

Appendix 4

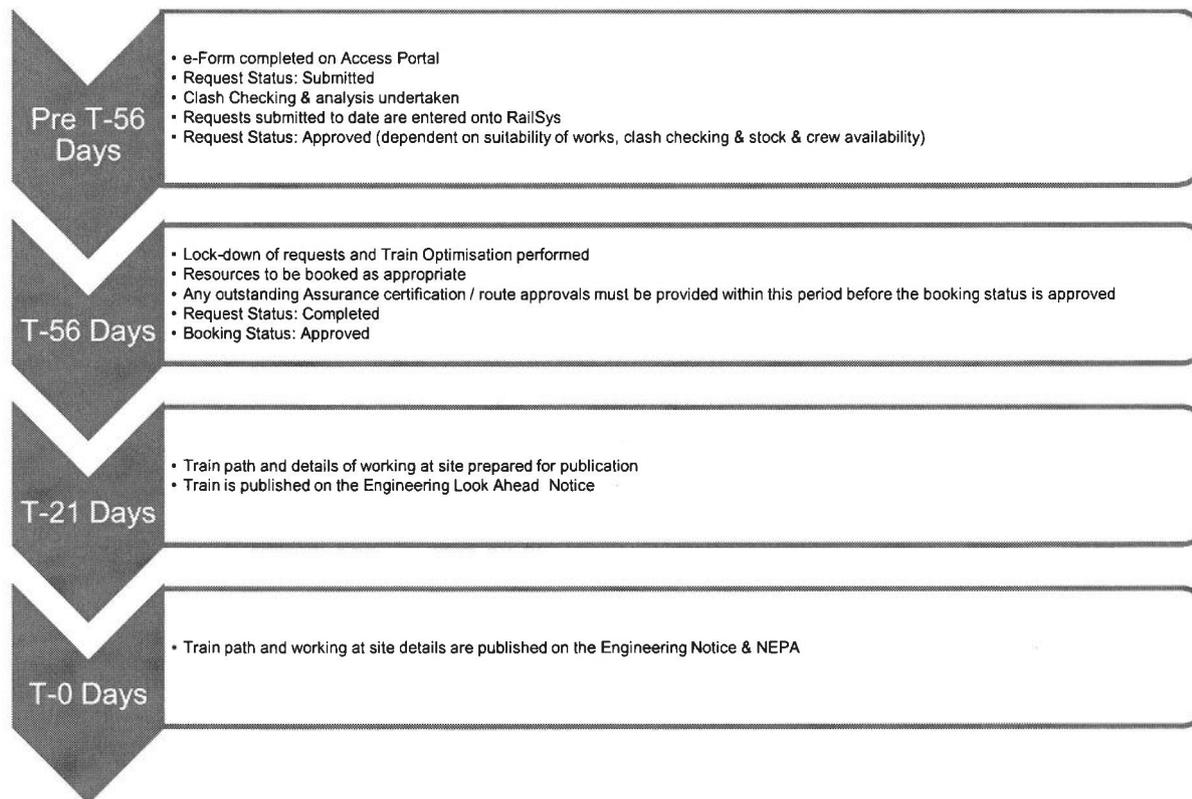
Application to Work Form

| Multi-Worksite Possession Team Application to Work Form | | | | | |
|--|------------------|--|-------------|--|-------------------------------------|
| Date of Application | | | | Week No. | |
| Date of Possession | | | | Week No. | Equivalent Engineering hours shifts |
| Responsible manager for work | Name | | | | |
| | Organisation | | Cost Centre | | |
| | Contact number | | E mail: | | |
| Scope of work: Brief Description | | | | | |
| Chainage | Line(s) Affected | Times Req'd. | Limits | | |
| Worksite Location <small>Lines Affected including EB - WB - IR - OR - NB - SB Limits 1 No. Form For Each Respective Worksite</small> | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Is it Possible to Pass Engineering Trains through your worksite. Ensure all information is correctly entered. | | Yes If Yes, how much notice reqd. to clear site | | No If No, enter justification below | |
| Engineering Trains | | | | | |
| Are Engineering trains working in your worksite | | Yes | | If Yes, how many and which type: | |
| | | No | | | |
| Road Rail Vehicles (RRVs) | | | | | |
| Are EHs Possessions required to Outstable RRVs prior to Closure | | Yes | | Are EHs Possession required to return RRVs following Closure | Yes |
| | | No | | | No |
| Comments | | | | | |
| On Track Plant / machinery | | | | | |
| Are any On Track Plant / machinery Working in your worksite | | Yes | | If yes ensure you enter all information correctly in the respective boxes below | |
| | | No | | | |
| Line(s) Affected | | Access | | Egress | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Resources | | | | | |
| Are any specific resources required for your worksite | | Yes | | if yes ensure you enter all information correctly in the respective boxes below | |
| | | No | | | |
| Are all staff on site Track Accustomed certificated? | | Yes | | | |
| | | No | | If no ensure, adequate time is allocated to clear line(s) of all non cert. staff to allow passage of Engineering train if applicable | |
| Anticipated No of staff in worksite | | | | | |
| Control measures for access to worksite | | | | | |
| Is station Access required | | Yes | No | | |
| Worksite Notification: Date Worksite Notification accessible for review. | | | | | |

Appendix 5

Request Lifecycle for a Train or Motorised Vehicle Request

The timescales for booking an engineering train or other mechanised vehicle is described the in following flow chart.



Note: 'T' indicates the Monday of the week that the train or vehicle is booked to work in.

The process at each stage is summarised as follows:

a. Pre T-56 Days

A Work Request for a train can be submitted by the Applicant at any time prior to T-56 days. All requests will be made by the Applicant comprehensively completing all the requisite screens of the Work Request. The Work Request is the sole means by which Transplant engineering vehicles can be booked and requested and there is provision on the Work Request to provide specific details as to the make-up of each train (if the consist is known). The Access Manager will assist the Applicant as necessary in planning and requesting trains or access for mechanised vehicles.

b. T-56 Days

All planning for engineering trains, train paths or mechanised vehicles must be completed & received by T-56 days, after which train optimisation will be carried out by the Access Manager.

From T-56 days onwards the requested access for an engineering train or mechanised vehicle will be entered onto RailSys and a check for any clashes can be carried out. The Access Manager will update the request's status to 'Completed' if there are no clashes or impediments pertaining to the request at that time. If there is a clash at this stage, the

Access Manager will assess whether the clash is likely to be resolvable by the train optimisation process and will work with the Applicant to identify potential alternative dates.

The Access Manager and Applicant will agree the engineering train paths, confirm the engineering train's method of working at site; access and egress to the worksite for mechanised vehicles and/or personnel, and carry out protection planning.

The Access Manager will update the Booking status to 'Approved'.

c. T-21 Days

At this time the train path, and details of the train or mechanised vehicle's working at site, will be prepared for publication. These details will be included on the Engineering Look Ahead Notice.

d. T-0 Day of the Works

The Engineering Notice is published with full details of the train or mechanised vehicle's path and its working at site.

Network Rail Infrastructure

Notwithstanding the timescales stated above, where engineering trains or other mechanised vehicles are required and which need to be positioned on Network Rail infrastructure in order to deliver the Works, a Work Request for the provision of such vehicles shall be submitted to the Access Manager before T-365. The Access Manager will advise the applicable timescales for confirmation of booking following consultant with Network Rail.

