<td>Review contract and system documentation in place and amend where relevant to reflect changes accepted (drawings, plans, instructions, etc.). Issue documents to relevant locations and remove obsolete versions.</td>
<td><img src="#" alt="IMS 3.1" /></td>
</tr>
</tbody>
</table>
## NERS Contestable Works Management Process

### Process Key Stage

<table>
<thead>
<tr>
<th>Tendering to Project Mobilisation</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>Review tender requirements and ensure that the requirements fall within the company scope of accreditation under NERS. Resolve any queries or anomalies.</td>
<td></td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>Contact host DNO and request/obtain relevant G81 engineering recommendations and requirements. Establish document update service/protocol with the DNO for the project cycle.</td>
<td></td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>Complete tendering process and contract control process to IMS section 5.1.</td>
<td></td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>Assign, appoint if necessary and allocate suitable qualified, competent and authorised personnel required to perform the works. Check and verify suitability of skills and validity of competency certificates and passports for all operatives performing the works. – note: passports do not have to be issued to temporary labour operatives employed for under 5 days.</td>
<td></td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>Mobilise planning arrangements, CDM requirements, project documentation, current DNO specifications and all other resource requirements to perform the works in accordance with IMS section 5.5.</td>
<td></td>
</tr>
<tr>
<td><strong>6</strong></td>
<td>Identify sub-contract elements and ensure that suitably qualified NERS accredited sub-contractors are appointed and ensure:</td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td>Scope of accreditation is held for the works involved (full or partial).</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Sub-contractor is on the JSM approved supplier list, or</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Sub-contractor evaluation takes place in accordance with IMS section 5.3</td>
<td></td>
</tr>
<tr>
<td><strong>7</strong></td>
<td>Produce work packs, work instructions, method statements and any other required information. Method statements must incorporate DNO Codes of Practice requirements where specified by the adopting utility.</td>
<td></td>
</tr>
</tbody>
</table>

### Project Delivery

| **8** | Conduct conduct site induction and job specific safety briefings to all operative performing works, including sub-contractors operatives where relevant (to NERS section 12.2). |  | IMS 5.3 |
| **9** | Issue work-packs and work instructions to gangs/operatives in accordance with the work scheduling plan. Record the issue of all instructions. |  | IMS 5.3 |
| **10** | Install works to specification and project plan as per IMS section 5.5. Record all testing, measurement and monitoring requirements to determine compliance with specification. Test/measuring equipment must be controlled (calibrated where relevant) to IMS section 3.8. |  | IMS 5.3 |
| **11** | Conduct technical audits to ensure that the works are carried out in accordance with the relevant standards in accordance with the technical audit programme – refer to IMS section 3.6 |  | IMS 5.3 |
| **12** | Conduct formal handover meetings during project delivery for planned and un-planned absence. Handover process must ensure continuity of the works to programme, specification and maintain compliance with NERS requirements. Follow internal project handover checklist and brief incoming manager of project status of all project elements. Record and sign the handover certificate on completion of the handover process. |  | IMS 5.3 |
| **13** | On completion of the project, complete handover process of the asset back to the client. Follow the Hand Back report and address all list items. Hand over CDM documentation, as built drawings, test certificates, inspection reports, O&M’s and all other relevant project information. Sign up the Hand Back report to confirm completion of the process. |  | IMS 5.3 |
Design & Planning Control

Process Key Stage

<table>
<thead>
<tr>
<th>Route Design</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Establish and define the route design requirements from the client to include:</td>
<td></td>
</tr>
<tr>
<td>2.5</td>
<td>Identify appropriate routes and assess feasibility. Conduct more detailed survey and investigate SED’s, environmental and safety risk areas to avoid.</td>
<td>IMS 3.3</td>
</tr>
<tr>
<td>2</td>
<td>1. SSSI sites - <a href="http://www.natureontheemap.org.uk/map">http://www.natureontheemap.org.uk/map</a>&lt;br&gt;2. Special areas of conservation (SAC’s): <a href="http://www.jncc.gov.uk/page-1458">http://www.jncc.gov.uk/page-1458</a>&lt;br&gt;3. Invasive plants, special wildlife facilities (toad crossings, etc.) detected.</td>
<td>SSSI Sites&lt;br&gt;SAC’s&lt;br&gt;Invasive Plants</td>
</tr>
<tr>
<td>3</td>
<td>Produce route map drawings (red line) for proposed installation. Refer to IMS section 4.2.1 for Designers Risk Assessment under CDM. Manage approval and release control of drawings to stages 6 to 10 below.</td>
<td>IMS 4.2.1&lt;br&gt;IMS 3.3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Design Change</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Any change to route design/installation for what ever reason must be documented and subject to re-design as per 1-3 above. Design change introduced must be authorised by the Project Manager for construction.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Introduce the change into the drawing [6-10 below] and identify the design change in the drawing. Issue design change drawings to the Project Management team to ensure that design changes are incorporated into the installation.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Drawing Production &amp; Issue</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Produce drawings with relevant detail and data as required for:</td>
<td>IMS 3.3</td>
</tr>
<tr>
<td>1. Route design &amp; feasibility.&lt;br&gt;2. Construction and installation.&lt;br&gt;3. Traffic management.&lt;br&gt;4. As built.&lt;br&gt;5. Revisions.</td>
<td>Web-link</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Produce the drawing with relevant detail and data. When the drawing is complete verify that the detail/content is correct to requirement.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Identify drawing title block with drawing control information to include at least:</td>
<td></td>
</tr>
<tr>
<td>1. Drawing title and unique drawing reference number.&lt;br&gt;2. Drawing type – feasibility, design, construction, traffic management, as-built, etc.&lt;br&gt;3. Job reference, scale, size and geographical orientation.&lt;br&gt;4. Drawn by/date &amp; checked by/date.&lt;br&gt;5. Revision status and revision detail for revisions made.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Maintain a register of current drawings and revision status. Issue drawings to relevant parties and obtain receipt record (signed receipt or email acceptance).</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Submit drawings for approval where required by Local Authorities and TFL for traffic management and client where specified.</td>
<td>IMS 3.3</td>
</tr>
</tbody>
</table>

Utility Stats Drawings for Buried Services / Plant Enquiry Service Provision

| 11 | Obtain current utility stats drawings covering all planned construction at least 30 days prior to commencement of works. Utility stats drawings are required for power, gas, water, sewers, comms, rail and LUL. Issue stats drawings to construction management and obtain receipt signature. | |
| 12 | Provide hidden plant information to organisations requesting details (where JSM provide plant enquiry service, AboveNet, etc.). Notify enquirer where plant is not present. Provide plant details where present in area requested. | |

Outsourced Design

| 13 | Design requirements that can not be undertaken via our internal, trained in-house designers will be outsourced where appropriate i.e. Cabling design. Only approved nominated designers will be considered and must be identified on the organisation Approved Supplier / Subcontractor evaluation list. | Plant Enquiry Procedures |
**Supplier & Sub-contractor Evaluation**

### Process Key Stage

<table>
<thead>
<tr>
<th>Selection &amp; Evaluation</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Arrange trial or demonstration of product and/or service if possible or relevant. For satisfactory trials/demonstration, monitor initial order(s) and when satisfied with the product/service performance complete the approval status in the supplier database – process stage 4 below.</td>
<td>Project Management</td>
<td>IMS 3.3</td>
</tr>
<tr>
<td>2. For sub-contractors performing work and/services direct to clients on our behalf, perform evaluation of their safety, quality and environmental management systems by questionnaire. Conduct a premises audit if deemed necessary to determine capability and credentials.</td>
<td>SHEQ Department</td>
<td>IMS 3.7</td>
</tr>
<tr>
<td>3. Agree terms, rates &amp; trading conditions. Raise and issue sub-contract orders or contracts where relevant.</td>
<td>Commercial Management</td>
<td>IMS 3.3</td>
</tr>
<tr>
<td>4. Update supplier/sub-contractor database record to include evaluation and approval details:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Means of evaluation, i.e. assessment visit, questionnaire, trade recommendation, previous history or nominated by client.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Reason(s) for approval, i.e. Satisfactory assessment, trial, approvals (18001/9001/14001, etc.).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Date approved and approved by.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Monitor supplier performance on delivery and during product use and sub-contractor performance during service provision. Review supplier/sub-contractor approval status following non-conformance and record any restrictions, conditions/terms into the supplier’s database. Notify management of significant restrictions/conditions placed on suppliers/sub-contractors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Re-evaluate all suppliers/sub-contractors during Management review and consider: Non-conformance’s, accounts issues, rates &amp; charges, service level, delivery performance, environmental performance, safety performance and any other relevant feedback.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Record results of re-evaluation in the management review report. Raise an action plan to address any corrective, preventive and improvement action required resulting from the re-evaluation process and record any restrictions, conditions/terms into the supplier’s database. Notify management of significant restrictions/conditions placed on suppliers/sub-contractors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub-contractor CIS Verify &amp; Payments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Obtain relevant information from the sub-contractor to include:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Name/trading name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. UTR number</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. NI number or Company Registration number</td>
<td></td>
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</tr>
<tr>
<td>9. Verify the sub-contractor details with HMRC (via website or by phone). Maintain records of verified contractors and deduction rates.</td>
<td></td>
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</tr>
<tr>
<td>10. Notify subcontractors where the information provided does not verify and where deduction rate of 30% has been assigned by HMRC.</td>
<td></td>
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</tr>
<tr>
<td>11. Do not make payments to any sub-contractor that does not complete the verification process under any circumstances.</td>
<td></td>
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</tr>
<tr>
<td>12. Payments can be made to sub-contract labour personnel via a bone fide umbrella/composite organisation.</td>
<td></td>
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</tr>
</tbody>
</table>
## Process Key Stage

### Buying

1. Select a suitable supplier & confirm order requirement, price/rate & terms. Source & evaluate new supplier/sub-contractor if required.

   Raise purchase order to include all relevant information (as applicable to the purchase) to include:
   1. Purchase order number.
   2. Supplier details & person placing the order.
   3. Product/service description (include standard/specification reference for quality & safety critical items).
   5. Delivery requirement date.
   6. Amount/volume required.
   7. Unit rate/price where known & VAT code.
   8. Delivery address.
   9. Any special instructions/requirements (certification requirements, verification before receipt arrangements, applicable quality system standards, etc.).
   10. For contestable works please see ENA/DNO G81 specifications

2. Ensure that the order detail is correct before accepting onto the system. Authorisation is required from a Director for single orders exceeding £5k in value (identify the Director on the order). Communicate order to supplier by telephone or email. Confirm by post or fax if required.

3. Monitor orders for on-time delivery. Chase up/progress urgent and overdue orders with suppliers. Raise non-conformance report on suppliers if the situation is not resolved.

   Check deliveries received or collected and ensure that the goods are correct to the supplier’s delivery notes for:
   1. Product description.
   2. Amount/quantity.
   Sign notes to accept satisfactory goods.

4. Amend notes and get driver to witness the amendment where the goods do not reflect the load for amount/quantity but acceptable to order and condition.

5. Check delivery notes against purchase order and ensure that all requirements have been met. Record detail of any approved adjustments and/or part deliveries onto the purchase order.

6. Raise a non-conformance report for failed deliveries that have effected programme, significant shortfall and defective goods.

### Purchase Invoicing

7. Check supplier invoices against purchase order and delivery/collection note[s] and ensure that the invoice matches the goods received and agreed price. Also ensure that an official purchase order number is quoted on every invoice and every collection and delivery ticket is covered by an order before acceptance. Resolve any queries with the supplier.

