Southern Shield Track Access Protocol
1 September 2016
Contents

Introduction ............................................................................................................................................. 1
  Purpose ................................................................................................................................................ 1
  Edition Two changes ............................................................................................................................. 1

Track Access Protocol .......................................................................................................................... 3

Section One – SSOW Responsible Manager and Rail Interface Planning Manager process .... 5
  Nominating SSOW Responsible Manager and RIPS Managers ......................................................... 5
  SSOW Responsible Managers responsibilities .................................................................................. 6
  Rail Interface Planning Managers responsibilities ............................................................................. 7
  Limitations and Restrictions ................................................................................................................ 8
  Termination of SSOW Responsible Manager and Rail Interface Planning (RIPS) Managers authority ......................................................................................................................... 9
  Monitoring arrangements .................................................................................................................. 9
  Contractors working for a Principal Contractor ................................................................................. 9

Nomination and Acceptance of Safe System of Work Responsible Manager Form .............. 10

Section Two – Guide and the acceptance of Safe Systems of Work (or Access) with Site Wardens, Equipment or Look out Warning on IP Southern ............................................ 11
  Responsibilities ................................................................................................................................... 11
  Contractor ........................................................................................................................................... 11
  Network Rail Project Manager .......................................................................................................... 12
  Network Rail Programme Manager ................................................................................................... 12
  Network Rail Route Delivery Director ............................................................................................... 12

Flowchart – Acceptance Process for Safe Systems of Work ......................................................... 14

Accepting the Principle of Safe System of Work form ................................................................. 16

Section Three – Guide to authorising the change of Controller of Site Safety .................... 17
  Risk Levels ......................................................................................................................................... 17
  The Naming and appointment of a new COSS .................................................................................. 18

Late Notice of Change Form ............................................................................................................. 19

Glossary ................................................................................................................................................. 21
  Acronyms and abbreviations .............................................................................................................. 21
  Frequently asked questions ................................................................................................................. 21
Introduction

The Track Access Protocol was introduced in 2014 following a serious safety incident on Infrastructure Projects Southern (IPS) when ten operatives having mistakenly walked along an open DC electrified line started work on that line.

The use of this Track Access Protocol is mandatory in the IP Southern Region from 1 September 2016.

Purpose

The primary purpose of this Track Access Protocol is to get our people to always use the safe systems of work with the lowest risk level. As the risk level of each safe system of work increases, the level of acceptance authority required also increases.

Where activities have to be undertaken on the railway including sidings, the Protocol enhances those within the Railway Group Rule Book and Network Rail Standards, to make sure that the activities are performed with the least amount of risk.

The Track Access Protocol details an agreed hierarchy; and acceptance process for each risk level. Alongside, additional safeguards for the safe delivery of work being undertaken within the Southern Region.

Edition Two changes

The main changes from the first edition include:

■ A simplification of the risks levels.
■ Changes to those required to accept a Safe System of Work (SSOW) proposal:
   • Safeguarded and fenced safe systems of work can be accepted by the Contractor’s Safe System of Work Responsible Manager.
   • Activities (work or access) using a safe system of work with Site Wardens can be accepted by the Contractor’s Rail Interface Planning (RIPS) Manager.
   • Accessing the track with either Equipment or Lookout Warning can be accepted by the Contractor’s RIPS Manager (advising the Network Rail Project Manager).
   • Working with either Equipment or Lookout Warning is now accepted first by the Contractor’s RIPS Manager and then by the Network Rail Route Delivery Director.
■ Allowing a new Controller of Site Safety to be appointed within five days prior to the shift to be worked in exceptional circumstances when the original person is not available.
Notes

- The term Controller of Site Safety (COSS) extends, where applicable to, Individuals Working Alone (IWA), Protection Controllers (PC), Plant Operation Scheme representatives (POS) and Machine / Crane Controllers (MC/CC).