Appendix 7

Curtailed or Delayed/Curtailed Access Form

| London Underground | | | | | | | | | | | | | |
|---|---|--------------------------------------|---|--|--------------------------------|--|--|--|--|--|---|--|--|
| Frustrated Access (Cancelled / Delayed / Curtailed) Form | | | | | FAC-001 v1 | | | | | | | | |
| Directorate: | | | Upgrade / Asset Group: | | | | | | | | | | |
| Project / Work Title: | | | Project Id / Work Order / Job Ref. | | | | | | | | | | |
| Line: _____ | | | Unique Ref.: _____ | | | | | | | | | | |
| Access Affected: <small>(tick one)</small> | | Cancelled: <input type="checkbox"/> | | Delayed / Curtailed: <input type="checkbox"/> | | | | | | | | | |
| Date: <small>(shift start)</small> | | Day: ____/____/____ | | Night: <small>start</small> ____ - <small>end</small> ____/____/____ | | | | | | | | | |
| Access Authority Details: <small>(must be valid)</small> | | | | | | | | | | | | | |
| Booking Ref. (1): <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 15px;"></td><td style="width: 20px; height: 15px;"></td></tr></table> | | | | | | | | | | | PICER Ref <small>(copy required)</small> _____ | | |
| | | | | | | | | | | | | | |
| Booking Ref. (2): <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 15px;"></td><td style="width: 20px; height: 15px;"></td></tr></table> | | | | | | | | | | | Access Type: TRACK / STATION / OTHER <small>(Circle as applicable)</small> | | |
| | | | | | | | | | | | | | |
| <small>All details Mandatory</small> | | | | | | | | | | | | | |
| Access Location <small>(or Code):</small> | | | Work Location or Code <small>(+ SB/NB/EB/WB):</small> | | | | | | | | | | |
| Station Supervisor Name: | | | Track Current Sections Booked Out <small>(ref required):</small> | | | | | | | | | | |
| Work to be done <small>(brief details)</small> | | | | | | | | | | | | | |
| Time Booked on Station: | | Time Booked on with TAC: | | Call Back Time given by TAC: | | | | | | | | | |
| Planned Start time: | | Actual Start time: | | Total Shift or Time Lost: | | | | | | | | | |
| Planned finish time: | | Actual finish time: | | TAC Ref. No: | | | | | | | | | |
| Reporters Details: <small>(mandatory)</small> | | | | | | | | | | | | | |
| Name: | | Company: | | Contact No.: | | | | | | | | | |
| | | | | Email: | | | | | | | | | |
| LU Accountable Manager Details: | | | | | | | | | | | | | |
| Name: | | Directorate / delivery Group: | | Contact No.: | | | | | | | | | |
| | | | | Email: | | | | | | | | | |
| Contractors / Sub-Contractors affected: <small>(mandatory)</small> | | | | | | | | | | | | | |
| Contractor | Ops in work Party (no.) | Contractor | Ops in work Party (no.) | Contractor | Ops in work Party (no.) | | | | | | | | |
| | | | | | | | | | | | | | |
| Cause of Lost Time / Shift <small>(mandatory)</small> | | | | | | | | | | | | | |
| Engineers Train | Train ref. no. | Was train published in ENLA? | If so, which no? | Was Train published in Eng Notice? | If so, which no? | | | | | | | | |
| Y/N | Reason for late running (if known) | | | | | | | | | | | | |
| Passenger Train | Train ref. no. | Line | Direction (circle one) | Destination | | | | | | | | | |
| Y/N | | | SB / NB / EB / WB | | | | | | | | | | |
| Reason for late running (if known) | | | | | | | | | | | | | |
| Other Contractor | <input type="checkbox"/> | Name | | | | | | | | | | | |
| LU Supervisor | <input type="checkbox"/> | Name | | | | | | | | | | | |
| Late Book on TAC | <input type="checkbox"/> | Details | | | | | | | | | | | |
| Early call back TAC | <input type="checkbox"/> | | | | | | | | | | | | |
| Other | <input type="checkbox"/> | | | | | | | | | | | | |
| Signature of station supervisor | | | | Was further investigation completed by DGE / DOME? | | | | | | | | | |
| | | | | Y / N | | | | | | | | | |

This form must be faxed to XXXXX or emailed to XXXX

Appendix 8

Access Subcategories

| Station works | | | |
|-----------------------------------|---|------|--|
| Access Type | Booking Description | Days | Work Type Description |
| Self Service Access | Self Service Access | 0 | For undertaking the majority of everyday access needs, using relevant tools and materials. Not to be used for works that imposes a restrictive or exclusive requirement on other access users. |
| Non Restrictive/ Exclusive Access | Non Restrictive/ Exclusive Access (non Track) | 14 | For undertaking everyday access needs, using relevant tools and materials within a defined area |
| Restrictive Access | Restrictive - Asbestos Site | 21 | Only issued to specialist Asbestos contractors registered with LU for asbestos works. Access for asbestos works e.g. removal for which no other parties can be present on grounds of safety. |
| | Restrictive - Bright Lights | 21 | For where access introduces the use of additional lighting that could potential impact other access users. Rarely applied. |
| | Restrictive - Closure Area | 21 | To define an area of a station subject to a Closure (i.e. taken out of service for the purposes of engineering works). |
| | Restrictive - Movement of Materials | 21 | For where access necessitates the movement of materials either through a station that may impact on other access users. May include craning over of materials. |
| | Restrictive - Noisy Works | 21 | For where access will result in particularly noisy works that may have an impact on other access users. |
| | Restrictive - Plant / Chemicals in a confined space | 21 | For where access introduces the use of plant and chemicals in a confined space . Rarely used. |
| | Restrictive - Power Cessation- Power Outages Possible | 21 | For where access will introduce a cessation of power that may impact other access users (e.g. need for temporary supplies/portable lighting). |
| Exclusive Access | Exclusive – Asbestos Exclusion Zone | 21 | Only issued to specialist Asbestos contractors registered with LU for asbestos works. Access for asbestos works e.g. removal for which no other parties can be present on grounds of safety |

| Track | | | |
|-----------------------------------|---|-------------|--|
| Booking Description | Booking Description | Days | Work Type Description |
| Self Service Access | Self Service Access | 0 | For undertaking the majority of everyday access needs, using relevant tools and materials. Not to be used for works that imposes a restrictive or exclusive requirement on other access users. |
| Non Restrictive/ Exclusive Access | Non Restrictive/ Exclusive Access (Track) | 14 | For undertaking everyday access needs, using relevant tools and materials within a defined area |
| Restrictive | Restrictive - Allied Track | 56 | To define an area of track used in conjunction with, or subject to impact from, another access booking e.g. unloading of materials from a train booked under an Exclusive Specified Area. |
| | Restrictive - Asbestos Site | 56 | Only issued to specialist Asbestos contractors registered with LU for asbestos works. Access for asbestos works e.g. removal for which no other parties can be present on grounds of safety. |
| | Restrictive - Bright Lights | 56 | For where access introduces the use of additional lighting that could potential impact other access users. Rarely applied. |
| | Restrictive - Closure Area | 56 | To define an area of the LU railway subject to a Closure (i.e. taken out of service for the purposes of engineering works). |
| | Restrictive - Motorised Trolley | 56 | For the operation of a motorised track trolley on the railway. |
| | Restrictive - Movement of Materials | 56 | For where access necessitates the movement of materials either on, over or adjacent to the LU railway that may impact on other access users. May include craning over of materials. |
| | Restrictive - Noisy Works | 56 | For where access will result in particularly noisy works that may have an impact on other access users. |

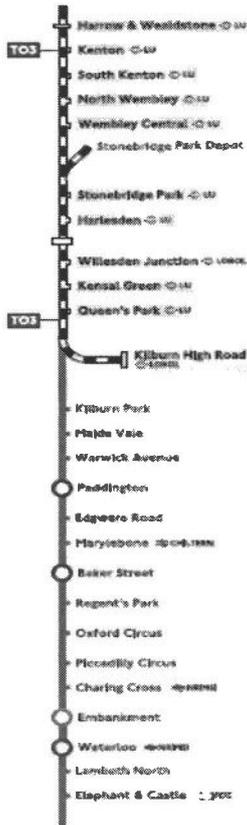
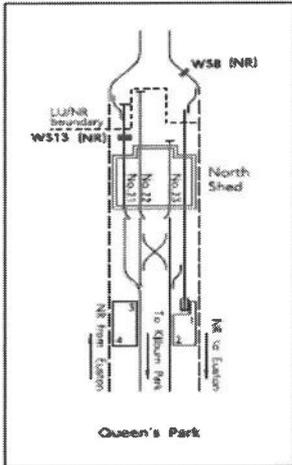
| Track | | | |
|----------------------------|---|-------------|--|
| Booking Description | Booking Description | Days | Work Type Description |
| | Restrictive - Out-stabled Trains | 56 | To define an area of the LU railway where a service train is stabled (normally in platforms/sidings). May restrict the type of works that can be performed adjacent to this location. |
| | Restrictive - Plant / Chemicals in a confined space | 56 | For where access introduces the use of plant and chemicals in a confined space (e.g. platform invert). Rarely used. |
| Restrictive Cont'd | Restrictive - Power Cessation- Power Outages Possible | 56 | For where access will introduce a cessation of power (e.g. tunnel lighting, supply points) that may impact other access users (e.g. need for temporary supplies/portable lighting). |
| | Restrictive - Protection Area | 56 | To define an area of track used as a protecting or 'buffer' zone. Used in conjunction with another Exclusive booking e.g. Specified Area, Possession. |
| | Restrictive - Sub Station Works | 56 | Primarily for the use of LU Power teams requiring access to sub stations supplying power to the LU traction current system. |
| | Restrictive - Wheels Free Zone | 56 | For works that require the running rails to be free of electrically conducting plant or equipment e.g. trolleys, trains etc. Usually used for works requiring isolation of the signalling circuits e.g. commissioning. |
| Exclusive | Exclusive | 56 | For works necessitating sole access of the LU railway, and not more appropriately catered for under other categories herein. Only used sparingly and for short durations due to its restrictive nature on other works. |
| | Exclusive - Asbestos Exclusion Zone | 56 | Only issued to specialist Asbestos contractors registered with LU for asbestos works. Access for asbestos works e.g. removal for which no other parties can be present on grounds of safety. |