8. Identify completed purchase orders on the purchase database. Authorise for payment & retain records of purchase and proof of delivery.

---

### Links

- Project/Commercial Management
- Yard/Site Control
- Integrated Management System

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**Internal Use**
### Process Key Stage

<table>
<thead>
<tr>
<th>Step</th>
<th>Process Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Review plant requirements/requests and determine the appropriate plant supply route (external hire or allocation of company owned plant/equipment). External plant hire must be from an approved supplier. For external plant hire, raise a “hired plant log” order to include:   1. Hire number.   2. Supplier details.   3. Plant description including any required attachments.   4. Hire period (on and off hire dates).   5. Delivery location and site/job assignment details.   6. Hire charge.   7. Any special instructions/requirements (certification/calibration requirements, verification before receipt arrangements, applicable quality system standards, etc.) as required.</td>
</tr>
<tr>
<td>2</td>
<td>Place the plant order onto the plant hire supplier by telephone or email. Confirm by post or fax if required.</td>
</tr>
<tr>
<td>3</td>
<td>Monitor plant hire orders for on-time delivery. Chase up/progress urgent and overdue orders with suppliers. Raise non-conformance report on suppliers if the situation is not resolved.</td>
</tr>
<tr>
<td>4</td>
<td>On-hire - Check plant items on delivery to site/yard and confirm that:   1. The on hire date, company name and delivery address is correct on the hire ticket.   2. The plant/equipment items delivered are exact to the hire ticket description and are expected (check with plant controller if in any doubt).   3. All attachments and tooling on the hire ticket are present and serviceable.   4. Safety inspection/maintenance ticket is present.   5. Calibration certificate is present for measuring/testing equipment.   6. Condition – carefully check the plant/equipment which must be in good condition and fit/safe for use. <strong>Note:</strong> visible damage to plant is acceptable providing that the plant is fit for purpose, safe to use and the damage detail is noted on the on-hire ticket. Sign the hire ticket for acceptable plant. Reject defective/damaged/not-to-order plant and notify plant controller.</td>
</tr>
<tr>
<td>5</td>
<td>Off-hire – supervise the off-hire collection of plant/equipment and ensure that:   1. The off- hire date, company name and collection address is correct on the off-hire ticket.   2. The plant/equipment items returned are exact to the ticket description.   3. All attachments and tooling returned are listed on the off-hire ticket.   4. Condition – any damage to the plant is noted on the off-hire ticket and signed for by the driver.</td>
</tr>
<tr>
<td>6</td>
<td>Company Owned Plant   Register owned plant and equipment items (excluding hand tools) in the plant control database using the unique plant ID number.</td>
</tr>
<tr>
<td>7</td>
<td>Control plant and tools using identification tags and physical location to show current status:   1. Plant accessories &amp; hand tools available for use – stored in the designated equipment store.   2. Plant accessories &amp; hand tools returned from site awaiting inspection – fitted with a red tag and stored in the workshop until serviced/inspected.   3. Plant available for use – unique plant ID number traceable to the plant database and status of inspection, test and maintenance.   4. Plant awaiting repair/inspection/maintenance – segregated in yard or workshop with keys quarantined to prevent use.   5. CAT’s &amp; Genies – stored in plant control office and identified to status.</td>
</tr>
<tr>
<td>8</td>
<td>General   Allocate all plant to site (via contract number) in the plant control database. Allocate plant invoices to contracts for hire cost allocation.</td>
</tr>
<tr>
<td>9</td>
<td>Maintain plant check sheets, test certificates and calibration records for relevant plant and measuring equipment. Monitor expiry dates and arrange re-check/certification before expiry.</td>
</tr>
</tbody>
</table>

**Links:**
- IMS 3.3
- IMS 3.5
### Project Planning & Management

#### Process Key Stage

<table>
<thead>
<tr>
<th>Step</th>
<th>Activity</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Manage &amp; control project to achieve: specification compliance, programme timescale, health, safety, quality &amp; environmental compliance and client satisfaction.</td>
<td>Site Management/Superintend</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Project Planning &amp; Control</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Ensure that all relevant information and documentation is established for the project to include:</td>
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<tr>
<td></td>
<td>1. Complete contract specification for the project.</td>
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<tr>
<td></td>
<td>2. All relevant H&amp;S information and arrangements for CDM.</td>
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<tr>
<td></td>
<td>3. Design and route plan drawings.</td>
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<tr>
<td></td>
<td>4. Utility stat drawings for all potential hidden services (power, gas, water, sewers, comm’s, rail and LUL) covering the project.</td>
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<tr>
<td></td>
<td>5. Sub-contract specifications and agreements.</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Establish a programme of works to identify significant stages for project planning, notices/permits, construction, installation, testing and any other contract requirements against time line. Maintain and update the programme to reflect progression of works.</td>
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<tr>
<td></td>
<td>Arrange/submit all relevant permit applications and notices in accordance with current regulatory and Local Authority requirements.</td>
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<tr>
<td></td>
<td>Mobilise required resources, facilities (welfare, temporary sites, meeting/office space, storage, security, etc.), materials, plant/equipment, labour/gangs/competencies, transport, etc. Needed for the project. Conduct pre-start meetings to finalise arrangements and any remaining actions. Compile electronic daily whereabouts sheet.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Survey the worksite/route prior to construction (with client representative if possible) and identify existing damages. Maintain records of survey findings.</td>
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<tr>
<td></td>
<td>Provide all resources needed to operatives/gangs in order to perform the works, i.e. supervision, materials, plant, equipment, SQE information, work instructions, etc. For contestable works provision of materials and the installation needs to be as per the requirements ENA/DNO G81 specifications</td>
<td></td>
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<tr>
<td></td>
<td>Monitoring &amp; Measurement of Project and Works</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Required monitoring of project works:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Supervisor – daily check on all gangs and worksites for installation compliance with specification (before back fill) and reinstatement. Signs site documentation to confirm attendance. Records measures where relevant. Report/record incidents.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>2. Materials/installation verification – perform materials testing (cube test, compaction, cores, etc.) where specified in the contract and where otherwise deemed relevant. Maintain test/inspection reports.</td>
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<tr>
<td></td>
<td>3. SHEQ audits – every gang minimum once per month and formally reported.</td>
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<tr>
<td></td>
<td>4. Failure/Ncr results reported to IMS section 3.5.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Report any variations to specification (SED’s etc.) to client and obtain order/approval of cost where relevant. Variations agreed must be documented and incorporated into the measure and as built drawings.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Measure completed works in accordance with contract requirements and agreed milestones using relevant measure sheet or other agreed format. Report/list snags agreed with the client/LA Officer and progress rectification. Check and close out all rectification work.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Produce measure report and as built drawings. Prepare and submit payment application.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Call in completed weekly time sheets/diary sheets for all operatives/gangs working on the project. Submit approved labour returns for the previous week to payroll by midday on the following Wednesday.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Monitor notices and permits and adjust/react to address project requirements and avoid penalties:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Close completed notices on time.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Extend notices/permits to prevent over-run.</td>
<td></td>
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<tr>
<td></td>
<td>3. Cancel/withdraw notices/permits no longer required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Conduct formal hand-over of project management to person taking over control. Identify, address and sign up the project hand-over form requirements.</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Perform hand-back meeting on completion of project. Present completed H&amp;S/CDM file and completion certificate to the client. Review project performance and report on strengths, weaknesses and lessons learned.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Integrated Management System

### Product Control

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Handling, Storage &amp; Protection</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Provide suitable handling equipment to prevent damage to product/material and to reduce manual handling accident/injury risk.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Establish and maintain secure and suitable protection for materials and equipment to include:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Lockable storage for small items, tools, equipment &amp; valuables.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Safe and secure storage for materials.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Lockable fuel storage.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Segregate materials selected and assigned to projects where relevant.</td>
<td></td>
</tr>
<tr>
<td><strong>Client Property</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Segregate any customer property (i.e. materials/equipment) and clearly identify to owner where there is a risk of inadvertent use.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Maintain customer property of an intellectual nature (specifications, drawings, data, etc.) within the client project file and prevent access to unauthorised persons. Maintain additional protection/controls and requirements as specified/agreed in the contract.</td>
<td></td>
</tr>
<tr>
<td><strong>Product Identification &amp; Traceability</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Establish clear and positive identification to materials where there is a risk of incorrect or inadvertent use.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Identify materials and equipment using suitable labelling, ID numbering, tagging, marked location, colour coding, etc. as appropriate to identify materials to status of inspection, maintenance and serviceability.</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Segregate and clearly identify non-conforming materials/products (product that has failed inspection or found be damaged or otherwise unsuitable for use). Use a designated quarantine area and clearly mark this when in use.</td>
<td></td>
</tr>
<tr>
<td><strong>Material Movements</strong></td>
<td></td>
<td></td>
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<tr>
<td>9</td>
<td>Control the movement of materials from yard to project worksite by:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Signed supplier delivery notes for all incoming materials.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Recording material(s) allocation and release to site by contract number, date and description.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Delivery and/or collection notes for hauliers used to transport materials &amp; equipment.</td>
<td></td>
</tr>
</tbody>
</table>
### Client Satisfaction

#### Process Key Stage

<table>
<thead>
<tr>
<th>Complaints</th>
<th>Responsibility</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>Register complaints &amp; concerns received direct</td>
<td>Project Manager</td>
<td></td>
</tr>
<tr>
<td>from client, Regulatory Body, Local Authority</td>
<td>SHEQ Director</td>
<td>IMS 3.5</td>
</tr>
<tr>
<td>or the general public. Register means record</td>
<td></td>
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</tr>
<tr>
<td>details of the complaint into the project</td>
<td></td>
<td></td>
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<tr>
<td>records for the contract and notify a Director</td>
<td></td>
<td></td>
</tr>
<tr>
<td>or SHEQ department immediately.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communicate complaint to relevant person(s)</td>
<td></td>
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<tr>
<td>designated responsible for investigation and</td>
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<tr>
<td>resolving the matter. Set corrective action</td>
<td></td>
<td></td>
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<tr>
<td>completion time scale.</td>
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<tr>
<td>Establish, implement, report and follow up on</td>
<td></td>
<td></td>
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<tr>
<td>corrective and preventive action to IMS</td>
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<td></td>
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<tr>
<td>section 3.5.</td>
<td></td>
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</tr>
<tr>
<td>Complete the database report with all relevant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>investigation and action details.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Client Satisfaction Surveillance

| Monitor client satisfaction per project/contract | Project Manager | IMS 3.5 |
| continually using feedback from project review | SHEQ Director   |       |
| meetings and routine contact with the client.  |                |       |
| Record satisfaction measure in the project     |                |       |
| records.                                       |                |       |

| Conduct client satisfaction survey:             | Project Manager | IMS 3.7 |
| 1. Random mid-term on projects over 8 weeks    | SHEQ Director   | IMS 3.3 |
| duration (at least 1 survey every month).      |                | IMS 3.1 |
| 2. Post contract all projects over 100K value  |                |       |
| - within 4 weeks of project close.             |                |       |
| Complete & score questionnaire.                |                |       |