- The term possession includes siding possessions where applicable.
# Track Access Protocol

<table>
<thead>
<tr>
<th>Definition</th>
<th>Risk level</th>
<th>Acceptance</th>
<th>Additional Safeguards</th>
<th>Safeguards</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lineside, Non-Trackside or High Street Environment</td>
<td>Activities more than 3m from nearest running line (or 1.25m on a platform) or in a High Street Environment</td>
<td>1</td>
<td>SSOW Responsible Manager ***</td>
<td>All Safe Systems of Work S1 - Every COSS* must be named and appointed more than five days prior to the shift to be worked. <strong>Exception</strong> In the case of exceptional circumstances for Risk Levels 1 to 4 a new COSS* can be named and appointed inside five days prior to the shift to be worked. For Risk Level 4 (working with Site Warden) it is not permitted to name and appoint a new COSS* less than 48 hours prior to the shift to be worked. The new COSS* must meet all the requirements of this protocol. Form F2001C must be completed by the SSOW Responsible Manager and copied to the Network Rail Project Manager. S2a - For Risk Levels 1, 2 and 3 where the COSS* is new to the site or has not visited there in the last 6 months the COSS* must visit the access point(s) prior to the work shift in daylight in order to familiarise themselves with the area, to verify the SSOW Plan and to check that the access points are adequately marked. (For the avoidance of doubt the COSS* is not required to go on or near the line to undertake this). S2b - For Risk Levels 4, 5 and 6 where the COSS* is new to the site or has not visited there in the last 3 months the COSS* must visit the access point(s) prior to the work shift in daylight in order to familiarise themselves with the area, to verify the SSOW Plan and to check that the access points are adequately marked. (For the avoidance of doubt the COSS* is not required to go on or near the line to undertake this). S3 - Every access point to be checked for labelling before any work (including surveying) is undertaken at the location, and labels fixed, where necessary, before any work (including surveying) is undertaken. S4 - Every SSOW Pack/Permit to Work to have photographs showing the location of work, access points and routes to the site of work, annotated with the direction of trains, etc. S5a - For Risk Levels 1, 2 and 3 the SSOW Pack must be verified by the COSS* at least a shift in advance of the work. If the pack is not verified at least a shift in advance then work should not be permitted to proceed, unless authorised by the Rail Interface Planning (RIPS) Manager. S5b - For Risk Levels 4, 5 and 6 the SSOW Pack must be verified by the COSS* at least a shift in advance of the work. If the pack is not verified at least a shift in advance then work must not be permitted to proceed under any circumstances. S6 - Use of technology to be provided to assist as briefing aids i.e. tablets, video footage. S7 - Consideration must be given within the safe system of work for work activities being undertaken within DC and AC Electrified Lines.</td>
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<tr>
<td>Safeguarded</td>
<td>All lines at the site of work blocked within a Possession and Worksite or Line Blockage(s)</td>
<td>2</td>
<td>SSOW Responsible Manager ***</td>
<td>S1, S2a, S3, S4, S5a, S6, S7, P1-3 and/or LB1-4</td>
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<tr>
<td>Fenced</td>
<td>All lines at the site of work are open and work is taking place in the cess behind a fence** OR Some lines at the site of work are open and work is taking place on a line(s) which is blocked within a Possession and Worksite or Line Blockage(s) behind a fence**</td>
<td>3</td>
<td>SSOW Responsible Manager ***</td>
<td>S1, S2a, S3, S4, S5a, S6, S7, P1-3 and/or LB1-4</td>
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<tr>
<td>Site Warden</td>
<td>All lines at the site of work are open and work is taking place in the cess more than 2m, but within 3m from nearest running line with a Site Warden OR Some lines at the site of work are open and work is taking place on a line(s) which is blocked within a Possession and Worksite or Line Blockage(s) with a Site Warden</td>
<td>4</td>
<td>Contractor’s Rail Interface Planning (RIPS) Manager (%) Form F2001B required EXCEPT where the adjacent line is blocked for additional protection purposes only.</td>
<td>S1, S2b, S3, S4, S5b, S6, S7, P1-3 and/or LB1-4</td>
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<tr>
<td>Equipment Warning</td>
<td>Protection not afforded by the Signaller; reliance based on use of ATWS, TOWS or LOWS</td>
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<tr>
<td>Line Blockages – When work will take place on the blocked line</td>
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<tr>
<td>S1, S2b, S3, S4, S5b, S6 &amp; S7 (P1-3 and LB1-4 where applicable)</td>
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<tr>
<td>S1, S2b, S3, S4, S5b, S6 &amp; S7 (P1-3 and LB1-4 where applicable)</td>
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<tr>
<td>For access purposes only – Contractor’s Rail Interface Planning (RIPS) Manager (Form F2001B required)</td>
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<tr>
<td>For actual work activities – Route Delivery Director (Form F2001B required)</td>
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<tr>
<td>Line Blockages – When work will not take place on the blocked line</td>
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<tr>
<td>LB1 - Red flag or light placed on the approach to the site of work if the work will affect the safety of any approaching train, or a group is working as detailed in Handbook 8.</td>
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<tr>
<td>LB2 - Where the work will affect the safety of the line (as detailed in Handbook 7) then additional protection arrangements must be provided as detailed in Handbook 8.</td>
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<tr>
<td>LB3 - Where work will not affect the safety of the line but operatives will be working on the track then the use of Line Blockages with additional protection arrangements (as detailed in Handbook 8) should be considered before Line Blockages without additional protection arrangements utilising the following hierarchy:</td>
<td></td>
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<tr>
<td>LB4 - Where the work will affect the safety of the line (as detailed in Handbook 7) then additional protection arrangements must be provided as detailed in Handbook 8.</td>
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<tr>
<td>- Black text indicates Rule Book and Network Rail standard requirements</td>
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<tr>
<td>- Red Text indicates IP Southern “Mandatory” requirements</td>
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<tr>
<td>- Green text indicates IP Southern “Good Practice” requirements</td>
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<td>Lookout Warning</td>
<td>Protection not afforded by the Signaller or Equipment Warning Systems; reliance only on the use of Lookouts</td>
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<tr>
<td>Line Blockages – When work will not take place on the blocked line</td>
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<tr>
<td>LB4 - Where the work will affect the safety of the line (as detailed in Handbook 7) then additional protection arrangements must be provided as detailed in Handbook 8.</td>
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<tr>
<td>For access purposes only – Contractor’s Rail Interface Planning (RIPS) Manager (Form F2001B required)</td>
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<tr>
<td>For actual work activities – Route Delivery Director (Form F2001B required)</td>
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<tr>
<td>% Form F2001B must be sent to the Network Rail Programme Manager for acknowledgement and challenge (see full protocol document)</td>
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<tr>
<td>@ Form F2001B must be sent to the Network Rail Route Delivery Director for acknowledgement and challenge (see full protocol document)</td>
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<tr>
<td>*COSS includes, where applicable, Individuals Working Alone (IWA) and Protection Controllers (PC), Plant Operation Scheme Representative (POS), and Crane Controllers</td>
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<tr>
<td>** See Handbook regarding distances required for specific types of fencing.</td>
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<tr>
<td>*** SSOW responsible Manager assessed and nominated by Contractor’s Rail Interface Planning (RIPS) Manager</td>
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</table>
Section One – SSOW Responsible Manager and Rail Interface Planning Manager process