| Track | | | |
|----------------------------|---|-------------|--|
| Booking Description | Booking Description | Days | Work Type Description |
| | Exclusive - Current Rail Resistance Measurements | 56 | Primarily for the use of LU Power teams requiring controlled current measurements of the traction current delivery system. |
| | Exclusive - Engineers' Current Area | 56 | For the running of engineering vehicles on live traction current in accordance with the Rule Book. |
| | Exclusive - Possession | 56 | For the exclusive control of access to a given area of the railway. Traction current may be on or off. May involve the use of engineering trains, RRVs etc. As defined in the Rule Book |
| | Exclusive - Running on current, moving according to signals | 56 | For the running of vehicles on live traction current obeying LU signalling systems (e.g. test trains). Often referred to as 'Cancelled Engineering Hours'. As defined in the Rule Book. |
| Exclusive Cont'd | Exclusive - Specified Area | 56 | For the running of engineering machines e.g. trains, RRVs on the railway. As defined in the Rule Book |
| | Exclusive - Traction Current Switching During Eng Hrs | 56 | For access that requires traction current to be switched on and off intermittently during the engineering hours shift. Primarily used in relation to power supply testing/commissioning etc. |

Appendix 9
Network Rail Interface Locations

Bakerloo line

TOS Harrow & Wealdstone to Kibburn High Road via Queen's Park Track Agreement. LU & Network Rail's customer for track, signaling and traction current. These are shared with LOROL which also has an Agreement with Network Rail.



Station Agreements between Harrow & Wealdstone and Kibburn High Road via Queen's Park, including Willesden Junction LU & the Station Facility Owner.

LU's access to Stonebridge Park is via Network Rail track. There is an end-on track interface between LU and Network Rail track at the depot entrance.

There are end-on track interfaces between LU and Network Rail at the North end of the LU Queen's Park North Shed. LU and Network Rail tracks also run parallel through Queen's Park Station.

The route from Queen's Park to Kibburn High Road station is provided under Track Agreement TOS for reversing the service in emergency only.

Richmond Depot: Network Rail owned station with BFO, may be other TOS
TOS Track Agreement
 Location of Track Agreement

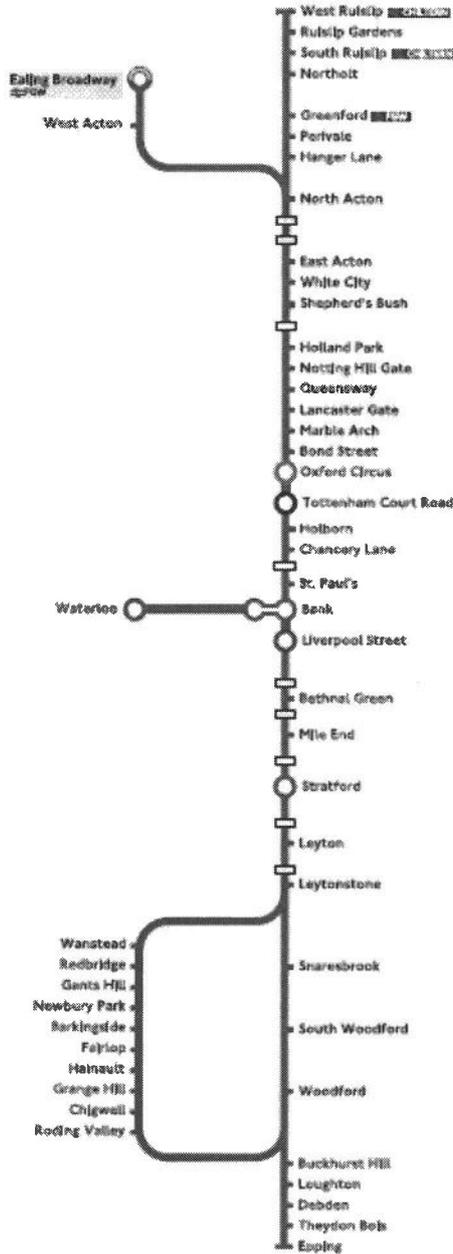
Created 30 March 2013

For details of Land and Property boundaries refer to Site Specific Engineering arrangements LNW-S, SE-S and WN-S

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Central line

Ealing Broadway - Station Agreement:
FGW is the Station Facility Owner.
LU is the customer but owns the
Central and District line platforms.



West end South Ruislip - Station Agreements:
LU is the station owner. Chiltern Railways is
LU's customer but manages its own platforms.

Greenford - Station Agreement: LU is the station
owner. FGW is LU's customer.
Network Rail owns the track to the day platform.

Richmond-GW Network Rail owned station with SFO may be other TOC's

TOC Track Agreement

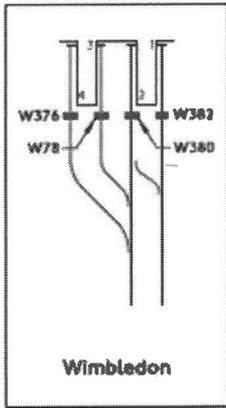
--- Location of Track Agreement

Created: 31 March 2012

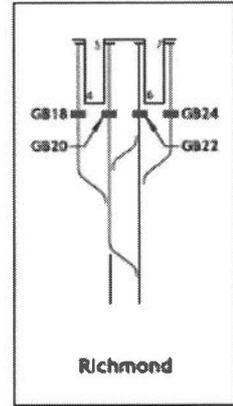
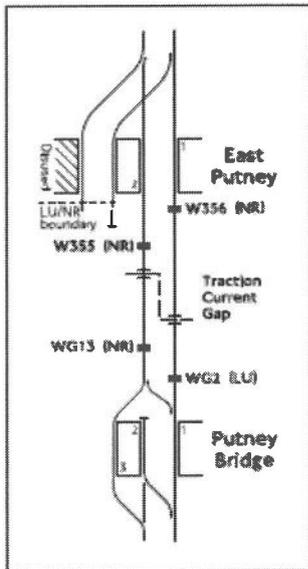
For details of Land and Property boundaries
refer to Site Specific Engineering arrangements
GW-C, ML-C and SE-C

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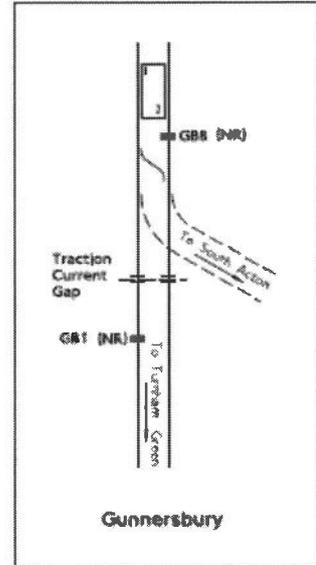
District line