#### Action

<p>| Communicate direct requests for action/improvement to a Director or Senior Manager for action. | Project Manager | IMS 3.7 |
| Analyse feedback information &amp; investigate     | SHEQ Director   | IMS 3.3 |
| improvement opportunities within CMR (client   |                | IMS 3.1 |
| relationship management), services and the IMS.|                |       |
| Report details of action taken to address      | Project Manager | IMS 3.7 |
| direct requests for action/improvement to the  | SHEQ Director   | IMS 3.3 |
| client, authority, body or member of the       |                | IMS 3.1 |
| general public raising the issue within 5 days. |                |       |
| Review impact on the IMS and introduce         | Project Manager | IMS 3.7 |
| amendments and improvements identified into     | SHEQ Director   | IMS 3.3 |
| operations and systems.                        |                | IMS 3.1 |</p>
<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Environmental Risk Assessment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Conduct environmental risk assessment on all site activities and operations that have potential to cause pollution, environmental nuisance or breach of environmental legislation.</td>
<td></td>
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<tr>
<td>Present environmental risk assessment to show:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Risk assessment scope, date and assessor.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Pollution source, pathway and receptor.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Initial risk (using scoring scheme).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Control measures.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Residual risk (using scoring scheme).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Action required to achieve residual risk.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implement corrective and improvement action identified during risk assessment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and update environmental risk assessments to ensure continual suitability:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Prior to introducing change in operation, process, work practice and scope of operation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Following environmental accidents, incidents and near misses.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Following change in legislation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. From lessons learned and discovery of previously unforeseen risk.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Aspects and Impacts Assessment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish register of significant environmental aspects and rate the potential impact (again using the risk scoring scheme). Separate the register into 2 sections relative to aspect type:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Potentially polluting and regulatory aspects - from environmental risk assessment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Positive aspects – non-polluting/regulatory aspects with potential for energy/cost saving and environmental benefits.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Present aspects &amp; impacts register to reflect results of assessment to include:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Activity/operation/product.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Environmental aspect(s) applicable to the activity.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Environmental impact score (initial).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Link to regulatory consideration (regulated aspects only).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Control measure/action (positive aspects only).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Residual environmental impact score.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review continuing suitability of aspects &amp; impacts following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Measuring &amp; monitoring of the EMS.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Changes to work practice, equipment, products &amp; processes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Impact by change in regulation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. External audit results/feedback (EA, ISOQAR, clients, etc.).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. At least every 12 months.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Environmental Management Programs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Use the significant aspects &amp; impacts as a direct influence on setting environmental objectives, targets and programmes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish and maintain an Environmental Program for achieving environmental objectives and targets. Programme(s) must include:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. How environmental objectives will be achieved.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Time scale(s).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Person(s) responsible.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and amend programme(s) following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Change to aspects &amp; impacts register.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Change to activities/operation/products.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. New/changed regulations and legislation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Improvement initiatives.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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Links: IMS 3.3, Aspects & Impacts Register, Objectives and Targets.
Environmental Aspects & Impacts Scoring Scheme

<table>
<thead>
<tr>
<th>Likelihood of Occurrence (Lk)</th>
<th>Severity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certain - <strong>Score 3</strong></td>
<td>Quantity/Amount (Q)</td>
</tr>
<tr>
<td>Could - <strong>Score 2</strong></td>
<td>Large - over 200kgs/Ltr - <strong>Score 3</strong></td>
</tr>
<tr>
<td>Unlikely - <strong>Score 1</strong></td>
<td>Moderate - 5 to 200kgs/Ltr - <strong>Score 2</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Frequency (F)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daily/Continuous - <strong>Score 3</strong></td>
</tr>
<tr>
<td>Weekly/Moderate – <strong>Score 2</strong></td>
</tr>
<tr>
<td>Infrequent/Low - <strong>Score 1</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Impact (I)</th>
</tr>
</thead>
<tbody>
<tr>
<td>High/Damaging - <strong>Score 3</strong></td>
</tr>
<tr>
<td>Moderate/Enforceable - <strong>Score 2</strong></td>
</tr>
<tr>
<td>Low/Nuisance - <strong>Score 1</strong></td>
</tr>
</tbody>
</table>

\[ Lk \times Sv (Q + F + I) = Risk \]

<table>
<thead>
<tr>
<th>Risk Level/Score</th>
<th>Acceptable risk level achieved through implementation of control measures. Monitor for change.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level 1</strong>: 3-9 Low</td>
<td>Manageable risk level achieved through implementation of stringent control measures. Requires continuous monitoring with aim of reduction to risk level 1.</td>
</tr>
<tr>
<td><strong>Level 2</strong>: 10-18 Medium</td>
<td>Unacceptable risk level. Action and control measures required to reduce risk to level 2 or 1.</td>
</tr>
</tbody>
</table>

- Section No: 6.1.1
- Page No: 1 of 1
- Revision No: 0
- Issue Date: 01/01/2017
- Internal Use
## Internal Communication

Communicate relevant environmental information to all personnel that perform tasks on behalf of the company:

1. Environmental policy.
2. Significant environmental aspects relating to their work.
3. Environmental objectives and targets relating to their work.
4. Environmental responsibility and procedures relating to their work.
5. Environmental emergency action plan.
   - Communicate the information during induction and periodically using tool box talks.

Communicate operational information to relevant personnel to ensure compliance with the requirements of the EMS, using procedures and or project specific environmental plans.

Communicate relevant information to management and operational personnel following:

1. Corrective actions from incidents and non-conformity.
2. Feedback from audits and environmental monitoring.
3. Changes to the EMS.
4. Changes in relevant legislation or other environmental requirements.
5. Preventive action and improvements to the EMS.

## Communication With External Interested Parties

Record details of relevant communications with external parties regarding environmental issues. Relevant communication includes site visits and the receipt of environmental related documentation. External parties can include EA, EHO, local authorities, clients, neighbours or the general public.

Respond to the external party in the first instance (where relevant) and advise on course of action. Record details of responses and correspondence.

Determine relevant course of action. Report complaints or incidents as non-conformance in accordance with IMS section 3.5.

Determine information to be communicated to the external party (including information regarding significant environmental aspects). Consult with subject specialists and/or legal representative if required to determine company position and legal standing if required.

Communicate the information to the external party. Maintain records of information released and subsequent action.
# Emergency Preparedness and Response

## Process Key Stage

<table>
<thead>
<tr>
<th>Emergency Planning</th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>From assessment of environmental risk, establish an 'Environmental Emergency Action Plan'. The purpose of this plan is to prevent and mitigate the environmental impact of an emergency situation.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. The Environmental Emergency Action Plan must identify at least:</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>1. Nature of potential emergency.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2. Emergency equipment and resources needed.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>3. Action to be taken in event of emergency.</td>
<td></td>
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</tr>
<tr>
<td>2. When building emergency action steps, ensure that the measures do not compromise the health, safety and welfare of the emergency response personnel.</td>
<td></td>
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</tr>
</tbody>
</table>

## Site Preparedness

<p>| | | | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Appoint emergency response team with specific roles in the event of an environmental emergency. Ensure that all team members are provided with awareness instruction and training where required relative to their role.</td>
<td></td>
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</tr>
<tr>
<td>Ensure that sufficient equipment and materials are made available in line with the emergency plan. Equipment and materials must be:</td>
<td></td>
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</tr>
<tr>
<td>1. Correct type to deal with substances involved in a spillage (oil or chemical).</td>
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<tr>
<td>2. Sufficient to contain the potential volume.</td>
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<tr>
<td>3. Located/positioned at the most appropriate point to deal with an emergency.</td>
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<tr>
<td>4. Clearly identified as emergency equipment.</td>
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<tr>
<td>Ensure that emergency equipment is inspected and checked for suitability, condition and fitness for purpose on a weekly basis. Record details of inspections/checks made and any actions taken.</td>
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<tr>
<td>Where practicable perform rehearsal of the emergency action plan to a pre-planned schedule. Record results of the rehearsal and any resulting actions.</td>
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<tr>
<td>Activate the emergency action plan in event of an environmental emergency situation.</td>
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## Monitoring & Review

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<table>
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<tr>
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<tbody>
<tr>
<td>Review emergency planning arrangement for continual suitability:</td>
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<tr>
<td>1. Following emergency situations, corrective action and lessons learned following emergency situations and rehearsals.</td>
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<td>2. Through improvement initiatives.</td>
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<tr>
<td>3. At least annually during management review.</td>
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<tr>
<td>Introduce amendments into the emergency plan. Issue revised emergency plan to all current holders &amp; locations.</td>
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<tr>
<td>Introduce revisions made to the emergency plan into operations.</td>
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</tr>
<tr>
<td>Process Key Stage</td>
<td>Line Management</td>
<td>SHEQ Department</td>
<td>Links</td>
</tr>
<tr>
<td>-------------------</td>
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<tr>
<td>Identify those environmental operations that require procedures to ensure they are carried out under controlled and specified conditions to ensure:</td>
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</tr>
<tr>
<td>1. Management and control of the significant environmental aspects.</td>
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<tr>
<td>2. Control to prevent pollution threats.</td>
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<tr>
<td>3. Minimal impact on the environment.</td>
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<tr>
<td>4. Compliance with environmental policy and objectives.</td>
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<tr>
<td>Operations that require control include:</td>
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<td></td>
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</tr>
<tr>
<td>1. Environmental plans relating to projects.</td>
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<tr>
<td>2. Products used and services performed on work sites and the yard.</td>
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<tr>
<td>3. Procedures must stipulate the specific operational criteria needed to control the activity.</td>
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<tr>
<td>Produce, approve, issue and control operational procedures in accordance with IMS section 3.1 – Control of Documents.</td>
<td></td>
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<tr>
<td>Implement and introduce operational procedures. Ensure that relevant personnel performing operational procedures are competent and trained in the specific tasks to IMS section 3.4.</td>
<td></td>
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</tr>
<tr>
<td>Monitor effectiveness of operational procedures and controls during site monitoring and measurement to IMS section 6.5.</td>
<td></td>
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</tr>
<tr>
<td>Communicate relevant operational procedures to clients, suppliers and sub-contractors where needed to ensure management of significant environmental aspects on projects.</td>
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</tr>
</tbody>
</table>
### SWMP Obligation

The purpose of the Site Waste Management Plan Regulations were to set out how the materials and resulting waste is to be managed during a building project. The hierarchy of waste control is:

1. **Eliminate** – avoid producing waste in the first place
2. **Reduce** – minimise the amount of waste
3. **Re-Use** – use items as many times as possible
4. **Recycle** – recycle what you can after it has been used
5. **Disposal** – dispose of what is left in a reasonable manner

It is no longer a legal requirement to produce, maintain and implement a SWMP for all construction projects that exceed 300K in value.

### Raise the SWMP

3. If required or requested by the client, produce the SWMP for issue at design stage. Use the template model and build to include relevant project details (the SWMP forms part of the H&S Plan pack). Record details of decisions made before the plan was drafted to minimise waste and / or reuse existing materials at section 1.3 of the SWMP.

4. Produce a "Site Waste Assessment” report for SWMP section 3.1 where construction waste is expected on the project. Issue sub-contractors with a “SWMP data” form for completion and return at enquiry stage where relevant.

5. Identify the waste contractors that will be used to collect / remove waste from the site at SWMP section 4. The Duty of Care Audit will be available for established contractors and includes all regulatory information regarding the contractor. Issue the Duty of Care audit template to new contractors.

For Hazardous Waste, the site will likely require registration as a Hazardous Waste Producer Site. Consult with SHEQ Management for assistance if required.

6. Identify the contractors and disposal route for waste as SWMP section 5. whilst this appears to be a duplication of section 4, the difference is section 4 waste could be reused or recycled and section 5 waste is for disposal. The disposal route should include the destination site details, site operator and Environmental Permit (EP) number.

