

All equipment that needs calibration or testing will have a unique serial number and be entered onto our equipment register and subject to calibration within specified periods.

13.14 Contract surveillance and audit

A mature self-surveillance based audit plan is to be produced by Lanes Group for the contract and updated at least annually. The audit plan will review the management systems in place and identify the level of risk associated with any findings. The audit plan is to be adopted by all divisions and additional surveillance carried out where necessary.

All surveillance and quality management review processes will be overseen by our ISO: 9001 lead auditor qualified HSQE Manager in line with the guiding principles set out in ISO 19011:2011. This document provides guidance on auditing management systems, including the principles of auditing, managing an audit programme and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process, including the person managing the audit programme, auditors and audit teams.

Where deficiencies are found they will be managed through the issue and tracking of a corrective actions register.

14. Standards and Specifications

14.1 LU Standards

The LU Specifications and standards to be used on the contract are those that are found on <https://onespace.tfl.gov.uk>. In addition access to the approved products register at www.lul-apr.co.uk is also required.

Access is required by all personnel who have any works or services on Transport for London assets.

14.2 Other Standards Including Legislation

To remain up-to-date with current legislation, regulations and best practices Lanes Group are subscribed with organisations such as the Barbour index.

15. Working Hours

15.1 Call Out

Two dedicated contact telephone numbers are provided to Transport for London. This number is manned 24 hours per day, 365 days per year to allow Transport for London to call Lane Group Rail Division out as necessary.

01708 528770

16. Control of documents and records

The control of documents and records is per the Lanes Group, Railway Division procedure; a procedure list is in Section 23 of this document. Document Control forms part of the overall Lanes Group Quality Management System and is detailed in accordance with this system and includes documents of internal and external origin, means of access, change control, retention and archival.

17. Reporting methods

A monthly report will be produced identifying the performance against KPIs, which will be circulated to the client, prior to the monthly contract review meeting.

18. Continuous Improvement

Lanes Group Rail Division are committed to a programme of continuous improvement across all its activities and those of its Divisions and Partners. To this end emphasis will be placed on the planning / Implementation / Audit and Review of all systems and procedures throughout the contract term.

Key to Continuous Improvement will be the ability to recognise systems and procedures which are not operating to the desired Quality outcomes. This may only be achieved through diligent attention to the management functions of audit and review. Whilst audits have been covered earlier in this plan, the following elements will, when combined with the aspects already covered in this plan, form a rounded systematic approach to Continuous Improvement

18.1 Management Review / Operating Centre

A management review meeting will be conducted on a weekly basis to review the contract and its delivery. The review meeting will be to a fixed agenda and will concentrate on all aspects associated with the delivery of the contract.

Any actions generated from the review meeting will be formally recorded on an action plan and named individuals will be allocated to deal with the identified actions with agreed closeout times. Where items cannot be remedied before the end of the following seven days, these items will be escalated to Managers Monthly Review Meeting.

18.2 Monthly Review Meeting

The Monthly Review Meeting will be conducted at the Lanes Group Operating Centre at Rainham. The meeting will be minuted and will be to a fixed agenda.

The monthly review meeting will be attended by the operations managers from all of all the contractors working on the contract.

All matters of Health, Safety and Quality will relevant to the Quality /Safety or Environmental Plan will be discussed in open forum.

Any actions arising from this meeting will be formally recorded and allocated to named individuals with agreed times scales for closing out actions.

Where any action cannot be closed out, this will be escalated to the next monthly meeting as an agenda point.

18.3 Audits

Auditing will be key to the measurement of the effectiveness of our Quality Plans. The audit process will be in accordance with the guidance notes in ISO 19011:2011 and will be used as a tool to determine the situation of the quality plan at any given time during the contract. Audits will be undertaken both internally using Lanes Group internal auditors, and from external bodies such as Transport for London personnel. The audits will be undertaken both at the point works and within the office environment when auditing the overall system.

All audit results will be fed into the Weekly and Monthly meetings and the findings of the audits cascaded to all the personnel assembled therein.

18.4 Quarterly Meetings

Quarterly review meetings will be undertaken involving senior management from both the client and Lanes Group. The Review Meeting will consolidate the targets and objectives (expectations) of the client, against the actual status of the contract at the time of the meeting. This meeting will be undertaken at the senior level of all the organisations charged with the delivery of the contract.

As with the previous meetings, the meetings will be formally minuted and will follow a prescribed agenda.

All issues raised at the Weekly and Monthly meetings which could not be satisfactorily closed out will be reviewed at this meeting and if agreed will be sent back to the planning department for alteration / improvement or replanning.