Nominating SSOW Responsible Manager and RIPS Managers

Principal Contractors / Contractors should nominate, accept and appoint SSOW Responsible Managers and RIPS Managers via the completion of this process, or a process of equal rigour.

Each contractor is permitted ONE RIPS Manager. The RIPS Manager may nominate and appoint in writing a deputy to undertake their duties contained within this document on their behalf. Note - The RIPS Manager remains accountable for confirming that the processes contained within this document are being followed.

The nomination and acceptance form (Form_F2001A) for SSOW Responsible Managers can be used as part of this process.

Nominations for SSOW Responsible Managers must be authorised by the Principal Contractor’s RIPS Managers or their nominated deputy. These individuals must be named in the Principal Contractor’s RIPS Procedures, as audited and qualified under the Achilles RISQS accreditation arrangements. No others may be authorised as RIPS Managers or their nominated deputy.

All SSOW Responsible Manager and RIPS Manager nominations should be reviewed fully and in detail. Time must be made available to do this in the spirit that it is intended (i.e. to eradicate risks of accidents and incidents relating to late changes in the staff carrying out COSS duties, and where Open Line Working arrangements are to be employed).

Behavioural safety is at the heart of this and all SSOW Responsible Managers and RIPS Managers must exhibit positive behaviours in both their technical and non-technical skills, always putting safety as a priority before commercial and programme considerations.
SSOW Responsible Managers responsibilities

SSOW Responsible Managers nominated, accepted and authorised via this process will be authorised to agree and accept track access planning arrangements for Risk Levels one, two and three under this Track Access Protocol.

SSOW Responsible Managers may also under the agreed exceptional circumstances arrangements authorise late COSS name changes for Risk Levels one, two, three and four inside five days as per the exceptions and controls in this Track Access Protocol. Any name changes must be recorded on Form F2001A and reported to the Network Rail Project Manager at the time of the change.