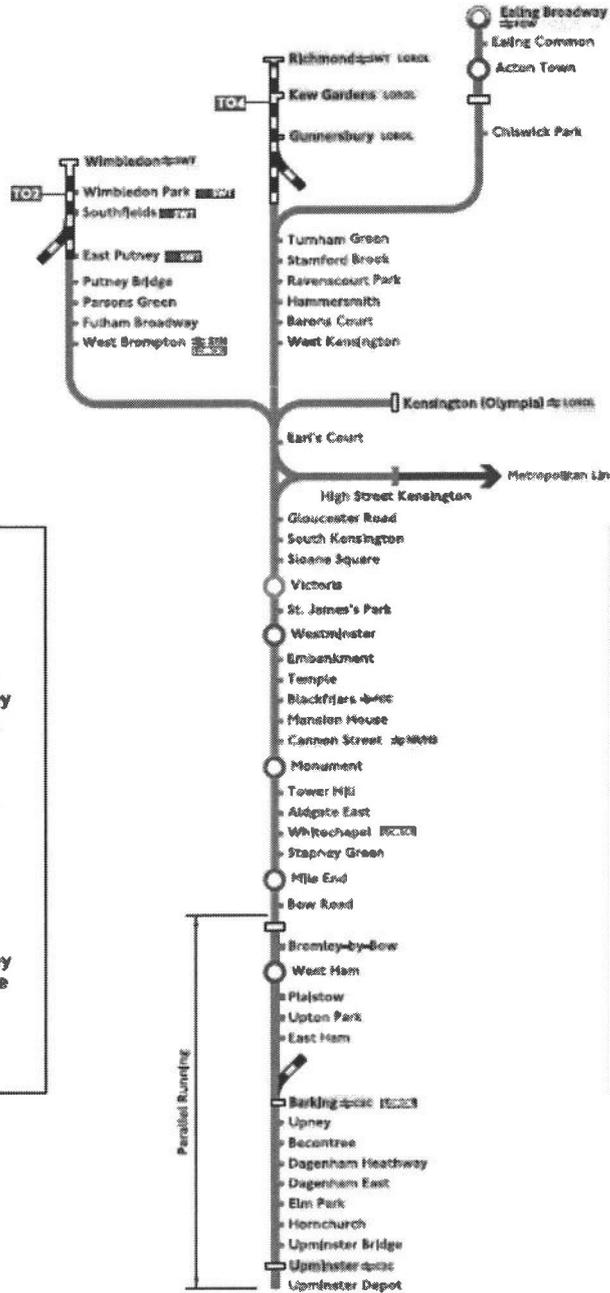
TO2 East Putney to Wimbledon Track Agreement. Gives South West Trains a diversionary and empty stock route. Network Rail supplies the traction current and signal operation but is LU's customer for track.



Kensington Olympia - Station Agreement. LOROL is the Station Facility Owner. LU is the customer.



Barking and Upminster - Station Agreements. CXC is the Station Facility Owner. LU is the customer.



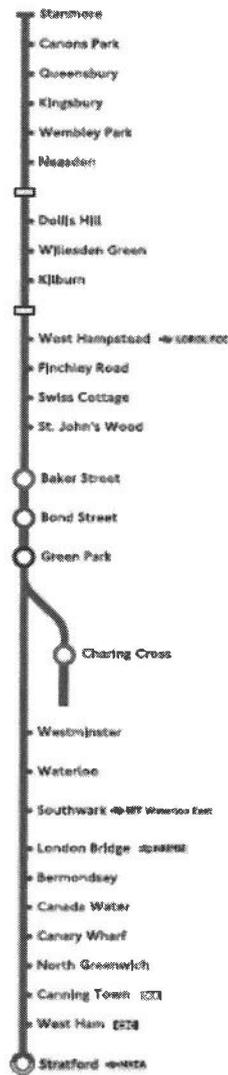
Richmond (TO4) Network Rail owned station (NR SFO, may be other TOCs)

TO2 Track Agreement

TO4 Location of Track Agreement

For details of Land and Property boundaries refer to Site Specific Engineering arrangements SE-D and WH-D

Jubilee line



Canning Town - Station Agreement. LU is the Station Facility Owner. The Docklands Light Railway's access is covered by a lease but LU provides extra station services.

West Ham - Station Agreement. LU is the station facility owner. CSC is the customer but manages its own platforms.

Stratford - Station Agreement. High level platforms and subways. M&EA are the Station Facility Owner. LU (Central line) is the customer, but staff Central line platforms.

| | |
|-----------------|--|
| Richmond | Network Rail owned station with SFO, may be other TOCs |
| TOA | Track Agreement |
| — | Location of Track Agreement |

Created: 30 March 2013

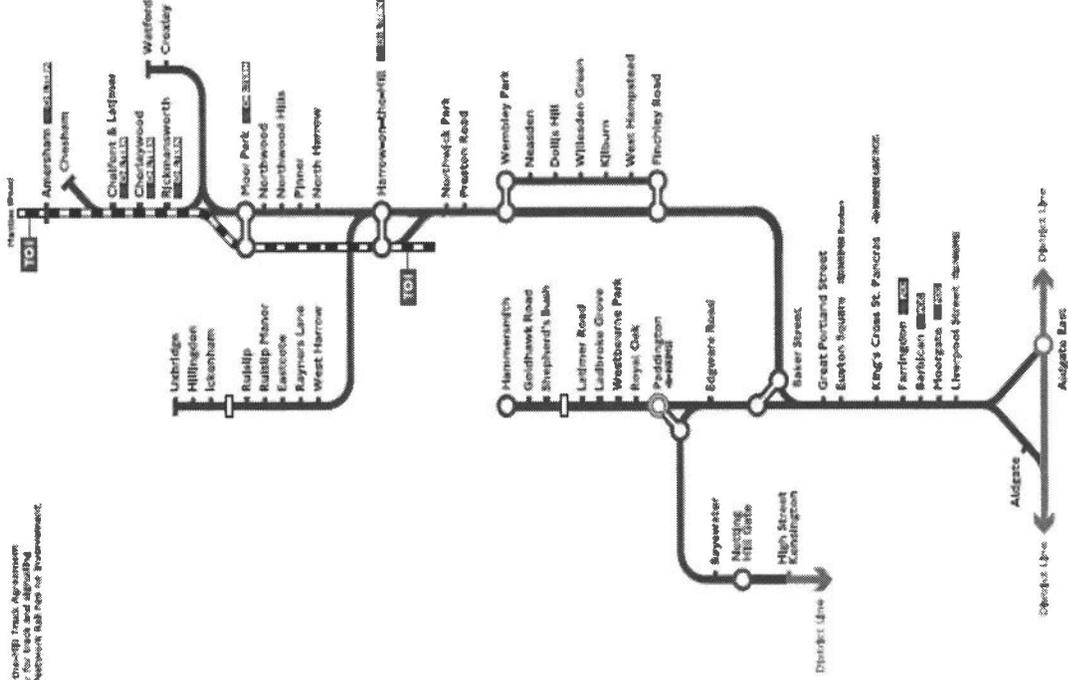
For details of Land and Property boundaries refer to Site Specific Engineering arrangements SE-J and LNW-J

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Metropolitan line

TO1 - Harrow Wood - Harrow-on-the-Hill Track Agreement
 Chiltern Railway & LU's customer for track and signalling
 over the Metropolitan main line. Network full top to bottom.

London Agreements between Amersham and
 Harrow-on-the-Hill. LU is the station facility
 owner. Chiltern Railway is the customer.
 Chiltern uses Harrow-on-the-Hill only.



Farrington and Moorgate - Station Agreements
 LU is the Station Owner. FCL is the customer. It
 provides and provides its own platform.