18.5 Preventative Action

Lanes Group recognises the importance of preventative actions being directed at parts of the quality system where weakness has been discovered. Preventative Actions will be allocated swiftly and with a systematic approach.

Lanes Group Quality Management System is designed around the concept of prevention and therefore where non-conformance with the system or any

of its constituent parts has been realised, we will set in place such preventative measures as is necessary to ensure the Safety of the Individual and the Environment, and allow us to examine further improvements to the overall system which will realign the system with the goals of the Lanes Group and Transport for London.

19. Records Management

19.1 Production/Revision of Management Manuals or Procedures

Where deemed necessary, management manuals, procedures, policies and method statements will be produced or revised. These documents can be produced or revised by anyone with the necessary skills and experience to produce the document. Once produced and reviewed they must be authorised prior to issue or use.

The format of procedures will be QUENSH, however where deemed appropriate the format may be modified to suit the application.

All QMS documentation shall have a title, a unique reference number, date of production and the revision status known. New procedures will not identify the revision status.

Where a document is revised the revision status will be identified by an 'R' followed by the revision after the reference number, i.e. GP4~01 when revised will read GP4~R1.

All QMS documentation shall be authorised prior to issue by the appropriate Director.

Controlled documents shall be on the Procedure Index or Controlled Documents List.

When a controlled document is revised, all the controlled copy-holders of the document identified on the issue record shall have a copy of the new document issued to them and then the recipient shall destroy or identify the document as superseded.

Where Quality records are maintained, electronically only, these will be protected by the electronic data being backed-up daily to prevent loss of information. This back-up will be recorded.

The retention time for quality documentation will be as follows or longer if specified by the customer/contract or legislation:

- Audit Reports/Management Reviews - 5 years
- Safety documentation - Indefinite
- Notifiable incidents - 3 years

- Notifiable incidents with personal Injury - 3 years
- Contract information - 7 years (after completion)
- Waste Transfer Documentation - 2 Years

20. Traceability

All components that may affect the quality of a product will be traceable back to their source, through recording serial number/batch numbers where appropriate on the job card.

21. Lanes Group Rail Division Procedures

A list of the rail division's management procedures which must be followed is detailed below. These procedures form part of everything we do to ensure Health & safety is maintained for all our staff.

MP000 - 099 Series	Quality Management Manual & Procedures	Rev	Pages
QMM000-01	Quality management manual	05/01/16	20
MP001-01	Management system review	05/01/16	14
MP002-01	Audit process	05/01/16	15
MP003-01	Sales enquiries & tenders	05/01/16	15
MP004-01	Control of documents, records and electronic media	05/01/16	15
MP005-01	Control of non-conformances, corrective and preventive actions	05/01/16	16
MP006-01	Selection & management of sub-contractors	05/01/16	5
MP007-01	Training, awareness & competence	05/01/16	6
MP008-01	Inspection, test and measuring equipment	05/01/16	7
MP009-01	Operational control	05/01/16	5
MP010-01	Work Monitoring	05/01/16	4
MP011-01	Procurement and vendor control	05/01/16	5
MP012-01	Prevention of illegal working	05/01/16	3

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SP100 - 199 Series	Safety Management Manual & Procedures	Rev	Pages
SMS 100-01	Safety Management Manual	05/01/16	19
SP101-01	Risk Assessment	05/01/16	5
SP102-01	Accident, incident & disease reporting & investigation	05/01/16	6
SP103-01	Employee health & safety communication & consultation	05/01/16	9
SP110-01	Confined space working	05/01/16	11
SP110-02LU	Confined Spaces Working - LU	05/01/16	6
SP111-01LU	Control of Safety Critical Work-LU	05/01/16	15
SP112-01	Work at Height	05/01/16	5
SP112-02LU	Work at Height - LU	05/01/16	11
SP113-01	Working in Excavations	05/01/16	7
SP113-02LU	Working in Excavations - LU	05/01/16	5
SP114-02	Lifting Operations	05/01/16	6
SP114-02LU	Lifting Operations-LU	05/01/16	6
SP115-01	Substances Hazardous to Health	05/01/16	5
SP115-02LU	Substances Hazardous to Health-LU	05/01/16	7
SP116-01	Manual Handling	05/01/16	6
SP117-01	Display Screen Equipment Assessment & Use.	05/01/16	5
SP118-01	Refusal to Work on Grounds of Health and Safety	05/01/16	5
SP119-01	Lone working	05/01/16	5