7. Detail the waste handling operations and arrangements to be followed at SWMP section 6

### General

8. Communicate the operational requirements of the SWMP to the relevant site / project personnel and contractors during site induction

9. Complete a "site Waste Measure Sheet“ to monitor the waste generated and leaving the site. Where relevant to the project, record recycling benchmarks and target achievement / performance.

10. Review the status of the plan at least every 3 months and at least 3 months before project completion. Record and review details in the review log on the SWMP front page, even if there is no change to the plan.

11. On completion of the project, review the SMWP. Identify lessons learnt, improvement introductions and improvement suggestions. Communicate SWMP feedback through fit Out management team meetings and improvements into the SHEQ management systems
# Management of Waste

## Process Key Stage

### Management of Waste Service Providers

<table>
<thead>
<tr>
<th>Step</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Perform Duty of Care assessment on all organisations removing or receiving our waste. Waste organisations must provide evidence of: 1. Carrier license copy - Control of Waste (Registration of Carriers and Seizures of Vehicles) regulations 2. Environmental Permit number of site(s) used for the receipt, transfer and/or disposal of waste removed from our sites.</td>
</tr>
</tbody>
</table>

### Control of Waste – Work Sites

<table>
<thead>
<tr>
<th>Step</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Establish Waste arrangements on site with the Contracts Manager. Refer to Site Waste Management Plan (SWMP) where this is required for the project. Follow site rules and arrangements for: 1. Dealing with waste generated at the point of work 2. Separation and storage of waste on site, i.e. Removal for recycling disposal or temporary storage. 3. Records and reporting required. 4. Return of site waste to JSM property – Important Note: Only where arranged for temporary storage exemption under the None Waste Framework Directive - Consult with SHEQ Management.</td>
</tr>
</tbody>
</table>

### Control of Waste – Yard

<table>
<thead>
<tr>
<th>Step</th>
<th>Responsibility</th>
</tr>
</thead>
</table>

### Hazardous Waste

<table>
<thead>
<tr>
<th>Step</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Determine if waste is classified hazardous using the European Waste Code for the waste. Absolute entries (shown in red) are hazardous. Mirror entries (shown in blue) have to be assessed using the classification guide to determine if hazardous and hazard group (H1 to H14). Consult with SHEQ Management if in any doubt.</td>
</tr>
<tr>
<td>5</td>
<td>Segregate hazardous waste groups and maintain clear identification to prevent mixing. It is illegal to mix different hazardous waste groups together. Register the site producing the waste as a Hazardous waste producer Site and obtain Premises Code. Hazardous Waste registration must be current at the time of waste removal from the registered site.</td>
</tr>
</tbody>
</table>

### Waste Removal & Transfer

<table>
<thead>
<tr>
<th>Step</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Supervise the collection of waste from site and ensure that the vehicle and waste is fit for transport. Do not release unfit loads for transport</td>
</tr>
<tr>
<td>7</td>
<td>Complete waste transfer documentation completely before releasing waste for transport. Document waste transfer using a Duty or Care Waste Transfer note (none hazardous waste) or Hazardous Waste Transfer Note: 1. Waste producer details and collection point 2. Full description of the waste, type, quantity, volume, etc. 3. Carrier removing the waste, carrier license number and intended transfer or disposal point 4. European Waste Code for the waste 5. Completion of relevant sections on a Hazardous Waste Transfer Note (i.e. Premises code, EWC &amp; hazard codes &amp; SIC code).</td>
</tr>
</tbody>
</table>
Measurement & Monitoring

Process Key Stage

1. Perform environmental monitoring and measurement to determine:
   1. Achievement of environmental objectives & targets.
   2. Risk controls are implemented and effective.
   3. Lessons are being learnt from environmental experiences.
   4. Environmental awareness is working on site.
   5. Information that can be used to review and/or improve aspects of the IMS systems.

2. Conduct continual site environmental monitoring to ensure that site arrangements and risk control procedures are implemented and effective. Refer to site checklist for key monitoring points.


4. Perform environmental inspection audits for on all operational work sites, yard, workshop and office operations with the following minimum audit inspection frequency of:
   1. All projects exceeding 5 days duration at least once and at least 1 project audit per week.
   2. Yard and workshop at least monthly.
   3. Office at least every 3 months.

5. Perform additional random environmental inspection audits on operational sites as deemed necessary and where required by client.

6. Report all environmental incidents (spillages, emissions, complaints and near misses) into the non-conformance system. Take relevant corrective action to IMS section 3.5. Report ALL incidents to the SHEQ representative.

7. Conduct environmental measurement where relevant to determine justification of complaints.

8. Introduce changes & improvement to working practice & site operations to address feedback from monitoring & measurement where required. Introduce changes & improvement to IMS sections in accordance with IMS section 3.1.

9. Control & document corrective & preventive action to address non-conformance & improvement resulting from monitoring & measurement feedback.

10. Calibrate measuring equipment used in accordance with IMS section 3.8.
## Pre-Employ Assessment & Sponsorship

### Process Key Stage

1. **Obtain positive identification and eligibility to work information from the operative to include:**
   1. NI number and a tax certificate (p45 or p60).
   2. Passport and/or photographic driving license.
   3. Proof of address with a current/recent utility bill.
   4. Network Rail Medical Certificate.
   5. Any medication being taken.

2. **Send operative to a Network Rail approved screening centre for a pre-employment D&A screen.**

3. **Conduct JSM new starter induction process with the operative.**

4. **Ensure that all documents supplied by the applicant/operative are originals and are free from signs of tampering or defect in areas around names, numbers and photographs. Take photocopies for the file and return originals to operative.**

5. **Operatives already with PTS or higher:** Verify certification on Sentinel Database to ensure individual has not been dismissed for any railway related transgressions within last 5 years. Also note any medical restrictions applied to the operative.

6. **Operatives without PTS:** Arrange PTS course with Network Rail approved training provider. Complete the sponsorship detail and sign the declaration on the application form.

7. **Obtain and verify a satisfactory written reference from the operative’s previous employer.**

8. **Issue operative with Company ID card, Personal Track Safety Handbook and Rail PPE.**

9. **Issue operative with Contract of Employment with Rail Specific clauses.**

10. **Add operatives personal information and skills details to the JSM Training Matrix.**

11. **Maintain all Rail Personnel Information in operatives personnel records.**

### Responsibilities

- **HR Department**
- **SHEQ Department**
- **Links**

- RMS 7.2
- RMS 3.4
- RMS 7.5
- RMS 3.3
- RMS 5.4
- RMS 5.3

### Integrated Management System
## Pre-employment Drugs and Alcohol Screening & Rail Medicals

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pre-employment Drugs and Alcohol Screening</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Issue all operatives with the company Drugs and Alcohol policy during JSM induction.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Arrange for screening to be undertaken by Link Up approved Drug &amp; Alcohol screening company.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>A negative pre-employment Drug &amp; Alcohol test is required before completion of pre-employment assessment. Positive screening results will result in non-employment.</td>
<td></td>
</tr>
<tr>
<td><strong>Pre-employment Medical</strong></td>
<td></td>
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<tr>
<td>4</td>
<td>Prior to PTS Training, all operatives selected for Rail related work must undertake a PTS Medical. Arrange medical with a RISQS approved medical supplier.</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Ensure that the operatives undergoes a Pre-employment Medical that meets the requirements set out in NR/L2/OHS/018 and 00124 to Level 4 (PTS Only).</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Progress successful operatives for a Pre-employment Drugs &amp; Alcohol screening and complete pre-employment assessment.</td>
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<tr>
<td>7</td>
<td>Unsuccessful operatives will be declined PTS Training and notified in writing of result. All results to be kept on file.</td>
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</tr>
<tr>
<td><strong>Medical Examination Monitoring</strong></td>
<td></td>
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<tr>
<td>8</td>
<td>Maintain medical examination dates and expiry dates in the training matrix. Monitor expiry dates and arrange the booking of medical examinations in advance.</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>If for any reason JSM doubt an individuals fitness for normal duties, refer them for an additional medical prior to resuming work; whether or not the individual concerned has been absent from work.</td>
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</tr>
</tbody>
</table>
Process Key Stage

Planning & Rostering

1. Plan and manage working hours for every Rail Worker to ensure strict compliance with Network Rail Standard NR/L2/ERG/003.

2. Complete a ‘Working Hours Record Sheet’ must be completed detailing:
   1. Rail worker name.
   2. Planned daily work shifts showing current week and overlap into following week.
   3. Planned shift start & finish times.
   4. Planned periods of rest between turns of duty.

3. Plan and roster the ‘Working Hours Record Sheet’ to ensure that every Rail worker:
   1. Works no more than 12 hours in any shift.
   2. Works no more than 72 hours in any week from Sunday to Saturday.
   3. Has a rest period of at least 12 hours between booking of a shift and starting the following shift (this can be reduced to 8 hours on a weekly shift pattern change).
   4. No more than 13 turns of duty are worked in any 14 day period.

Monitoring

4. Maintain the ‘Working Hours Record Sheet’ and update to include shifts & hours actually worked per Rail worker. Record shift start and finish times. For purposes of the rostering, travelling time to and from the worksite is included in the working hours.

5. Control following shift start times against previous shift finish times to maintain the minimum required rest period.

6. Maintain at least a rolling 21 day roster to ensure the weekly maximum working hours (72) and the maximum number of shifts (13) can be monitored.

7. Non-PTS operatives are to be simply marked in for attendance, all Rail Operatives on site must have their Working Hours fully detailed and reviewed each week.

Monitoring

8. A valid reason must be provided for any excursions from the working time limits and must be planned and authorised by the client or Network Rail and supported by a risk assessment that validates extended work exceeding limits under exceptional circumstances:
   1. Bad weather, equipment failure, accident/incident.
   2. To avoid or reduce risk to people or significant disruption to service.
   3. Where it is not practicable to make alternative arrangements.

9. Check hours worked by all Rail workers and identify any occurrences of exceeding working hours limits. There must be a valid reason for exceeding the limits under process stage 8 above.