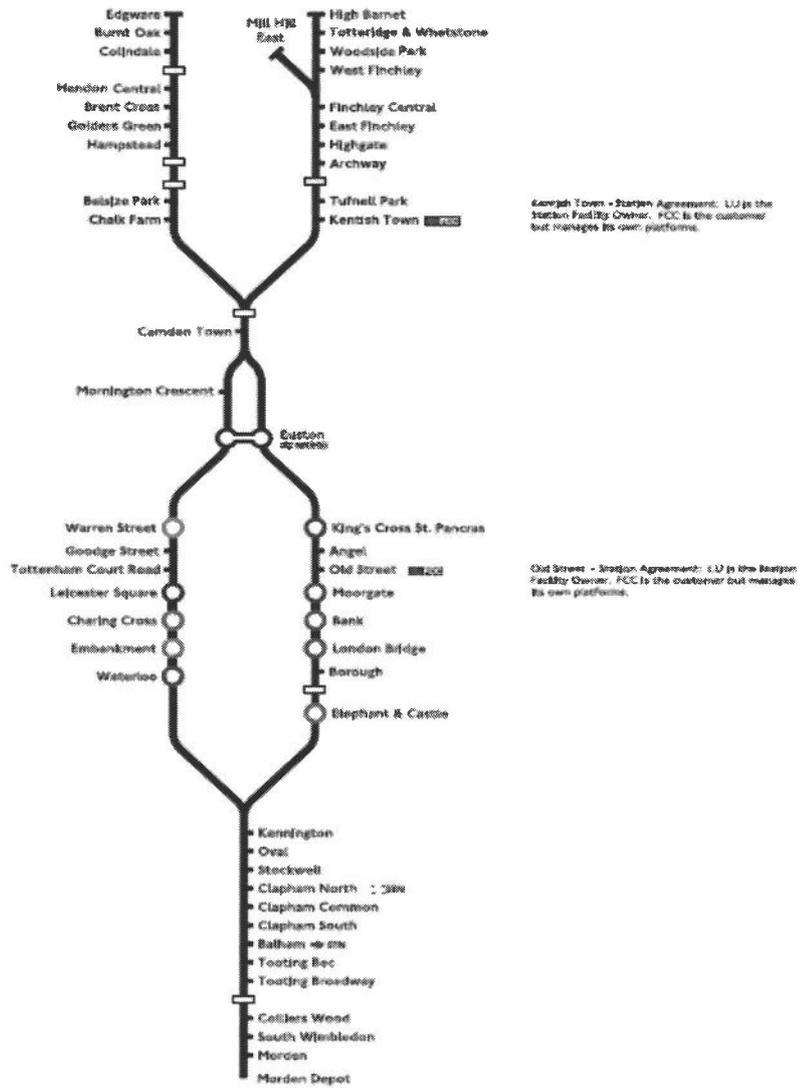
NetworkRail: Network full cover station with SFO. May be other TOC's
 TO1
 Track Agreement
 Location of Track Agreement

For details of Land and Property boundaries
 refer to Site Specific Engineering arrangements
 LNE-M, LNW-M, SE-M and WN-M

Created 30 March 2013

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Northern line



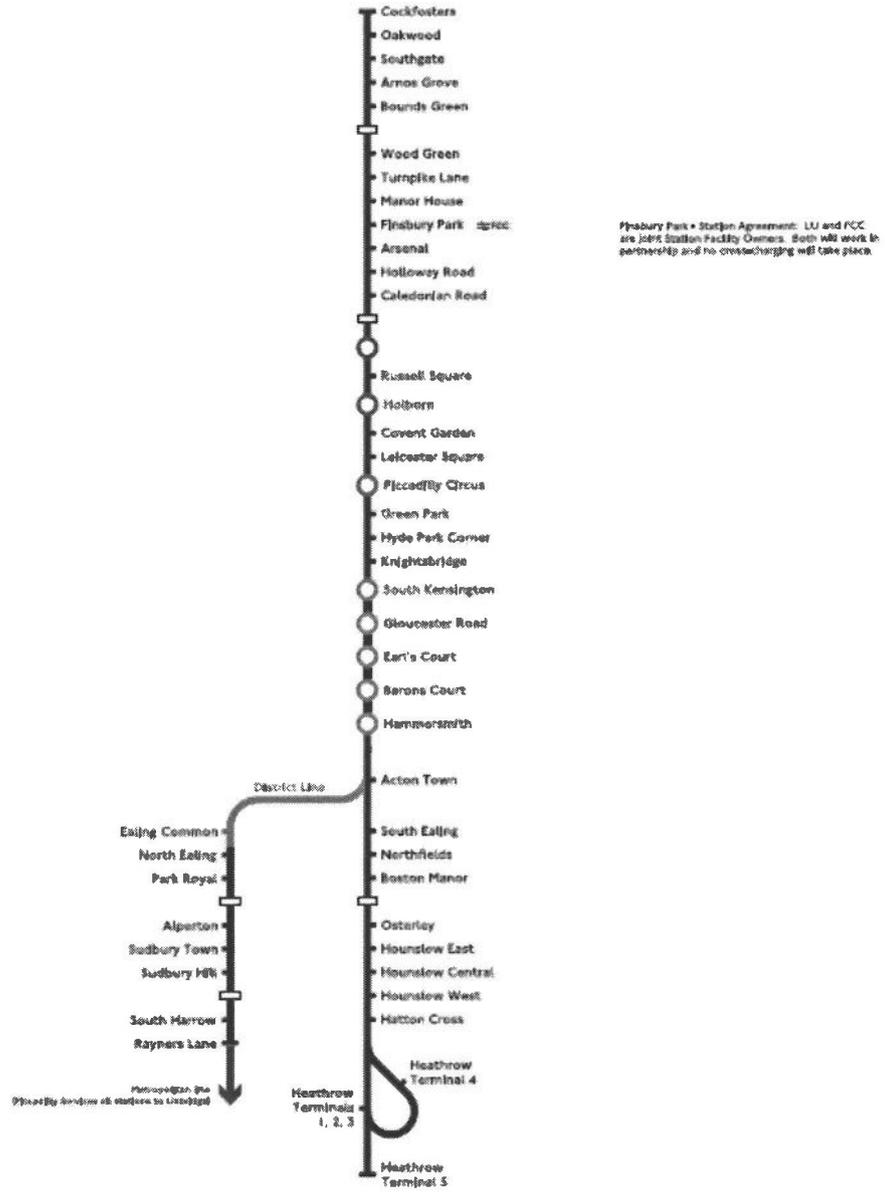
Richmond-paw: Network Rail owned station with SFO, may be also: FCC's
 Track Agreement
 Location of Track Agreement

Created: 30 March 2012

For details of Land and Property boundaries refer to Site Specific Engineering arrangements LNE-N, LNW-N and SE-N

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Piccadilly line



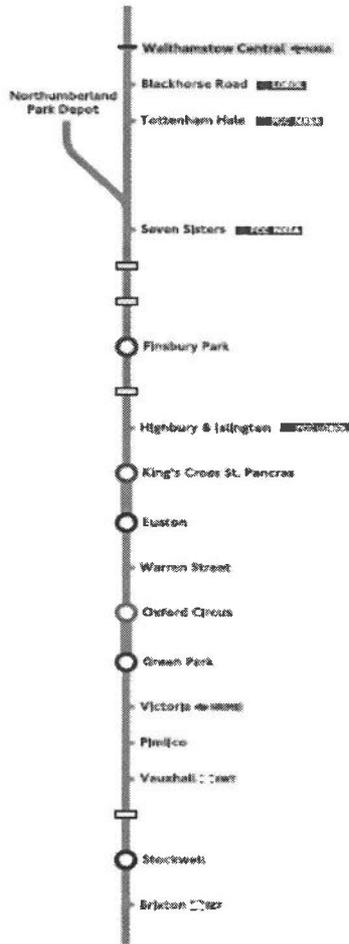
Richmond (TW9) Network Rail owned station with SFO. may be other TOC's
 TOC Track Agreement
 Location of Track Agreement

Created: 30 March 2012

For details of Land and Property boundaries refer to Site Specific Engineering arrangements LNE-P, LNW-P, SE-P and WN-P

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Victoria line



Walthamstow Central - Station Agreement: NKEA is the Station Facility Owner, LU is the customer but owns its own part of the station at sub surface level.

Blackhorse Road - Station Agreement: LU is the Station Facility Owner, LOROL Train Services is the customer but manages its own platforms.

Tottenham Hale and Seven Sisters - Station Agreement: LU is the Station Owner, NKEA is the customer but manages its own platforms.