SSOW Responsible Managers may not authorise the use of Site Wardens or the use of Open Line access (for access or working) using Equipment Warning or Lookout Warning under any circumstances as detailed in Section two of this document.

SSOW Responsible Managers shall where appropriate, submit proposals for any Site Warden and/or Open Line Access or Working arrangements via the Principal Contractor’s RIPS Managers for acceptance and onward processing with Network Rail as required.
Rail Interface Planning Managers responsibilities

Rail Interface Planning (RIPS) Managers nominated, accepted and authorised via this process will be empowered to authorise late COSS name changes for Risk Levels one, two, three and four inside five days as per the exceptions and controls in this Track Access Protocol. Any name changes must be recorded on Form F2001C and reported to the Network Rail Project Manager at the time of the change.

RIPS Managers will be authorised, as detailed in Section two of this document, to agree and accept track access planning proposals for the provision of Site Wardens under Risk Level four of this Track Access Protocol. This authorisation will be documented formally using Form F2001B.

The RIPS Manager is authorised to accept the proposal for accessing with Equipment or Look Out Warning (Risk Levels five and six) as detailed in Section three of this document.

This must always be assessed holistically, considering the safe access of staff that might be involved in each protection method and the safe system of work option. Consideration must be given to the dangers posed by the passage of trains and On-Track Plant (OTP) and the position and nature of DC and AC electrification equipment. This is expected to be a very rare circumstance.

The RIPS Manager may propose to Network Rail a Safe System of Work for working (Risk Levels five and six) using equipment or lookout warning protection as detailed in Section three of this document. This should be considered where, due to the nature and location of the works, it can be clearly evidenced that this would provide a safer environment than other optional means of protection (such as line blockages).

This must always be assessed holistically, considering the safe access of staff that might be involved in each protection method and the safe system of work option. Consideration must be given to the dangers posed by the passage of trains and On-Track Plant (OTP) and the position and nature of DC and AC electrification equipment. This is expected to be a very rare circumstance and may only be proposed when there is clear evidence of risk removal or reduction. All proposals will be submitted for acceptance and authorisation as detailed in Section two of this document.
Limitations and Restrictions

SSOW Responsible Managers and RIPS Managers are only permitted to apply these arrangements for staff working on projects within the jurisdiction of their employing organisation.

RIPS Manager may not enact two powers simultaneously at the same site (i.e. they may not approve a late change to a COSS where they have been involved in an open line access or working proposal and/or acceptance). In such circumstances, the job must be re-planned.

Whenever a positive decision is made by the SSOW Responsible Manager and RIPS Manager, in respect of late COSS name changes the SSOW Responsible Manager must immediately contact the respective Network Rail project team to advise of this decision. This applies to events arising out of normal working hours during nights and weekends.

SSOW Responsible Managers and RIPS Managers will be restricted in number by each organisation.

SSOW Responsible Managers must hold management or planning positions with safety critical accountabilities, and they must have sufficient rail safety competence, experience, skills and knowledge to undertake the role. For example, rail experienced Project Managers, Site Managers, Delivery Managers and Possession Planners with PTS, COSS, E.S., SSOWs or other similar leading safety critical competences would be appropriate.

RIPS Managers must hold senior positions with safety critical accountabilities (for example Rail Assurance Managers, Possession Managers and Senior Safety Managers) with the required rail-specific knowledge, competence and experience to undertake this important and highly responsible role. Production staff predominantly employed on site in a delivery capacity (such as Project Managers, Site Managers, Supervisors and safety critical staff) should not be permitted to undertake the role due to the potential conflict of interest between commercial delivery of work and provision of a guaranteed safe system of work.
Termination of SSOW Responsible Manager and Rail Interface Planning (RIPS) Managers authority

In the event that a SSOW Responsible Manager or RIPS Manager is found to have authorised arrangements outside of the requirements of this procedure, their status will be suspended pending a formal investigation. All such cases will be referred to the Southern Shield Safety Leadership Team.

Monitoring arrangements

The number of changes authorised/proposed by each individual SSOW Responsible Manager or RIPS Manager may be monitored by Southern Shield periodically to demonstrate that this process is applied as stringently as intended, and is not being diluted or abused.