10. Exceeding working time hours limits without a valid reason must be dealt with as a misconduct disciplinary matter in accordance with the company rules of employment.
<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td>Safety Critical Training Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Determine/authorise safety critical training from:</td>
<td></td>
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<tr>
<td>1. New discipline(s) needed for Rail projects.</td>
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<tr>
<td>2. Refresher training for expiring certificates.</td>
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<tr>
<td>2. Confirm with Link-up that selected external training organisation has a valid registration number before booking course.</td>
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<tr>
<td>3. Raise purchase order for selected training and specify the sentinel ID number or the training provider on the purchase order. Keep the booking confirmation.</td>
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</tr>
<tr>
<td>4. Update the training matrix with expiry date(s) for operatives successfully completing safety critical training.</td>
<td></td>
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<tr>
<td>General</td>
<td></td>
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<tr>
<td>5. Monitor training matrix continually and identify expiring safety critical training certificates and arrange the booking of re-training in advance.</td>
<td></td>
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<tr>
<td>6. Notify operatives where the company have decided not to sponsor re-training for Rail Safety Critical disciplines.</td>
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</tbody>
</table>
## Random Drugs & Alcohol Screening

### Process Key Stage

<table>
<thead>
<tr>
<th>Process</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensure that random D&amp;A screening in undertaken on at least 5% of individuals per annum. (for those identified as High Risk Group (NR/L1/OHS/051) they will be subject to more stringent D&amp;A screening).</td>
</tr>
<tr>
<td>2</td>
<td>Ensure that all operatives are aware that on arrival to a worksite a random selection of JSM Rail operatives will be selected by company appointed third party screening provider.</td>
</tr>
<tr>
<td>3</td>
<td>Ensure that operatives are aware that they must notify JSM or the approved third party screening provider of any prescribed medication or over the counter medication.</td>
</tr>
<tr>
<td>4</td>
<td>Treat a refusal to be screened by any operative, for cause or un-announced, as a positive result.</td>
</tr>
<tr>
<td>5</td>
<td>Ensure screening is undertaken by Network Rail authorised company and included on the JSM approved supplier list. Also ensure that the safety, health and dignity of the person being tested and the person collecting the sample are not affected or compromised.</td>
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</tbody>
</table>

### Screening

<table>
<thead>
<tr>
<th>Process</th>
<th>Responsibilities</th>
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</thead>
<tbody>
<tr>
<td>6</td>
<td><strong>Negative results</strong> - Notify operative and return to work subject to satisfactory completion of investigation if for cause.</td>
</tr>
<tr>
<td>7</td>
<td><strong>Positive results</strong> would be:</td>
</tr>
<tr>
<td></td>
<td>1. The presence of drugs for which there is no legitimate medical need for either their use or the quantity of their use.</td>
</tr>
<tr>
<td></td>
<td>2. More than 29 milligrams of alcohol in 100 millilitres of blood.</td>
</tr>
<tr>
<td></td>
<td>3. More than 13 micrograms of alcohol in 100 millilitres of breath.</td>
</tr>
<tr>
<td></td>
<td>4. More than 39 milligrams of alcohol in 100 millilitres of urine.</td>
</tr>
<tr>
<td></td>
<td>Remove operative from rail work and withdraw identification card and certification. Deal with the operative in accordance with company disciplinary procedures and rules.</td>
</tr>
<tr>
<td>8</td>
<td>Notify sentinel of positive results and where operative fails to present identification card and certification requested.</td>
</tr>
</tbody>
</table>

### Appeal

<table>
<thead>
<tr>
<th>Process</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Where operative chooses to appeal against the screening result, refer to the SHEQ Director.</td>
</tr>
<tr>
<td>10</td>
<td>Review case, reason for appeal and the evidence from the toxicologist report. Make a final decision whether to carry the appeal forward or not.</td>
</tr>
<tr>
<td>11</td>
<td>Notify the operative in writing along with the reasons why the decision is made not to carry on the appeal.</td>
</tr>
<tr>
<td>12</td>
<td>Forward the appeal request to sentinel if the decision is made to carry the appeal forward.</td>
</tr>
<tr>
<td>13</td>
<td>If the appeal is denied by Network Rail, notify operative in writing of the decision and the reasons why the appeal failed.</td>
</tr>
<tr>
<td>14</td>
<td>If the appeal is successful, notify operative is in writing and put back to work under any conditions that may be set by Network Rail.</td>
</tr>
</tbody>
</table>

### Links

- Notify sentinel of positive results and where operative fails to present identification card and certification requested.
- Ensure that all operatives are aware that they must notify JSM or the approved third party screening provider of any prescribed medication or over the counter medication.
- Treat a refusal to be screened by any operative, for cause or un-announced, as a positive result.
- Ensure screening is undertaken by Network Rail authorised company and included on the JSM approved supplier list. Also ensure that the safety, health and dignity of the person being tested and the person collecting the sample are not affected or compromised.
- **Negative results** - Notify operative and return to work subject to satisfactory completion of investigation if for cause.
- **Positive results** would be: |
|   | 1. The presence of drugs for which there is no legitimate medical need for either their use or the quantity of their use. |
|   | 2. More than 29 milligrams of alcohol in 100 millilitres of blood. |
|   | 3. More than 13 micrograms of alcohol in 100 millilitres of breath. |
|   | 4. More than 39 milligrams of alcohol in 100 millilitres of urine. |
|   | Remove operative from rail work and withdraw identification card and certification. Deal with the operative in accordance with company disciplinary procedures and rules. |
- Notify sentinel of positive results and where operative fails to present identification card and certification requested.
# Process Key Stage

### Responsibilities

<table>
<thead>
<tr>
<th></th>
<th>Contract Manager</th>
<th>HR Department</th>
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## For Cause Drug & Alcohol Screening

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<table>
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<tbody>
<tr>
<td><strong>Process Key Stage</strong></td>
<td><strong>Responsibilities</strong></td>
</tr>
</tbody>
</table>

**1.** Arrange for cause D&A screening of operative(s) where management intervention is required for:
1. Post incident or accident investigation (all accidents/incidents).
2. Reported concerns/change in behaviour.
3. Suspicion reported from start of shift check.

**2.** Notify operative of intention to conduct for cause screening and reasons why. Suspend the operative until result of the screening is known and completion of any investigation and/or disciplinary hearing unless it can be demonstrated that the person concerned did not contribute (through their actions or omissions) to the accident or incident.

**3.** Ensure that a suitable JSM IMS representative is sent to site to oversee the screening operation and ensure that the safety, health and dignity of the person being tested and the person collecting the sample are not affected.

**4.** Contact the 24hr On-call Network Rail approved Screening Company to send a collection officer to site.

**5.** Make arrangements to ensure that all operatives remain on site until the collection officer arrives. Whilst awaiting screening the person(s) to be tested cannot:
- Eat anything unless essential (e.g. diabetes to prevent hypoglycaemia)
- Drink Anything, other than small quantities of water (except for those who may be suffering shock who may be offered a warm drink such as tea)
- Take any Medication, whether prescribed or ‘Over The Counter’ unless essential.
- Use the lavatory unless absolutely unavoidable

If it is necessary for the person(s) awaiting testing to eat, drink or take medication, the NS representative must make a record of the time, nature and quantity of the food, drink or medication involved.

Operatives required to undergo testing that have been admitted to hospital as a patient, permission will be sought from the doctor in charge of the patient to proceed with the testing.

Operatives who have returned a negative result from a test performed by a Police Officer, then arrangements will still be made to conduct drugs and alcohol testing.

**6.** Arrange for screened operatives to have their certification withdrawn and instructed not to return to work until the results have been received.

**7.** **Negative results** - Notify operative and return to work subject to satisfactory completion of investigation if for cause.

**8.** **Positive results** would be:
1. The presence of drugs for which there is no legitimate medical need for either their use or the quantity of their use.
2. More than 29 milligrams of alcohol in 100 millilitres of blood.
3. More than 13 micrograms of alcohol in 100 millilitres of breath.
4. More than 39 milligrams of alcohol in 100 millilitres of urine.

Remove operative from rail work and withdraw identification card and certification. Deal with the operative in accordance with company disciplinary procedures and rules.

**9.** Notify, Client, Sentinel and Network Rail of positive results and action taken.
**Control of Rail Documents**

### Process Key Stage

#### Documentation Issue

1. Issue relevant Rail documentation to Rail Workers and projects:
   1. Rulebook - to all staff holding COSS Competency and above.
   2. PTS Handbook – to all PTS holders.
   3. Relevant Rail Standards – Contracts Manager.
   4. Relevant legislative codes – Contracts Manager & Site Supervisor.
   5. Workplan & associated documents – Contracts Manager & Site Supervisor.

2. Record documents issued on project to include:
   1. Name of Document.
   2. Date of Issue.
   4. Individuals name to whom the documents were issued to.
   5. Acknowledgement signature from individuals for documents issued.

#### Amendments and Updates

3. On receipt of Health & Safety newsletter from RAAS, print out:
   1. Quarterly ‘What’s New’ section of the Network Rail Company Standards Technical Indices Website.
   2. Quarterly ‘Summary of Changes’ section of the Railway Safety & Standards Website.

4. Review changes and determine what is applicable and relevant to our operations, services and personnel. Review new documentation and also determine the relevance to our operations, services and personnel.

5. Identify documents that will be subject to amendment.
   1. Registered standards and statutory requirements.
   2. Rulebook with associated modules & PTS Handbooks.
   3. Workplan and associated documents (risk assessment, method statement, SHEQ plans, etc.).

6. Establish current holders of documents that are subject to amendment and issue the changes. Record the issue status of amended documents issued and obtain acknowledgement signature from individuals for documents updated.

7. Maintain a file record of the amendment acknowledgement and put a copy with the project Workplan on site to demonstrate that amendments have been issued to point of use on the Rail project.

8. Communicate relevant detail of change(s) to workforce using briefing record.

### Responsibilities

<table>
<thead>
<tr>
<th>Responsibilities</th>
<th>Links</th>
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<tbody>
<tr>
<td>Contracts Manager</td>
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<tr>
<td>Contracts Manager</td>
<td></td>
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<tr>
<td>SHEQ Department</td>
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</tbody>
</table>

**Integrated Management System**
# Track Visitor Permit (TVP)

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Identify the need for a TVP, which could be issued for:</strong></td>
<td><strong>Contract Manager</strong></td>
<td><strong>Links</strong></td>
</tr>
<tr>
<td>1. People who require occasional or one off access on or near the line to visit specific locations, but who do not require to carry out any work on the infrastructure.</td>
<td></td>
<td>NR/12/DHS/020</td>
</tr>
<tr>
<td>2. People who require occasional or one off access on or near the line to carry out specialised work on behalf of Network Rail or its contractors or sub-contractors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. People who require access on or near the line to carry out work on behalf of a Outside Party.</td>
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<td></td>
</tr>
<tr>
<td><strong>TVP can not be issued to:</strong></td>
<td><strong>SHEQ Department</strong></td>
<td></td>
</tr>
<tr>
<td>1. People whose duties require regular on or near the line and who should therefore hold PTS certification but who either have not yet attained this qualification or whose certificate has lapsed, been mislaid or been withdrawn.</td>
<td></td>
<td>QA100 TVP Application Form</td>
</tr>
<tr>
<td>2. Casual labour working for Network Rail contractors, sub-contractors or on track labour agencies</td>
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<tr>
<td>3. Any person working on or near the line for or on behalf of Network Rail other than specialist contractors</td>
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<td></td>
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<tr>
<td>4. Any person under the age of 16</td>
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</tr>
<tr>
<td><strong>Review request for a TVP and ensure that the requirements of stage 1 above are met and the need for a TVP is justified. Notify the site/supervisor if declined and the reason.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>For authorised TVP request, Issue Self Medical Certification Form to the visitor and submit to the IMS Representative.</strong></td>
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</tr>
<tr>
<td><strong>Logo on to Sentinel website, fill out and submit a Track Visitors Permit Application.</strong></td>
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</tr>
<tr>
<td><strong>If the TVP request is declined, inform requesting Site Manager/Supervisor of reason for TVP being unsuccessful (i.e. more than 12 TVP’s in 12 months).</strong></td>
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</tr>
<tr>
<td><strong>For approved requests, Download TVP off the website, and issue the TVP to the requesting Site Manager/Supervisor.</strong></td>
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</tr>
<tr>
<td><strong>Ensure that ALL TVP Applicants wear a BLUE Hardhat for all time whilst on the Infrastructure, this will be enforced by the COSS on Site. The visitor cannot attend site without a Blue Helmet. Sign visitor onto site and hand over to the COSS.</strong></td>
<td></td>
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</tbody>
</table>
### Process Key Stage

Ensure that arrangements are in place for all Rail worksites that clearly details the procedure for all employees that either refuse to work or wish to report a health and safety concern. The arrangements must:

1. Be documented and briefed to all employees working on rail and rail related projects.
2. Be freely available to all employees at all times.
3. Provide a direct link to the CIRAS confidential reporting system via the CIRAS website, free-phone number, text-line number and free post reporting form.

Ensure that the “refusal to work” arrangements is included in the PTS induction system and every Rail related project site induction briefing.