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EP200 - 299 Series	Environmental Management Manual & Procedures	Rev	Pages
EMS 00	Environmental Manual	05/01/16	4
EGRB -02	Environmental Guidance & Rule Book	05/01/16	3
EP201-01	Environmental Communications	05/01/16	4
EP202-01	Environmental Aspects Identification	05/01/16	4
EP203-01	Legal and Other Requirements	05/01/16	4
EP204-01	Environmental objectives, targets & programmes	05/01/16	4
EP205-01	Environmental Significance Scale	05/01/16	4
EP206-01	Environmental Significance Register	05/01/16	4
EP207-01	Environmental Emergency Preparedness	05/01/16	4
EP208-01	Environmental Monitoring & Measurement	05/01/16	4
EP209-01	Waste Management	05/01/16	4

PP300 - 399 Series	Personnel Arrangements – Recruitment, Selection & Leaving	Rev	Pages
GP15-01	Medicals & Sickness	05/01/16	2
GP15-02	Disciplinary Procedures	05/01/16	3
GP15-03	Alcohol & Drugs	05/01/16	5
GP010-03	Control of Working Hours	05/01/16	5
GP20	Work Instructions	05/01/16	2
GP20-01	Adverse Weather Response	05/01/16	2
MP099-01	Driving Licence Checks	05/01/16	1

Quality Management Plan

22. Appendix 1 Transport for London Contact Points

Name	Role	Email	Contact No.
Brian Sequeira	Commercial Manager	brian.sequeira@tube.tfl.gov.uk	020 7126 3584
Fouad Loughreit	Maintenance Manager Drainage	fouad.loughreit@tube.tfl.gov.uk	020 7918 6027

23. **Appendix 2 Lanes Group, Rail Division Points of Contact**

Please see our response in Volume 3

24. Appendix 3 List of Procedures

Please see our response to Volume 3.

25. **Appendix 4 Lanes Group Rail Division Authorised Signatures**

Please see our response to Volume 3.

26. **Appendix 5 Detail of our sub-contractors**

Please see our response in Volume 3

27. Appendix 6 Contract Standards & Specifications

London Underground

Contents

1. Purpose and scope
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1. Purpose & scope

The purpose of this procedure is to define the method for carrying out a risk assessments and defining the control measures to provide a safe system of work (SSOW) and a safe place of work.

The aim of carrying a out risk assessment is to identify the hazards that are present either to people in a particular location and/or when carrying our a particular activity and then to define and put in place suitable control measures to prevent ill-health or injury to the people affected by the task or by the location.

This process allows a consistent approach to be applied to the assessment of risks and how those risks are controlled.

2. Definitions & Abbreviations

2.1 The following terms are used in this document

2.1.1 *Competent Person*

A person who has the necessary training, experience and qualifications to competently carry out a risk assessment.

2.1.2 *Reasonably Practicable*

Reasonably practicable means that safety measures should be undertaken, unless the cost, in terms of money, time, and effort, is grossly disproportionate to the safety benefit, expressed in terms of the value of the risk averted by the safety measure.

2.1.3 *Harm*

Physical injury or damage to the health of people, property, or environment

2.1.4 Hazard

A source of potential harm or a situation with a potential for harm.

2.1.5 Risk

The combination of the frequency, or likelihood, of occurrence and the consequence of a specific hazard.

2.1.6 Risk Assessment

The overall process of:

- identifying hazards and estimating the risks to individuals and equipment, and
- Making judgement on the significance and tolerability of the risk.

2.1.7 Risk Rating

The output from an assessment of the likelihood of a hazard being realised and the harm that will result if that hazard is realised. This can be identified as High, Medium or Low.

2.1.8 Risk Control

The process of reducing the risks identified when carrying out the risk assessment.

2.1.10 Safe System of Work

A system of work, that if followed will provide a safe and healthy process for the persons involved and affected by the work.

2.1.11 Extremely harmful

Amputations; major fractures; poisonings; multiple injuries; fatal injuries; occupational cancer; other severely life-shortening diseases; acute fatal diseases.

2.1.12 Harmful

Lacerations; burns; concussion; serious sprains; minor fractures; deafness; dermatitis; asthma; work related upper limb disorders; ill-health leading to permanent minor disability

2.1.13 Slightly harmful

Superficial injuries; minor cuts and bruises; eye irritation from dust; nuisance and irritation (e.g. headaches); ill-health leading to temporary discomfort.

2.2.1 ALARP

As low as reasonably practicable

2.2.2 WRA

Workplace Risk Assessment

2.2.3 SIP

Safety Improvement Plan

2.2.4 COSHH