Contractors working for a Principal Contractor

Where a Contractor (who also has their own RIPS Manager and SSOW Responsible Managers) is working for a Principal Contractor, the RIPS Manager for the Principal Contractor is accountable and responsible for making sure that all requirements of this Protocol are adhered to.

The accountability and responsibility for completion of the F2001B Form cannot be delegated to the Contractor’s RIPS Manager. This must be completed by the Principal Contractor’s RIPS Manager.

The Principal Contractor’s RIPS Manager may appoint in writing a Contractors RIPS Manager and/or SSOW Responsible Manager(s) to complete the F2001C Form for authorising late notice changes.

Where the Contractor will issue any Safe System of Work packs then prior to any work take place, the Principal Contractor’s RIPS Manager will undertake checks to confirm that the Contractor’s RIPS and/or SSOW Responsible Managers have been nominated, accepted and appointed in accordance with this protocol.
Nomination and Acceptance of Safe System of Work Responsible Manager Form

1. Nominated SSOW Responsible Manager details (the person being nominated for the role)
   - Name
   - Sentinel Card No.
   - Employer
   - Role/Job Title
   - Safety Critical Competencies
   - Experience*
   - Qualifications & Formal Competencies**
   - Areas/Regions of Work Operation (in which to be accepted as SSOW Responsible Manager)

   *Summarise nominated person's CV for review by accepting authority. Attach copy of full CV if appropriate.

   ** Summarise nominated person's qualifications. Attach copies of qualifications and competencies claimed if appropriate.

2. Nominating person details (The person proposing the nomination)
   - Name
   - Organisation
   - Role / Job Title
   - Personal Statement
     (Provide details as to why you are nominating this individual to undertake their role as SSOW Responsible Manager, including how long you have worked with that individual and your knowledge of their ability to undertake the role)
Section Two – Guide and the acceptance of Safe Systems of Work (or Access) with Site Wardens, Equipment or Lookout Warning on IP Southern

This section describes the process for accepting the principle of using safe systems of work using Site Warden, Equipment or Lookout Warning, planned by contractors working for Network Rail Infrastructure Projects Southern.

This process is not about authorising or approving the actual Safe System of Work that will be used. The SSOW Responsible Manager and Controller of Site Safety are responsible for checking, verifying and approving the actual safe system of work (as defined in NR/L2/OHS/019).

Responsibilities

Contractor

- The SSOW Responsible Manager is responsible for submitting the application (using F2001B) for either accessing or working with Site Warden(s), Equipment or Lookout Warning to the Contractor’s RIPS Manager. Note – During this process the RIPS Manager (or their deputy) is not permitted to act as the SSOW Responsible Manager at the same time.

- The Contractor’s RIPS Manager will reject or accept the principle of working when Site Warden(s) will be used and when Equipment or Lookout Warning will be only used to access a site of work.

- Where the proposal for working with Site Wardens has been accepted then the Contractor’s RIPS Manager will forward a copy of the form to the Network Rail Programme Manager at least seven days prior to the shift, for their acknowledgement and challenge, where necessary.

- Where the proposal for accessing with Equipment or Lookout Warning has been accepted then the Contractor’s RIPS Manager will forward a copy of the form to the Network Rail Route Delivery Director at least seven days prior to the shift, for their acknowledgement and challenge, where necessary.

- If the RIPS Manager has not received a response from the Network Rail Route Delivery Director or Programme Manager the RIPS Manager at least 72 hours before the shift starts they must contact the Network Rail Project Manager. If a response has still not been received 48 hours prior to the shift the RIPS Manager will review the proposal again and either accept or reject it. The RIPS Manager will endorse the Form F2001B that no response was received from Network Rail. A copy of the form must be forwarded to the relevant Network Rail Project Manager.

- Where the proposal has been accepted by the Contractor’s RIPS Manager and acknowledged without challenge by the Network Rail Route Delivery Director or Programme Manager the RIPS Manager will forwarded the completed Form F2001B to the SSOW Responsible
Manager. The SSOW Responsible Manager will provide a copy of the form to the Controller of Site Safety, who must maintain it with their SSOW Pack.

■ Where Equipment or Lookout Warning will be used for actual work activities then the Contractor’s RIPS Manager must after accepting the proposal forward the Form F2001B to the Network Rail Project Manager, for acceptance by the Network Rail Route Delivery Director. The Form F2001B will be submitted to the Network Rail Route Delivery Director \textbf{no later than four weeks} in advance of the planned use of the proposed safe system of work.