Highbury & Islington - FCC is the Station Facility Owner for all deep level platforms, LU is the Station Facility Owner for the LOROL Train Services platforms. All other parts of the station are owned by LU.

Richmond 1997 Network Rail owned station (with SFO, may be other TOC's)

TOS Track Agreement

--- Location of Track Agreement

Created: 20 March 2013

For details of Land and Property boundaries refer to Site Specific Engineering arrangements LNE-V, LNVA-V and SE-V

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Appendix 10

Charges for the Company's Engineers Trains

Standard charges for prevailing in financial year 1st April 2018 to 31st March 2019

| Class/ Code | Description | Standard 2015/15 Charge |
|----------------|--|-------------------------|
| A | Class A Non-coupling Train | £6,300 |
| B | Class B Long Welded Rail Train | £14,200 |
| C | Class C Uncoupling train with loading gang | £11,600 |
| D | Class D Uncoupling train without loading gang | £8,700 |
| E | Class E Ballasted Track Replacement including T3 (price for weekend) | £229,000 |
| H | DISAB (Ballast Sucker) 8 hour shift | £10,800 |
| L | Technical and Operational Support (8 hour) per person | £580 |
| LG | Loading gang 8hr shift (up to 5 operatives) | £2,900 |
| M | Technical and Operational Support per hour per person | £71 |
| P | Crane, Roll Loader, Track Relaying Machine | £3,000 |
| T1 | Plain Line/ P&C Tamper 8hr shift | £8,300 |
| T2 | Plain Line/ P&C Tamper 12hr shift | £11,400 |
| T3 | Plain Line/ P&C Tamper 8hr shift in train formation | £12,800 |
| T4 | Plain Line/ P&C Tamper 12hr shift in train formation | £15,200 |

SCHEDULE 7: CONTRACT VARIATION PROCEDURE

1. Without prejudice to paragraph 3 below, the cost of any Variation Order shall be agreed between the Parties taking account of the reasons why the Variation Order was required.
2. The Company may propose a variation by completing Appendix 1 (Form of Variation Proposal/Variation Order) of this Schedule 7 and supplying three (3) copies of it to the Supplier. Within five (5) Working Days of receipt, or such other time as may be agreed by the Company, the Supplier shall complete Part B of the Variation Proposal and shall supply two (2) copies of the Variation Proposal to the Company. The Company shall be entitled, at any time within twenty (20) Working Days of receipt, to instruct and authorise the Supplier to proceed with the variation on the terms so set out by each Party by completing and signing Part C of one (1) copy of the Variation Proposal (which, following such signature, will be referred to as a "Variation Order") and supplying such Variation Order to the Supplier. The relevant part(s) of this Framework Agreement or the relevant Call-Off Contract shall thereupon be varied accordingly.
3. For the avoidance of doubt, the Supplier shall carry out the variation in accordance with the Variation Order on the terms determined by the Company and such variation shall commence no later than five (5) Working Days (unless otherwise instructed by the Company) following receipt of the signed Variation Order by the Supplier. Where the terms are not agreed by the Supplier, or where the Supplier fails to provide Part B of the Variation Proposal to the Company within the timescales set out in paragraph 2 above, the variation shall be deemed to be agreed and the Supplier shall proceed, at the request of the Company, to implement the variation in accordance with the specified terms within five (5) Working Days (unless otherwise instructed by the Company) of receipt of the original Variation Proposal by the Supplier. Where such Variation Order is disputed by the Supplier, the Supplier may refer this to the dispute resolution procedure pursuant to Schedule 14 (Dispute Resolution Procedure) but is required to implement the variation pending the outcome of the Dispute.
4. The Supplier may propose a variation, after requesting the issue by the Company of a Variation Proposal variation number, by completing Parts A and B of a Variation Proposal and supplying two (2) copies of it to the Company. The Company shall be entitled, at any time within twenty (20) Working Days of receipt, to instruct the Supplier to proceed with the variation on the terms so set out by the Supplier by completing and signing Part C of one (1) copy of the Variation Proposal (which, following such signature, will be referred to as a "Variation Order") and supplying such Variation Order to the Supplier. The relevant part(s) of this Contract shall thereupon be varied accordingly.
5. The Supplier may indicate in a Variation Proposal that the price is an estimated price but, if it does so, it shall supply a firm price to the Company in writing at least five (5) Working Days before the expiry of the time within which the Company is entitled to instruct the Supplier to proceed with the variation.
6. In all Variation Proposals, the Supplier shall ensure that:
 - 6.1 the price indicated by the Supplier is the full price and shall cover all costs associated with the variation;
 - 6.2 if appropriate, a range of prices is shown corresponding to the extent of the Services to be carried out; and

- 6.3 the Variation Proposal includes such further information as may reasonably be required by the Company.
7. In an Emergency, both Parties shall use their reasonable endeavours to expedite the actions permitted or required under the Contract Variation Procedure.
8. The Company will not accept any retrospective claims for additional work caused by a variation which has not been approved by the Company in accordance with the Contract Variation Procedure before the commencement of such additional work.
9. All authorised additional work resulting from any Variation Proposal shall be priced in accordance with any applicable rates set out in Schedule 4 (Prices and Charging Structure).
10. The Supplier shall at all times act reasonably and shall price each Variation Proposal at the least possible additional cost to the Company that it is reasonably and economically practicable for the Supplier to offer and which has the least possible impact on the terms of this Framework Agreement and the relevant Call-Off Contract, including but not limited to, the Specification.
11. Strict adherence to the procedure described in this Schedule 7 (Contract Variation Procedure) shall be a condition precedent to any addition to the Contract Price for the Services. If the Supplier does not adhere to each paragraph in this Schedule 7 then the Supplier shall not be entitled to any addition to the Contract Price notwithstanding that the Supplier may have supplied additional or varied Services.

APPENDIX 1: FORM OF VARIATION PROPOSAL/VARIATION ORDER

| | |
|------------|--------------|
| To: | From: |
|------------|--------------|

[Call-Off Contract]/[Framework Agreement] Reference:
Variation Number:
Variation Title:

PART A (TO BE COMPLETED BY THE ORIGINATOR OF THE VARIATION ORDER)

Description of change:

Reason for changes and impact (if any) on Framework Agreement / Call-Off Contract:

| | |
|--|-----------------------|
| Variation Proposal Authorised by: | Proposal Date: |
|--|-----------------------|

PART B (TO BE COMPLETED BY THE SUPPLIER)

| | |
|---|--|
| Price Breakdown Note: If a further breakdown is needed please append details as a separate sheet. | |
|---|--|

| | |
|--------------------------------|--|
| Expected Delivery Date: | |
|--------------------------------|--|

| | |
|--|--------------------|
| Supplier's Representative: | |
| Print Name: Signature: | Date: |

| | |
|---|--|
| Completed document to be returned to the Company's Representative | |
|---|--|

PART C (TO BE COMPLETED BY THE COMPANY'S REPRESENTATIVE)

Comment on Parts A and B:

| | |
|---|--------------------|
| Variation Authorisation Company's Representative: | |
| Print Name: Signature: | Date: |

SCHEDULE 8: HEALTH, SAFETY, QUALITY AND ENVIRONMENTAL REQUIREMENTS

SCHEDULE 8: HEALTH, SAFETY, QUALITY AND ENVIRONMENTAL REQUIREMENTS

PART A: HEALTH & SAFETY

- 1. Summary
- 2. Not Used
- 3. LUL Health & Safety (QUENSH)

PART B: QUALITY

PART C: ENVIRONMENTAL REQUIREMENTS

SCHEDULE 8 PART A: HEALTH & SAFETY

The Supplier shall be able to demonstrate, upon the Company's request that they have not been issued with any enforcement notices within the previous three years (improvement notices and prohibition notices) and have not been subject to prosecution for breaches of health and safety or environmental legislation.