Maintain/post the “refusal to work” arrangements procedure/notice on every Rail project site and brief to all employees on site induction. Maintain a record of all site induction briefings.

**REMEMBER – You have the right to refuse to work on the grounds of health & safety without fear of discrimination.**
## Close Call Reporting

<table>
<thead>
<tr>
<th>Process Key Stage</th>
<th>Responsibilities</th>
<th>Links</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong></td>
<td>Ensure that all rail operatives are briefed and aware of what a “Close Call” is: Any incident that has occurred due to an unsafe condition or act that in other circumstances could have resulted in personal injury or damage to plant, machinery, infrastructure or the environment.</td>
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</tr>
<tr>
<td><strong>2</strong></td>
<td>Report all Dangerous Occurrence, Incident / Close Call or Near Misses even if injury or damage did not occur as a result. Report means: 1. Notify your H&amp;S Advisor and Contracts Manager immediately verbally or by email. 2. Complete an incident report within 24 hours of the incident.</td>
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</tr>
<tr>
<td><strong>3</strong></td>
<td>Notify the SHEQ Director immediately of a close call occurrence by the quickest means.</td>
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</tr>
<tr>
<td><strong>4</strong></td>
<td>Ensure that all close calls are reported the Online system at <a href="http://www.closecallsystem.co.uk">www.closecallsystem.co.uk</a> and / or CIRAS</td>
<td></td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>Investigate all incidents and identify/implement corrective and preventive action to IMS section 3.5.</td>
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</tr>
<tr>
<td><strong>6</strong></td>
<td>Ensure that completed reports are forwarded to the client, Contracts Manager and the H&amp;S Advisor.</td>
<td></td>
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</tbody>
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**Notes:**
- IMS 3.3: Integrated Management System
- IMS 3.5: Integrated Management System
- IMS 5.3: Integrated Management System
FORS Policies & Procedures Manual

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1. Document Control & Revision

2. Preface

The JSM Group Policies within, together with the Procedures and Arrangements set out in this company FORS manual are aligned to FORS Standard Version 3.2a

They are an addition to, and form part of the JSM Group Ltd ISO 9001:2008 ISO 14001:2004 BS OHSAS 18001:2007 ISOQAR UKAS Certificated Integrated Management System. This document will be reviewed annually in accordance with IMS Section 3.7 Management Review Process.

This manual must be used together with the processes and procedures held within the IMS when developing systems to improve the standards of driving, and the behavior of the company employed drivers on the road.

JSM Group Ltd hold a Restricted Goods Operator License in order to facilitate the carriage of goods on the license holders’ own account in connection with the business.

JSM Group Ltd does not carry goods, personnel or materials for third party hire or reward.
3. FORS Policies

Workplace Transport Safety Policy

JSM Group Ltd operate a small fleet of commercial vehicles to facilitate the transportation of materials, tools and equipment, together with associated personnel to and from site. Although the operation of this fleet represents a small element of our activities, it is our most prominent interaction with vulnerable road users and the general public, and represents an area of significant risk.

- In order to mitigate such risk and provide effective controls around the operation of our Fleet, JSM Group Ltd adopt the Transport for London Freight Operator Recognition Scheme (FORS) requirements when operating contracts within the London area, and are committed to responsible road use.

- JSM Group Ltd shall ensure that road driving risks and workplace transport safety will be controlled through its Occupational Health & Safety Policy.

- JSM Group Ltd will encourage within its workforce the positive participation of workplace transport safety, and will ensure that this policy is communicated and understood at all levels throughout the organisation.

This Policy will be displayed in the workplace and will reviewed annually.

Managing Director  JSM Group Ltd 01/10/2015
Driving Standards at Work Policy

JSM Group Ltd are committed to upholding vehicle and driving standards. We expect every company vehicle to be driven in line with the following driver’s responsibilities and driving standards:

- Obey the Highway Code, allowing for road hazards and environmental conditions;
- Always obey the speed limit and wear a seat belt;
- Drive with due courtesy and consideration to other road users;
- Exercise caution and anticipation to protect vulnerable groups particularly pedestrians, cyclists and motorcyclists, and groups working alongside the road such as highway maintenance workers, Police, Driver and Vehicle Standards Agency (DVSA) Officers and vehicle recovery personnel;
- Minimise fuel and tyre usage through adopting a responsible driving style;
- Avoid distractions from electronic or other devices/media;
- Never use a hand-held or hands-free phone, or programme any other mobile device whilst driving;
- If communications are essential, then the vehicle must be correctly parked in a safe place with the engine switched off;
- Never drive under the influence of drugs or alcohol;
- Be free of fatigue, well rested and working in accordance with the JSM Group Ltd Fatigue & Working Hours Management Policy;
- Not eat, drink or smoke while driving, or permit smoking within any company vehicle;
- Report any medical condition that might affect driving (such as sleep apnoea, diabetes or impaired/diminished vision so that the company can arrange appropriate medical screening and restrict driving if it is unsafe;

Manage vehicle breakdowns and collisions in accordance with the Driver Handbook. Drivers shall be required to sign a declaration stating they have been issued with, read and understand the company policy on driving standards. This Policy will be displayed in the workplace and will reviewed annually to ensure that any emerging issues in driving standards are addressed.

Managing Director  JSM Group Ltd 22/09/2015
Drugs and alcohol policy

The JSM Group Drug and Alcohol Policy is applicable to the FORS Policies & Procedures Manual. All drivers will adhere to the policy.

Vehicle Routing Policy

JSM Group Ltd shall ensure that the most efficient, safe and appropriate vehicles and routes are used and that any specified vehicle routes to sites or premises are adhered to unless drivers are instructed otherwise.

Adherence to this policy will assist the company to reduce operational costs, lessen the impact our operations have on the environment, reduce the likelihood of road collisions, and minimise the potential for interaction, and the risk of collision with vulnerable road users;

Vehicle routing will be pre-planned, and shall take into account driver’s hours, congestion charge fees, toll charges, parking availability and restrictions, and constraints (such as vehicle emission zones) for which the company will pay for, on behalf of all employees driving company vehicles providing that the planned route where such charges apply is authorised;

Where a pre-designated route is specified within a client contract, this will be adhered to, and details of which will be recorded within any site Traffic Management Plan or Method Statement and communicated to drivers who attend that site.

Drivers shall remain aware that deviating from any specified client routing instructions will result in a requirement for the driving infraction to be acknowledged, and recorded on record.

Managing Director  JSM Group Ltd 22/09/2015
Vehicle Safe Loading Policy

JSM Group will ensure that vehicles are safely loaded and unloaded and, that appropriate load restraints are used (including anchorage points where fitted) where materials and/or equipment are being transported.

Both loading and the unloading of materials and equipment is subject to risk assessment, as required by the Management of Health and Safety at Work Regulations 1999.

Drivers shall be informed if their vehicle exceeds 3m in height via cab height warning notices.

Staff will be provided with suitable information, instruction and training to enable them to undertake the tasks safely.

The loading of vehicles will be subject to random inspection and audit, with enforcement of loading practices implemented.

Vehicle loading weights and dimensions shall not exceed those stipulated within the vehicle manufacturer’s specifications. Equipment and materials handling will be managed in accordance with the company Integrated Management System Manual Handling, PUWER and LOLER procedures.

Access to vehicles Policy (Work at Height)

JSM Group Ltd will ensure that where access to vehicles involves working at height, this is properly planned, supervised and controlled. This includes drivers and those who assist them in loading activities where a person could fall a distance liable to cause personal injury.

The company will ensure that:

- All work at height takes account of weather conditions that could endanger health and safety;
- Those involved in work at height are trained and competent;
- Equipment for work at height is appropriately inspected;
- The risks from fragile surfaces and falling objects are properly controlled.

JSM Group Ltd will have written risk assessments of vehicle access and falls related to the type of operation performed, which form a safe system of work. These will be subject to review, and all work at height requirements will be planned and managed in accordance with the company Integrated Management System Work at Height Procedure.
Vehicle Movements Policy

JSM Group Ltd will risk-assess, mitigate, and control where appropriate risks from vehicle maneuvering including:

Driving forward, reversing, towing, uncoupling, and parking to reduce the potential for injury to people and property through careful control of vehicles.

This will include (where other control measures are not available through risk mitigation) an appointed Banksman to assist the vehicle driver. This includes movements on and off site (including the street). Any collisions (minor or major) will be reacted to immediately, and will be included within the company IMS Management Review process. Risk Assessments shall be carried out in accordance with the company IMS procedure.

Fuel and Tyre usage Policy

JSM Group Ltd will, through the implementation of its FORS Policies & Procedures manual will ensure that fuel and tyre usage will be recorded and monitored for excessive consumption, safety, efficiency and environmental performance, and the following Fuel and Tyre Management measures shall apply:

Fuel:

Vehicle engine idling

Excessive idling of engines wastes fuel and money and is prohibited unless the vehicle systems, such as heating are required in low temperatures

Unnecessary idling of vehicle engines creates an adverse environmental impact, and results in poor air quality and particle emissions;

Unnecessary weight

Vehicle drivers are to ensure that non-essential items are removed from the vehicle, as these reduce fuel efficiency;

Streamlining

Unnecessary roof rack or vehicle boxes will be removed, as these add wind resistance to the vehicle, resulting in lower fuel efficiency;

Journey planning

Journeys will be pre-planned to reduce the risk of getting lost, as additional mileage incurred
results in extra fuel consumption;

**Accelerate and decelerate smoothly**

Careful and considerate driving of the vehicle will result in improved fuel consumption. Conversely, aggressive acceleration will result in excessive fuel consumption;

**Fuel cards**

Where fuel cards are provided, drivers must fuel company vehicles using the card provided;

Where a fuel card is not provided, fuel receipts form a legal allowance reimbursement are to be attached to expenses claims.

**Tyres:**

Maintain the correct tyre pressure

Under inflated tyres will result in both excessive fuel consumption, and premature tyre wear;

**Wear indicators**

Most tyres are fitted with tyre wear indicator bands. The minimum legal limit of remaining tread is 1.6mm, read across the central three quarters of the tyre around its entire circumference;

Tyres must be well maintained in order to keep the vehicle stable as it travels around corners; to help it accelerate and brake effectively; and to work in harmony with the vehicle's main suspension system to carry loads safely;

Tyres will be changed before the legal minimum depth of tread has been reached, as this will increases stopping distance, thus improving road safety;

**Tyre types**

Tyres of different construction types will not be fitted to opposite sides of the same axle. The two main tyre types are radial and cross-ply, and these must not be mixed;

**Tyre labelling**

Replacement tyres should be chosen, through observance of tyre labelling information to provide for the most efficient fuel economy, wet-grip, and lowest noise data;

**Tyre disposal**
Worn, replaced tyres will be recycled by the vehicle tyre provider. The costs of replacement tyres would usually include an environmental disposal charge.

**Driver’s Hours & Working Time Policy**

JSM Group Ltd will, through the implementation of its company Integrated Management System Fatigue & Working Hours Management Policy, ensure that drivers remain sufficiently alert so that safe driving is promoted through complying with the Working Time Directive and Road Transport Directive.

The company will ensure that:

- Hours will be planned, monitored and reviewed in accordance with the policy to ensure that driver’s hours and the working time regulations are not infringed;

- Due consideration to the policy shall be given when planning and scheduling shifts;

- In all cases (including for those drivers who do and do not require a tachograph or log book), the total time of work including driving activities shall be considered.

- Records of Driver hours will be managed in accordance with the company Integrated Management procedures.
4. Organisation Structure

Refer to IMS Section 2.2 Organisation Structure for latest revision.