■ If the proposal has been accepted by the Network Rail Route Delivery Director the Contractor’s RIPS Manager will return the Form F2001B to the SSOW Responsible Manager. The SSOW Responsible Manager will provide a copy of the form to the Controller of Site Safety, who must maintain it with their SSOW Pack.

■ The Contractor will maintain a register of all applications for working (or accessing) with Site Warden(s), Equipment or Lookout Warning. This register will detail all proposals that have been rejected, accepted and challenged and be available for audit by Network Rail as required.

\textbf{Network Rail Project Manager}

■ The Network Rail Project Manager is responsible for processing any applications between the Contractor’s RIPS Manager and the Network Rail Route Delivery Director or Programme Manager.

■ After a proposal has been rejected or accepted by the Network Rail Route Delivery Director the Network Rail Project Manager will return the Form F2001B to the Contractor’s RIPS Manager.

\textbf{Network Rail Programme Manager}

■ On receiving Form F2001B proposing a safe system of work using Site Warden(s) the Network Rail Programme Manager is responsible for acknowledging the proposal and challenging it where necessary.

■ The Network Rail Programme Manager must complete the Form F2001B and return it to the Contractor’s Rail Interface Planning (RIPS) Manager, via the Network Rail Project Manager, \textbf{at least 48 hours prior to the shift} to enable the safe system of work to be finalised and issued to the Controller of Site Safety at least a shift in advance of the works.

\textbf{Network Rail Route Delivery Director}

■ On receiving Form F2001B proposing a safe system of work using Equipment or Lookout Warning (for Access Purposes Only) the Network Rail Route Delivery Director is responsible for acknowledging the proposal and challenging it where necessary.

■ For safe system of work using Equipment or Lookout Warning (for Access Purposes Only) the Network Rail Route Delivery Director must complete the Form F2001B and return it to the
Contractor’s Rail Interface Planning (RIPS) Manager, via the Network Rail Project Manager, at least 48 hours prior to the shift to enable the safe system of work to be finalised and issued to the Controller of Site Safety at least a shift in advance of the works.

- The relevant Network Rail Route Delivery Director is responsible for rejecting or accepting any proposals where Equipment or Lookout Warning will be used for actual work activities.
- After the proposal has been rejected or accepted the Network Rail Route Delivery Director will return the Form F2001B to the Network Rail Project Manager.
Flowchart – Acceptance Process for Safe Systems of Work

Risk Level 1
Lineside, Non-Trackside or High Street Environment

Risk Level 2
Safeguarded

Risk Level 3
Fenced

Risk Level 4
Site Warden

Risk Level 5
Equipment Warning

Risk Level 6
Lookout Warning

Contractor’s SSOW
Responsible Manager accepts / rejects proposed SSOW

Contractor’s Rail Interface Planning (RIPS) Manager accepts / rejects proposed SSOW using Form F2001B

For Access Purposes Only
Contractor’s Rail Interface Planning (RIPS) Manager accepts / rejects proposed SSOW using Form F2001B

For all work activities
Contractor’s Rail Interface Planning (RIPS) Manager accepts / rejects proposed SSOW using Form F2001B

Contractor’s SSOW
Responsible Manager accepts Form F2001B

Accepted Form F2001B forwarded to the Network Rail Programme Manager for acknowledgement and challenge at least seven days prior to shift

Accepted Form F2001B forwarded to the Network Rail Programme Manager for acknowledgement and challenge at least seven days prior to shift
If approved Form F2001B forwarded to Network Rail Project Manager for acceptance by Network Rail Route Delivery Director

If rejected, or proposal challenged then work not authorised to proceed until SSOW reviewed and accepted

Network Rail Route Delivery Director accepts/rejects proposed SSOW (at least 21 days prior to shift)

Accepted Form F2001B Forwarded to Network Rail Route Delivery Director for acknowledgement and challenge at least seven days prior to shift

If proposal accepted or acknowledged without challenge work authorised to proceed

OR

If no response from Network Rail 48 hours prior to shift RIPS Manager endorses F2001B and authorises work to proceed