The Supplier shall ensure that a copy of the Supplier's current HSE licence is submitted and updated as required for the duration of this Framework Agreement and any call-off contract. The Supplier has a duty to formally advise the Company if at any time this licence is withdrawn or restricted in any way

1. SUMMARY

1.1 POLICY

At all times the Supplier shall have and shall maintain an appropriate health and safety policy ("Health & Safety Policy") which outlines a commitment to the prevention of injury, ill health and continual improvement by establishing, implementing and maintaining a programme for achieving its objectives which includes:

- Designation of responsibility and authority for achieving objectives at relevant functions and levels
- The means and time-frame by which the objectives are to be achieved
- The objectives shall include commitments to the prevention of injury and ill health, compliance with applicable legal requirements and with other requirements to which the organization subscribes, and to continual improvement

The Supplier shall demonstrate commitment by ensuring the availability of resources essential to establish, implement, maintain and improve occupational health and safety.

1.2 ORGANISATION

1.2.1 Control

The Supplier shall define roles and allocate responsibilities and accountabilities to facilitate effective health and safety management and shall ensure that persons in the workplace take responsibility and are accountable for the aspects of occupational safety and health over which they have control.

1.2.2 Competency and Training

The Supplier shall ensure that any persons under its control are competent on the basis of appropriate education, training or experience. It shall provide training or take other action to meet these needs, evaluate the effectiveness of the training or action taken, and retain associated records.

The Supplier shall designate sufficient competent staff, subject to the approval of the Company's Representative or designated deputy, to support the Supplier to assist him them in undertaking the measures they need to take to comply with the requirements and prohibitions imposed upon them by or under the relevant statutory provisions as detailed in the Management of Health and Safety at Work Regulations 1999 regulation 7 or any subsequent amendments.

As a guide, the level of competency can be assumed to be a higher (Diploma level) qualification accredited by the Qualifications and Curriculum Authority or the Scottish Qualifications Authority.

1.2.3 Communication and Consultation

The Supplier shall establish, implement and maintain procedures for effective communication both internally and with other suppliers, visitors and interested parties.

The Supplier shall establish, implement and maintain a procedure for the participation of workers in respect of hazard identification, incident investigation and development and review of health and safety policies and objectives.

The Supplier shall consult and ensure workers are represented on occupational health and safety matters. Workers shall be informed about their participation arrangements, including who is their representative.

1.3 ARRANGEMENTS FOR ASSESSING AND MANAGING RISK

1.3.1 The Supplier shall issue health and safety procedures and associated documentation, the format and content of all documentation and procedures being subject to approval of the Company.

1.3.2 The Supplier shall establish, implement and maintain a procedure for the ongoing hazard identification, risk assessment, and determination of necessary controls. The Supplier's methodology for hazard identification and risk assessment shall be defined with respect to its scope, nature and timing to ensure it is proactive rather than reactive and provide for the identification, prioritization and documentation of risks and the application of controls. They shall be:

- When determining controls, the Principles of Prevention (detailed in the Management of Health and Safety at Work Regulations 1999, regulation 4) should be applied
- The contractor shall document the significant risks and display the assessment and method statement at point of works.
- The Supplier shall keep the results of hazard identification, risk assessments and control measures up-to-date

1.3.3 The Supplier personnel and any sub-contracted personnel shall hold a current and approved health and safety certification (for example an approved industry certification such as the CSCS card) in order to undertake works on anypart of the TfL Network and Sites . The Supplier shall appoint a person with overall responsibility for managing health and safety when undertaking operational maintenance activities and other associated property works including verification and certification works and the operation of a permit to work system.

1.4 MONITORING AND REVIEW

The Supplier shall review their safety management system at regular and planned intervals, and adjusted as necessary, to ensure that the objectives set in the Supplier's Health & Safety Policy are achieved.

1.4.1 The Supplier shall develop implement and maintain monitoring and measuring processes including but not limited to:

- Independent auditing
- Workplace inspections
- Regular meetings and communications at all levels
- Feedback to staff regarding health and safety concerns

1.4.2 Incident Investigation

The Supplier shall establish, implement and maintain a procedure to record, investigate and analyse safety incidents in order to:

- Determine the root cause of the incident (management failings) and the subsequent underlying occupational health and safety deficiencies/other factors that contributed to the incident
- Identify the need for corrective and preventative action and opportunities for continual improvement
- All incidents occurring on TfL premises are to be reported to the Company using the TfL Accident and Incident Reporting Systems
- In respect of serious incidents which have (or could have) resulted in significant injury or property damage and those incidents where enforcement authorities are involved or have been informed, the Supplier shall ensure that procedures exist to ensure that TfL are informed immediately
- The results of incident investigations shall be documented and maintained and reported to TfL at least quarterly

- The Supplier will fully cooperate and liaise with the Company's Representative and any other parties regarding investigation into incidents in compliance with the Company's requirements.

1.4.3 The Company reserves the right to stop any works, operations or actions of the Supplier's personnel or sub-contractors, if in the opinion of the Company or his representative, the manner in which these are being undertaken constitutes a risk to the safety and or health of persons or damage to property.

1.4.4 When establishing and reviewing its objectives, the Supplier shall consider its technological options, its financial, operational and business requirements, and the views of relevant interested parties.

1.5 AUDIT

1.5.1 The Supplier shall ensure that all processes in respect of safety and health are in place during the life of the contract are documented and made available for inspection and/or audit by the Company or its representatives at all times.

1.5.2 The Company shall have the right to conduct or commission an audit of the Suppliers' health, safety, quality, and environmental management system and activities at any time.

SCHEDULE 8 PART A: HEALTH AND SAFETY

2. NOT USED

SCHEDULE 8 PART A: HEALTH AND SAFETY

3. LUL HEALTH & SAFETY (QUENSH)

| Applicable requirements identified by Client | | | | Applicable requirements identified by Supplier | |
|--|---|----------------------------|----------|--|--|
| Section | Topic | Other documents / Comments | Y / N | Y / N | Reference to explanation - see Section 2a in attached Guidance Notes |
| 14.4.4 | Training | | Y | Y | |
| 14.4.5 | Asset specific competence | | Y | Y | |
| 14.5 | Medical requirements | | Y | Y | |
| 14.6 | Identification of Suppliers staff | | Y | Y | |
| 14.7 | Clothing | | Y | Y | |
| 15 | Permits and licences | | Y | Y | |
| 15.1 | LU specific permits and licences | | Y | Y | |
| 15.2 | Permits, licences and certificates for Supplier's staff | | Y | Y | |
| 16 | The Principles of Access | | Y | Y | |
| 16.1 | Introduction | | Y | Y | |
| 16.2 | Access to Stations | | Y | Y | |
| 16.3 | Access to Track | | Y | Y | |
| 16.4 | Access to depots | | Y | Y | |
| 17 | Applying for Planned Access | | Y | Y | |
| 17.1 | Introduction | | Y | Y | |
| 18 | Applying for General Access | | Y | Y | |
| 18.1 | Constraints that apply to Generic Access | | Y | Y | |
| 19 | Access for fault repair | | Y | Y | |
| 20 | Operational Assurance | | Y | Y | |
| 21 | Closures and possessions | | Y | Y | |
| 21.1 | Requirements for closures | | Y | Y | |
| 21.2 | Requirements for possessions | | Y | Y | |
| 22 | Controls at point of access | | Y | Y | |
| 22.1 | Publication of works | | Y | Y | |
| 22.2 | Checks at point of access | | Y | Y | |
| 22.3 | Signing-on with the Station Supervisor | | Y | Y | |
| 22.4 | Track specific requirements | | Y | Y | |
| 22.4.1 | Person providing protection | | Y | Y | |