5. Responsibility & Accountabilities

The responsibilities & authorities detailed below are an addition to the company IMS Section 2.3 “Responsibility & Authority” and relate specifically to the implementation of the JSM Group Ltd FORS Policies and arrangements contained within this manual.

Duties of Managing Director

The Managing Director has overall responsibility for the health safety and welfare of employees and others affected by the company’s activities. This responsibility further extends (but is not limited) to the following:

- Be aware of the employer’s legal duties under the FORS Standards;
- Prepare and keep up to date the FORS Policy requirements;
- Ensure that all employees are updated to changes within the FORS Policies;
- Reprimand any member of staff for failing to discharge satisfactory their responsibilities under this document and the FORS standards;
- Ensure that adequate resources are available to meet legislative, company and FORS requirements.

Duties of the Support Services Director

The Support Services Director is responsible for ensuring that the company transport activities are managed in accordance with the FORS Policies and arrangements. This responsibility extends (but is not limited) to the following:
Implement the employers legal duties under the FORS standards and the Road Traffic Act 1991;

Provide advice and guidance for the updating and review of the FORS Policies;

Ensure that the requirements of the FORS standards are included within monthly Health and Safety Audits and inspections;

Ensure that a sufficient number of suitably trained and experienced personnel remain available to discharge the arrangements within the FORS Policies and arrangements manual;

Ensure that the arrangement of training requirements in accordance with the FORS standards are implemented where required;

Ensure that the FORS policies are promoted throughout the company;

Arrange for site noticeboards to be regularly updated with the latest information;

Provide updated information and changes in regulations and standards to all the relevant employees.

**Duties of the Plant/Transport Manager**

The Plant/Transport Manager is responsible for running the transport operation, and ensuring that the company fleet activities are operated by safe and courteous drivers; to promote and encourage all drivers to abide by the FORS Policies and arrangements.

In accordance with the JSM Group Restricted Goods Operator Licence conditions, the Plant/Transport Manager is not required to be formally CPC qualified.

Duties and responsibilities extends (but are not limited) to the following:

- Have continuous and effective responsibility for the day to day transport operations;

- Ensure that all drivers report any accidents, incidents or hazards in relation to their vehicle;

- Report, arrange and assist with the investigation of any incident or accident; collecting information and statements to forward to the insurance company as required;
Report any changes in any drivers’ competency, changes in details or changes of penalty points to the Support Services Director, and update the company records with the latest information;

Ensure all drivers are fully trained and briefed in their duties, that they understand the standards expected of them and that they are competent to perform to the standards set;

Monitor activities by carrying out random checks on all drivers to ensure they are following company procedures and policies;

Ensure all staff are receiving the relevant training to enable them to abide by the FORS Policies and arrangements, and to assist in any support they require;

Ensure that all staff hold a full and valid driver’s licence applicable to the company vehicle allocated;

Ensure that all drivers are provided with the Drivers’ Handbook, relevant induction for new employees, any required training, and are briefed on the appropriate procedures;

Carry out pre-employment eyesight test/assessment on all company drivers;

Ensure all driving licences are validated on a six monthly basis and report adverse results to the Support Services Director;

Ensure that the VED renewal process is completed;

Ensure a driving risk assessment is carried out prior to receiving or allocating a company vehicle;

Record tyre and fuel usage;

Ensure that all vehicular maintenance, servicing and documentation is up to date and in accordance with the manufacturers’ recommendations.

**Duties of Company Drivers**

This responsibility extends (but is not limited) to the following:

Make sure their own driving licence is up to date and a copy has been provided to the company and that any prosecutions or penalty points are declared to the company as well as any restrictions in driving set by the DVLA;
Report any accident or damage however minor to the Plant/Transport Manager;

Ensure the vehicle is checked on a daily basis and that any defects are recorded and sent to the Plant/Transport Manager and actioned before driving the vehicle;

Drive in accordance with Road Traffic Legislation and the Highway Code at all times and be particularly careful when driving on sites;

Drive with full awareness of the public and other road users, in particular being mindful of vulnerable road users;

Ensure that any load on the vehicle is well secured or covered, that it is not overloaded and that the vehicle is not loaded in such a way as to affect the handling of the vehicle;

Keep the vehicle clean and tidy at all time and to ensure that any FORS sticker fitted, is clear for others to see;

Ensure Goods (e.g. tools and equipment) are carried in a secure manner, having due regard to their size, weight and any hazardous nature;

Not to carry unauthorised passengers;

Comply with the company Fatigue & Working Hours Management Policy;

Familiarise themselves with all vehicle equipment and safe systems of work;

Check that all manuals and documents are carried within the vehicles at all times;

Not to work of drive under the influence of drugs or alcohol (Company Life Saving Rule) and be in accordance with the JSM Group Drug and Alcohol Policy;

Be free of fatigue, well rested and working in accordance with the JSM Group Ltd Fatigue & Working Hours Management Policy;

Not to eat, drink or smoke while driving or permit smoking within any company vehicle;

Reporting any medical condition that might affect driving (such as sleep apnoea, diabetes or impaired /diminished vision so that the company can arrange appropriate medical screening and restrict driving if it is unsafe.

Drivers are reminded that they represent JSM Group Ltd whilst driving at work. Demonstrating consideration for other road users is a mandatory requirement. Drivers will
avoid the temptation to respond aggressively in the face of other discourteous road users, so as to minimise the risk of potential ‘Road rage’.

6. Procedures

The following procedures and arrangements are to be followed by all JSM Group Ltd employees who are required to drive company vehicles as part of their role, and, to employees who are provided with a company vehicle or vehicle allowance as part of their remuneration package. These arrangements are an addendum to the Procedures within the Integrated Management System as identified within the document preface.

Scheduled License Checks

The company has a legal obligation to check driving licenses on a regular basis to ensure that employees driving on company business hold a current, valid license. The Fleet Operator Recognition Scheme requires that they are checked every 6 months. Driving license verification will be undertaken using www.gov.uk/view-driving-licence. Each employee who is required to undertake driving as part of work related activities for JSM Group Ltd, will be required to permit the sharing of their driving license by making application to the web-site to obtain a License check code.

The driver will be required to enter their driving license number, together with their National Insurance number and home Post Code. Once these details have been entered into the system, the driver will be required to tick the box acknowledging their agreement to the sharing of their details with the HMRC and DWP. This will generate the License Check Code (example AbC12Def) which remains valid for 21 days.

Once the License check code has been generated, the employee will be required to provide this information to the Plant/Transport Manger to enable the driver license check to be undertaken.

The results of the license check will provide the following details:

- The current status of the driver’s license;
- Any current penalty points or disqualifications;
- The permitted vehicle types allowed to drive, including provisional categories of vehicle;
- The last 8 characters of the driving license.
A matrix log of all driver license types will be maintained by the Plant/Transport Manager, and will include the entitlement to groups of vehicle, categories for towing, and details of expiry dates, endorsements and disqualifications. Certificates of competency for the operation of lorry mounted cranes and tails lifts (where applicable) will be maintained within the company training database. This will include any specialist licenses and/or certification for ADR dangerous goods if required.

Driver Fitness, Health & Safety

Prior to an employee driving a company vehicle, JSM Group Ltd will ensure the employee’s capability through a Driver fitness check process. This will be repeated at least every six months, ensuring that each vehicle driver is subject to:

- Verification of driving license entitlement with DVLA;
- Review of any identified driving offences (both those reported to us along with endorsements on the license);
- Review of any comments, compliments or complaints received about their driving;
- Eyesight check and general health, including an Optician eyesight check in the event of failure and following an incident or near miss;
- Confirmation of their awareness of the FORS Policies requirements, together with an understanding of the vehicular risks presented to vulnerable road users. Vulnerable road users include, but are not limited to:
  - Pedestrians;
  - Elderly persons;
  - Children;
  - The mobility impaired;
  - Cyclists;
  - Tourists;
  - Powered two wheelers;
  - Visually impaired;
Equestrian user.

Where there is any element of concern, the individual will be asked to complete further tests and/or may be approved for a shorter period of time.

In the event that an employee has their license revoked for whatever reason and loses the right to drive, and is therefore unable to carry out their contractual obligations, their employment with the company may be reviewed. In some circumstances the company will have no other choice but to terminate the contract of employment.

It is a criminal offence to drive a motor vehicle if a driver cannot read a standard number plate in good daylight from 20 meters using glasses if necessary. If the driver requires glasses or contact lenses to do this, they must be worn every time a vehicle is driven.

**Personal Safety**

Personal welfare should be maintained not only whilst actually driving, but also when not behind the wheel, by adopting a set of standard security procedures:

- Keep valuables out of sight, especially bags, laptops and briefcases;
- Ensure that doors are locked whilst in transit;
- Park the vehicle in well-lit, busy or secure premises, to protect the driver, passengers and the vehicle;
- Take care when exiting the vehicle, particularly when parked on busy roads;
- Should a breakdown occur on the motorway or high-speed road, get out of the vehicle and wait a safe distance away ideally, behind any available protective barrier;
- Changing tyres or other emergency repairs should only be undertaken when it is safe to do so.

**Weather Conditions**

Drivers are reminded that weather affects visibility and how a vehicle performs. When weather conditions reduce visibility, speed must be reduced and checked regularly on the speedometer. The ability to stop within the field of vision is essential. Examples of weather conditions which reduce visibility are:
Fog and mist;

Heavy rain;

Bright sunshine;

Snow and sleet;

Driving at Night.

**Presentation of Vehicle**

JSM Group Ltd is committed to ensuring that its fleet of vehicles is safe, clean and damage-free in order to portray a professional image to our clients and to the public. It is the driver’s responsibility to ensure that

- Rubbish and unnecessary items are not carried in the vehicle;
- Modifications are not made to a company vehicle without approval from the Plant/Transport Manager;
- Lifts are not offered to strangers or hitchhikers;
- The vehicle is kept locked when unattended and parked in a safe place;
- The vehicle is locked whilst paying for fuel;
- Any security devices fitted are used at all times;
- The ignition keys are NEVER left in the vehicle when the driver is not sitting in the driving seat;
- No goods are left visible in the vehicle. They should always be locked away out of sight.

**Training**

The Company has a duty to ensure employees receive sufficient information, training, instruction and supervision to allow them to carry out the company undertakings efficiently and safely. The Company is committed to supplying relevant training where required, and this will be delivered in a variety of ways depending on the most practical and suitable means possible. This can be through examples such as:

- E-learning;
Tool box Talks;

Presentations;

Courses;

Method Statements.

Driver training aligns to the requirements of the FORS Standard and will include the following:

Driving assessment prior to employment;

Induction to the company;

Induction to new contracts covering familiarisation with new routes, vehicle types and sites;

Operational compliance and the safety of vulnerable road users;

Refresher training to ensure learning objectives and skills are fully embedded;

Remedial training to rectify any deficiencies identified through reported collisions or previous training.

It is the company’s policy that those who are responsible for driving company vehicles are in full understanding of the driving standards required within this document. Training arrangements will be managed in accordance with the company Integrated Management System procedures. This will include a development plan (where required) to ensure that sufficient numbers of staff with the required skills are available now, and in the future.

Risk Assessment

The company has a duty of care to look after the welfare of all its employees whilst driving on behalf of the company. A documented risk assessment of each vehicle type will be undertaken in accordance with the JSM Group Integrated Management System Procedures and will include:

The type of load carried and restrained;

Vehicle access and falls from height;

Manoeuvrability on and off site;

Driving position;
Moving loads by hand or machinery, and vibration.