Complete Form F2001B Attached to SSOW Pack

Completed form F2001B returned to Contractor’s SSOW Responsible Manager

Everyone Home Safe Every Day
Accepting the Principle of Safe System of Work form

<table>
<thead>
<tr>
<th>Application Number</th>
</tr>
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<tbody>
<tr>
<td>(Network Rail Project Code and a consecutive number issued by the Contractor’s Rail Interface Planning Manager)</td>
</tr>
<tr>
<td>Oracle Project Code</td>
</tr>
<tr>
<td>(Principal) Contractor</td>
</tr>
<tr>
<td>Contractor undertaking work</td>
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<tr>
<td>Network Rail Project Manager</td>
</tr>
<tr>
<td>Asset Discipline</td>
</tr>
<tr>
<td>Work activity to be undertaken</td>
</tr>
<tr>
<td>Route</td>
</tr>
<tr>
<td>Location of work</td>
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<tr>
<td>Date(s) of work</td>
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<tr>
<td>Type of SSOW</td>
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Justification for working (or accessing) with Site Warden(s), Equipment or Lookout Warning
(A separate sheet can be used)

SSOW Responsible Manager

Name:
Role:
Signature: (Electronic signatures are not permitted – a ‘wet’ signature is required)
Date application submitted: 34T

See over for acceptance of all proposed safe systems of work involving the use of Site Warden(s) or Equipment or Lookout Warning.
Section Three – Guide to authorising the change of Controller of Site Safety

This section describes the process for authorising a change of Controller of Site Safety (COSS) less than five days prior to the shift to be worked.

The Southern Shield Track Access Protocol mandates that every COSS must be named and appointed more than five days prior to the shift to be worked. However, in exceptional circumstances, for certain risk levels, it is permissible for the contractor to name and appoint a new Controller of Site Safety within those five days.

Risk Levels

For risk levels one to three it is permissible, in exceptional circumstances, to name and appoint a new COSS within those five days. However, the additional safeguards (in regards the new COSS) detailed in the Track Access Protocol (S2a and S5a) must be adhered to.

For risk level four (i.e. safe system of work with a Site Warden) it is permissible, in exceptional circumstances, to name and appoint a new COSS within those five days. However, it is not permitted to name and appoint a new COSS less than 48 hours prior to the shift to be worked; AND, the additional safeguards (in regards the new COSS) detailed in the Track Access Protocol (S2b and S5b) must be adhered to.

To appoint a new COSS the SSOW Responsible Manager (who is approved in accordance with this the process detailed in Section one) must complete Form F2001C. This form must be issued to the new COSS (and retained by them with their SSOW Pack or Permit) and a copy forwarded to the relevant Network Rail Project Manager.

It is not permissible under any circumstances to name and appoint a new COSS within five days of the shift to be worked for risk levels five and six (i.e. accessing or working with Equipment or Lookout Warning).
The Naming and appointment of a new COSS

The naming and appointment of a new COSS is **NOT ACCEPTABLE** for the following circumstances:

- Planning errors i.e. lack of or poor planning.
- Routine or pre-planned (elective) surgery, hospital, doctor or dentist appointments (advised before five day period).
- Domestic issues - defective homeware i.e. boiler, washing machine.
- Short notice training courses.
- Expiration of required competency i.e. COSS, PTS.
- Jury service.
- Planned leave arrangements.
- Interviews.
- Vehicle and traffic problems.

The exceptional circumstances in which a new COSS can be appointed include (but not limited by):

- Illness (of individual or immediate family member).
- Medical emergencies including those involving hospitalisation (of individual or immediate family member).
- Accident or assault (of individual or immediate family member).
- Short notice hospital or doctor's appointment (advised within five day period).
- Bereavement (of individual or immediate family member).
- Paternity leave.
- Unexpected disruption or breakdown of care arrangements for a dependant.
- Flooding (at individual's or a dependant's house within five day period).
- Burglary (at individual's or a dependant’s house within five day period).
- Attendance at a safety investigation (for an event that occurred within two weeks prior to shift).
- Suspension following a safety event (that occurred within five day period).
- Arrested or helping with police enquiries (advised within five day period).
Late Notice of Change Form

LATE NOTICE CONTROLLER OF SITE SAFETY CHANGE AUTHORISATION

1. Site details

<table>
<thead>
<tr>
<th>Project title:</th>
<th>Project number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contractor:</td>
<td>Site location:</td>
</tr>
<tr>
<td>SSOW type:</td>
<td>Select from drop down list</td>
</tr>
<tr>
<td>Protection type (1):</td>
<td>Select from drop down list</td>
</tr>
<tr>
<td>Date of work:</td>
<td>34T</td>
</tr>
<tr>
<td>Description of work being undertaken</td>
<td></td>
</tr>
<tr>
<td>Worksite / GZAC ref:</td>
<td></td>
</tr>
</tbody>
</table>