Accident Reporting and Recording

All accidents, incidents and dangerous occurrences will be reported directly to the Plant/Transport Manager immediately. A record will then be made in accordance with the company Integrated Management System procedures (including any investigation reports) which may be required to be issued to our insurance company.

Any accidents, incidents or dangerous occurrences that are not reported will be taken extremely seriously and may result in disciplinary action being taken. Under no circumstances should an employee of JSM Group Ltd attempt to resolve the problem themselves without consulting with the company first.

In the event of a collision occurring:

Stop;

Call the police and ambulance service if required, ensure all parties are safe before proceeding;

Advise any third party that you are driving a company vehicle and provide them with your name and the head office address;

Report the accident directly to the Plant/Transport Manager and to your Line Manager;

Provide a verbal explanation of what happened to the Plant/Transport Manager, do not give a statement to any third party involved unless it is the police;

If the third party admits liability, ask them to write and sign a statement and provide this to the Plant/Transport Manager;

Take photos of the damage and area of the collision using your camera or phone;

Provide full written details of the accident to the Plant/Transport Manager in accordance with the IMS procedures to ensure that all details are recorded correctly for insurance and driver monitoring purposes. This will enable the company to analyse areas for improvement to prevent repetition of the same or similar circumstances from re-occurring.
Incident Prevention

Employees are required not to exceed the speed limit and to drive safely at a speed appropriate to the road conditions. Repeated speeding offences will be regarded as a disciplinary matter. Journeys should be planned to take into consideration the avoidance of congested routes, environmental sustainability and the safety of vulnerable road users. Journey planning must ensure that sufficient time is allocated to enable compliance with speed limits, any DVLA medical condition requirements, weather conditions and taking rest breaks if required. Fatigue is a major cause of driving incidents due to loss of concentration and reduction in reaction time. Drivers are reminded about the dangers of falling asleep at the wheel, the need for safe journey planning, the early signs of fatigue and times of day when the risk is greatest – i.e. early mornings and late at night. If feeling tired, drivers should stop in a safe place and take a break before continuing their journey.

By following these guidelines it is possible to reduce the likelihood of being involved in a road collision

Employees driving at work are reminded that they are required to comply with the JSM Group Ltd Fatigue & Working Hours Management Policy.

Regulatory Licensing

JSM Group Ltd will hold regulatory licenses necessary for the operation of our vehicle fleet. Goods Operator License will be displayed at the Operating Centre. The Goods Operator License will be reviewed on an annual basis for compliance as part of the IMS Management Review procedure within the company Integrated Management System.

Communication

The FORS Policies and Arrangements will be communicated to all staff who are required to drive a company vehicle. This will form part of the New Starter Induction Pack, and Driver Handbook. In addition, this will be supplemented with toolbox talks and other information instruction media and notices, ensuring that updates to the existing policies and arrangements are included.

Continuous Improvement

In line with the JSM Group Ltd ethos of achieving excellence in Road Transport Safety, recommendations for continuous improvement within the delivery of the FORS policies and arrangements will form part of the company SQE Targets and Objectives. These will be managed in accordance with company Integrated Management System.

Complaints

JSM Group Ltd operate a fully functional complaints process. Where legal, or non-legal action against
the company is alleged or implemented, such comments, complaints or action will be managed in accordance with the company Integrated Management System Non-conformance, Corrective & Preventive procedure.

Examples of non-conformance will include:

Complaints from the public, local organisations or FORS;

Legal action taken against vehicle drivers;

Improvement or prohibition notices regarding roadworthiness checks undertaken by the Driver and Vehicle Standards Agency;

Notices issued by the Health & Safety Executive or other authority;

Traffic Commissioner or Court Judgments and Penalty Charge Notices;

Fixed Penalty Notices issued by local authorities or their contractors.

In accordance with the FORS Terms & Conditions, JSM Group Ltd will notify FORS in writing as soon as reasonably practicable, and in any event within 5 Business Days, if an employee of JSM Group Ltd has been found guilty and convicted of committing an offence under the Road Traffic Act 1988, Health & Safety at Work Act 1974; or where a serious breach of the Driver Vehicle Standards Agency (DVSA) Operator Compliance Risk Score (OCRS) standard impacts on our Operating License and, particularly if a PG9 Prohibition Notice has been served by the Police or DVSA.

Staff resourcing

JSM Group Ltd will ensure that sufficient trained and experienced staff are in place to discharge the transport operations for the business. This is reflected within the Roles and Responsibilities within this manual.

Updates and Legislative Compliance

JSM Group Ltd will ensure that new impacts upon the business can be readily understood and reacted to in a timely manner, regulatory change and industry best practice will be reviewed on an annual basis in accordance with the company Integrated Management System Regulatory Compliance procedure.

Vehicle Standards

JSM Group Ltd vehicles will be maintained in line with manufacturer’s recommendations and any applicable operator’s license requirements. This includes for the rectification of defects as soon as is
practical (and immediately, before a vehicle is used where such defect may affect safety). Vehicles must be inspected each day to confirm their suitability for use by the driver for personally assigned vehicles, or by the Site Manager/Supervisor for vehicles allocated each day on the basis of need.

Vehicle loads quantities must fall within the chosen vehicle’s design and legal capabilities, with tools, equipment and materials securely restrained to ensure safety in transit. Where possible JSM Group Ltd will endeavor to use the most environmentally sustainable (fuel efficient) vehicle capable of completing the task required. Vehicle procurement decisions will have due regard to their environmental performance and sustainability.

**Inspection and maintenance plan**

In order to ensure that equipment, including vehicles, trailers and related machinery have planned and proactive maintenance systems in place, a documented six-month look ahead PPM schedule will be maintained by the Plant/Transport Manager. This plan will be reviewed annually, and where significant changes occur such as when new vehicles are added or changed.

Such maintenance plan will include:

- Statutorily legal check requirements (MOT);
- Vehicle service interval.

Non-documented minor maintenance will be carried out on a daily or weekly basis, and will include:

- Vehicle cleaning, including vision related parts;
- Oil, screen-wash and coolant level checks;
- General tyre condition/wear inspections and pressure checks.

Statutory documentation and vehicle service data records will be managed in accordance with the company Integrated Management System Control of Records procedure, and will be retained for 15 months.

**Fuel Efficiency, reduction of emissions and tyre wear**

Vehicles will be driven in accordance with good practice. Poor driving techniques have a significant direct impact on fuel consumption, exhaust emissions and premature tyre wear. Alert, positive and professional drivers will minimise these elements and hence reduce operating costs and contribute to greater road safety.

**Daily walk around checks**
Daily walk around vehicle inspections will be undertaken by drivers prior to use. This will be managed in accordance with the company Integrated Management System PUWER and Control of Records procedures, and will include a documented checklist of safety related components.

Significant immediate issues will be rectified before use (by competent person). Where such defect renders the vehicle un-roadworthy, such vehicle will be removed from service.

Records of defects will be maintained for 15 months.

**Insurance**

JSM Group Ltd will maintain appropriate insurance for vehicles, together with employer’s liability, public liability and other relevant insurance requirements. Insurance renewal is verified annually, and includes ensuring that vehicle insurance is in date, and that all vehicles, drivers, and vehicle uses are covered.

Vehicle and other insurances are managed in accordance with the company Integrated Management System Regulatory Compliance procedure.

**Claims review minutes** form part of the monthly Director meetings, and are included within the company IMS Management Review procedure. Such review will take into consideration trend and cost analysis, risk assessment suitability, driver management, post incident processes and driver behavioral training.

**Vehicle Excise Duty**

JSM Group Ltd will maintain a register of vehicle taxation requirements, including Statutory Off Road Notification (SORN) for untaxed vehicles. The Plant/Transport Manager is responsible for ensuring the effective management of VED compliance.

**Vulnerable road user safety**

The JSM Group Ltd small commercial fleet that operate out of Leven Road Depot consists of light vehicles that have a gross vehicle weight of less than 3.5 Tonnes. In the event that vehicles over this weight are acquired for journeys serving London based sites, they will be fitted with the following safety equipment to help protect vulnerable road users:

- Prominent signage to the rear of the vehicle to visually warn other road users not to get too close to the vehicle;
- Side-under run protection to all vehicles over 3.5 tonnes gross vehicle weight that are exempt from fitment;
Class VI mirrors to be fitted to all vehicles where they can be mounted, with no part of the mirror being less than two metres from the ground.

Signage and markings shall warn the vulnerable road user of the potential danger, advising people to take their own appropriate action.

Signage and markings will not be offensive and will not give instructional advice to the vulnerable road user. Warning signage shall be A4 in size as a minimum

**Stolen Vehicles**

In the event of a vehicle being stolen or vandalised, immediately report it to the Plant/Transport Manager, and contact the police to obtain an incident/crime reference number. They will need the following information:

- Registration number;
- Time date and the precise location of the vehicle;
- Type of vehicle;
- The driver’s name and contact telephone number.

The employee MUST obtain the police crime reference number during the call. The keys to the stolen vehicle should be returned immediately to the employee Line Manager or Plant/Transport Manager. Where the employee or authorised driver cannot produce the key to the stolen vehicle because it was left unattended with the keys inside, this will be deemed as misconduct and the employee may be subject to company disciplinary procedures

**Driving Infractions and other Arrangements**

In order to detect and react to issues with individual drivers for the purpose of safety, Near-misses, Concerns, Traffic Collisions and Driving Infractions will be recorded and monitored in accordance with the company IMS procedures. To ensure the proper operation of the management system, and to be able to assign fuel efficiency deviations, driving infringements, reports of poor driving and insurance claims, records will be controlled through the company IMS procedure. The following driving infractions will be monitored and reviewed, with corrective and preventative actions being implemented in the interests of safety:

**Fixed Penalties**

Any employee who receives a ticket/fine for a driving-related offence must act upon it immediately. Failure to do so could result in disciplinary action. Where the employee accepts responsibility for a
driving offence, or there is clear evidence that, the employee is liable, the cost of any fines not paid by the employee, plus the cost of any administration fees charged will be deducted from the employee’s salary/wages.

The employee will be able to contest any fine received. Drivers who regularly incur charges for traffic offences will be subject to company disciplinary procedures.

Parking tickets

Employees must ensure that all parking ticket fines are paid promptly, or are properly contested to prevent any escalation in charges. Employees can do this by:

  - Immediately paying the fine directly to the charging authority, or;
  - Contesting the fine with the Issuing Authority. If the parking fine is not paid or acted upon, the following procedure will apply:

    The fine will be sent directly to the driver for immediate action;

HR will be notified, with failure to action being subject to disciplinary procedures.

Driving in bus lanes and stopping in box junctions

Driving in bus lanes within restricted hours and stopping in box junctions is prohibited. Employees will ensure that they comply with the Highway Code. Photographic evidence against a driver can usually be provided and therefore, in most cases, these offences cannot be contested. The following process will apply should JSM Group Ltd receive any penalty charges for these driving offences:

The Company will arrange immediate payment of the charge, and this will be deducted from the employee’s salary/wages.

Speeding

Travelling in excess of the posted legal speed limit is strictly prohibited and drivers of company vehicles must ensure they comply with UK road traffic regulations. JSM Group Ltd employees are instructed to comply with the company Life Saving Rules and drive within the legal speed limit.

Drivers are reminded to that Local councils can set their own speed limits in certain areas, and these are clearly signed. For example, 20 mph zone in a built-up area near a school, and 50 mph (rather than 60 mph) limit on a stretch of road with sharp bends.