2. Request to change a nominated COSS at less than T-5 days

<table>
<thead>
<tr>
<th>Name of new COSS:</th>
<th>Sentinel card number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of sponsor:</td>
<td>Date of last visit to site:</td>
</tr>
<tr>
<td>Reason for late change:</td>
<td>Select from drop down list</td>
</tr>
<tr>
<td>Additional information:</td>
<td></td>
</tr>
</tbody>
</table>

3. Authorisation / rejection of request

<table>
<thead>
<tr>
<th>Ref</th>
<th>Checklist item – Has or will the proposed COSS…</th>
<th>Y/N</th>
<th>Additional comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>… had a minimum of 12 hours rest since last shift?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>… complied with other railway working time requirements?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>… got (or will get) sufficient local knowledge of the area (as defined in the Track Access and Isolation Protocol)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>… got the required Senior competencies (i.e. CRP/OLP, LLT, Site Warden, LCV)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Authorisation or rejection of request:

Justification for decision:

Authority number:

Accepted by: (SSOW Responsible Manager or RPS Manager) Name: Signature: 34T

Copy to be issued to: New COSS (retained by COSS onsite) and Network Rail Project Manager
Notes for completion of this form:

1 In the case of exceptional circumstances \textit{(for Risk Levels one to four only)} a new COSS can be named and appointed inside five days prior to the shift to be worked. \textit{For Risk Level four} (working with Site Warden) it is not permitted to name and appoint a new COSS/SWL \textit{less than 48 hours prior to the shift to be worked}.

2 Changes in COSS are NOT acceptable under the following circumstances:
   a Planning errors i.e. lack of or poor planning.
   b Routine or pre-planned (elective) surgery, hospital, doctor or dentist appointments (advised before five day period).
   c Domestic issues - defective homeware i.e. boiler, washing machine.
   d Short notice training courses.
   e Expiration of required competency i.e. COSS, PTS.
   f Jury service.
   g Planned leave arrangements.
   h Interviews.
   i Vehicle and traffic problems.

3 Changes in COSS can only be authorised by the \textbf{Rail Interface Planning (RIPS) Manager} or a \textbf{SSOW Responsible} who has been formally accepted by the contractor's \textbf{Rail Interface Planning (RIPS) Manager}. 
## Glossary

### Acronyms and abbreviations

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ATWS</td>
<td>Automatic Train Warning System</td>
</tr>
<tr>
<td>COSS</td>
<td>Controller of Site Safety</td>
</tr>
<tr>
<td>ES</td>
<td>Engineering Supervisor</td>
</tr>
<tr>
<td>HV</td>
<td>High Voltage</td>
</tr>
<tr>
<td>IPS</td>
<td>Infrastructure Projects Southern</td>
</tr>
<tr>
<td>IWA</td>
<td>Individuals Working Alone</td>
</tr>
<tr>
<td>LOWS</td>
<td>Lookout Operated Warning System</td>
</tr>
<tr>
<td>OLE</td>
<td>Overhead Line Equipment</td>
</tr>
<tr>
<td>OTP</td>
<td>On Track Plant</td>
</tr>
<tr>
<td>PC</td>
<td>Protection Controller</td>
</tr>
<tr>
<td>POS</td>
<td>Plant Operation Scheme Representative</td>
</tr>
<tr>
<td>PTS</td>
<td>Personal Track Safety</td>
</tr>
<tr>
<td>RIPS</td>
<td>Rail Interface Planning</td>
</tr>
<tr>
<td>RISQS</td>
<td>Rail Industry Supplier Qualification Scheme</td>
</tr>
<tr>
<td>SS</td>
<td>Southern Shield</td>
</tr>
<tr>
<td>SSOW</td>
<td>Safe System of Work</td>
</tr>
<tr>
<td>SSOWP</td>
<td>Safe System of Work Pack</td>
</tr>
<tr>
<td>TOWS</td>
<td>Train Operated Warning System</td>
</tr>
</tbody>
</table>

### Frequently asked questions

A set of Track Access Protocol frequently asked questions can be downloaded [here](#).
EVENYONE HOME SAFE
EVERY DAY

www.southernshield.co.uk