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| Applicable requirements identified by Client | | | | Applicable requirements identified by Supplier | |
|--|--|----------------------------|----------|--|--|
| Section | Topic | Other documents / Comments | Y / N | Y / N | Reference to explanation - see Section 2a in attached Guidance Notes |
| 22.4.2 | Possessions | | Y | Y | |
| 23 | Removal of supplier's personnel from LU Premises | | Y | Y | |
| 24 | Incidents | | Y | Y | |
| 25 | Notification of regulatory concern or action | | Y | Y | |
| 26 | Confidential Incident Reporting and Analysis System (CIRAS) | | Y | Y | |
| 27 | Monitoring | | Y | Y | |
| 27.1 | LU inspections | | Y | Y | |
| 27.2 | Monitoring the supply chain | | Y | Y | |
| 27.3 | Health, safety and environmental surveillance by the supplier's personnel | | Y | Y | |
| 27.4 | Work location inspection and audit | | Y | Y | |
| 27.5 | Timescales for rectifying non-compliances | | Y | Y | |
| 28 | Radio transmitters and transceivers | | Y | Y | |
| 29 | Mobile phones | | Y | Y | |
| 30 | Knives | | Y | Y | |
| 31 | Site health, safety and environment committee | | Y | Y | |
| 32 | Site housekeeping and security | | Y | Y | |
| 33 | Accidental damage, obstruction or interference with assets | | Y | Y | |
| 34 | Delivery of materials | | Y | Y | |
| 35 | Conveyance of loads | | Y | Y | |
| 35.1 | Conveyance of loads on lifts and escalators | | Y | Y | |
| 35.2 | Conveyance of hazardous materials and substances | | Y | Y | |
| 36 | Asbestos (non asbestos removal projects) | | Y | Y | |
| 37 | Working in or near lifts and escalators | | Y | Y | |
| 38 | Work on or adjacent to utilities and High Voltage cables (buried services) | | Y | Y | |
| 39 | Working on or about the track | | Y | Y | |
| 40 | Access to electrical sub-stations, working equipment, relay and | | Y | Y | |

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| Applicable requirements identified by Client | | | | Applicable requirements identified by Supplier | |
|--|--|----------------------------|----------|--|--|
| Section | Topic | Other documents / Comments | Y / N | Y / N | Reference to explanation - see Section 2a in attached Guidance Notes |
| | other secure rooms | | | | |
| 41 | Entering areas with gaseous fire suppression systems | | Y | Y | |
| 42 | Fire prevention | | Y | Y | |
| 42.1 | General requirements | | Y | Y | |
| 42.2 | Temporary fire points | | Y | Y | |
| 42.3 | Timber | | Y | Y | |
| 42.4 | Composites | | Y | Y | |
| 42.5 | Sheeting materials | | Y | Y | |
| 42.6 | Gas cylinders | | Y | Y | |
| 42.6.1 | Use of gas cylinders in below ground locations | | Y | Y | |
| 42.6.2 | Storage of gas cylinders (above ground) | | Y | Y | |
| 42.7 | Flammable and highly flammable materials | | Y | Y | |
| 42.7.1 | Use of flammable and highly flammable materials below ground | | Y | Y | |
| 42.7.2 | Storage of flammable and highly flammable materials below ground | | Y | Y | |
| 43 | Hot work and fire hazards | | Y | Y | |
| 43.1 | Hot work | | Y | Y | |
| 43.2 | Reasonable notice of works | | Y | Y | |
| 43.3 | Precautions | | Y | Y | |
| 43.3.1 | Buildings and assets | | Y | Y | |
| 43.3.2 | Gas cylinders | | Y | Y | |
| 43.3.3 | Gas detection | | Y | Y | |
| 44 | Storage | | Y | Y | |
| 44.1 | General requirements for storage | | Y | Y | |
| 44.2 | Trackside storage | | Y | Y | |
| 44.3 | Hazardous materials and substances | | Y | Y | |
| 44.4 | Allocation of space on operational property | | Y | Y | |
| 45 | Plant and equipment | | Y | Y | |
| 46 | Clearance approvals | | Y | Y | |

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| Applicable requirements identified by Client | | | | Applicable requirements identified by Supplier | |
|--|--|----------------------------|----------|--|--|
| Section | Topic | Other documents / Comments | Y / N | Y / N | Reference to explanation - see Section 2a in attached Guidance Notes |
| 47 | Access equipment | | Y | Y | |
| 48 | Temporary works | | Y | Y | |
| 49 | Temporary fences and hoardings | | Y | Y | |
| 50 | Temporary lighting and power supplies | | Y | Y | |
| 50.1 | General requirements | | Y | Y | |
| 50.2 | Lighting in tunnels and shafts | | Y | Y | |
| 51 | Screening of lights and positioning | | Y | Y | |
| 52 | Environmental requirements | | Y | Y | |
| 52.1 | General environmental requirements | | Y | Y | |
| 52.2 | Environmental nuisance | | Y | Y | |
| 52.3 | Water | | Y | Y | |
| 52.4 | Waste management | | Y | Y | |
| 52.5 | Noise and vibration | | Y | Y | |
| 52.6 | Archaeology, historical interest and listed buildings | | Y | Y | |
| 52.7 | Wildlife and Habitats | | Y | Y | |
| 52.8 | Resource Use | | Y | Y | |
| 52.9 | Pest control | | Y | Y | |
| 52.10 | Land and water pollution prevention | | Y | Y | |
| 53 | Quality requirements | | Y | Y | |
| 53.1 | Records | | Y | Y | |
| 53.2 | Retention period | | Y | Y | |
| 53.3 | Availability of records for inspection | | Y | Y | |
| 53.4 | Statistical process control, audit and inspection procedures | | Y | Y | |
| 53.5 | General quality requirements | | Y | Y | |
| 53.6 | Quality Plan | | Y | Y | |
| 53.7 | Testing and inspection | | Y | Y | |
| 53.8 | Certification of conformity | | Y | Y | |
| 53.9 | Quarantine | | Y | Y | |

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| Applicable requirements identified by Client | | | | Applicable requirements identified by Supplier | |
|--|----------------------------------|----------------------------|-------|--|--|
| Section | Topic | Other documents / Comments | Y / N | Y / N | Reference to explanation - see Section 2a in attached Guidance Notes |
| 53.10 | Traceability | | Y | Y | |
| 53.11 | Maintenance and servicing | | N | N | |
| 53.12 | Design | | Y | Y | |
| 53.13 | Computer aided design | | Y | Y | |
| 53.14 | Asset commissioning and handover | | Y | Y | |

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Other requirements / comments



SCHEDULE 8 PART B: QUALITY

1. Records

- 1.1 The Supplier shall maintain such records that are specified by the Company, or required under legislation, and this shall include (as a minimum):
- 1.1.1 details of any non-compliance against any Standard;
 - 1.1.2 records of audits and site inspections;
 - 1.1.3 records of the qualifications, competence and training of staff;
 - 1.1.4 quality assurance inspections conducted (including the identity of the inspector concerned);
 - 1.1.5 equipment test calibration and verification checks conducted (including the identity of the inspector or tester concerned);
 - 1.1.6 process and manufacturing data relating to the Contract, including an audit trail for material or component identity, source and status; any process, inspection or test activity so directed by special instructions or any contract quality plan invoked by the Contract (including those set out in paragraph 6.1 of this Schedule 8 Part B (Quality));
 - 1.1.7 non-conforming service or product records;
 - 1.1.8 records of all related incoming and outgoing certificates of conformity and associated release documentation;
 - 1.1.9 records of tender and contract reviews; and
 - 1.1.10 the Supplier's policy with regard to quality.

2. Retention Period

Records shall be retained by the Supplier for a minimum of twelve years unless otherwise specified by the Company, or for any longer period as required by Applicable Laws.

3. Availability of Records for Inspection

The Supplier shall make all such records available to the Company within three (3) Working Days of any request by the Company.

4. Statistical Process Control, Audit and Inspection Procedures

Where, for quality management purposes, statistical process control procedures, audit or inspection procedures are adopted, full details of the proposed procedures used by the Supplier are to be submitted to the Company for approval prior to implementation.

5. General Quality Requirements

5.1 The Supplier shall:

- 5.1.1 appoint member(s) of its management team who, irrespective of other responsibilities, have defined authority which includes:
 - 5.1.2.1 ensuring that a quality management system is implemented and maintained;
 - 5.1.2.2 reporting to senior management on the performance of the quality management system, including any areas for improvement;
 - 5.1.2.3 ensuring awareness of customer requirements throughout the Supplier; and
 - 5.1.2.4 liaison with customers on matters relating to the Supplier's management system that result from auditing or non conformances;
- 5.1.2 ensure that during internal processing and final delivery of a product or Service to the intended destination, that the identification, packaging, storage, preservation and handling do not affect conformity with that product or Service requirements;
- 5.1.3 not proceed past "hold points" until all the specified activities have been satisfactorily completed and the related documentation is available to and authorised by the Company;
- 5.1.4 following receipt of a rejection, take immediate action to inspect all stocks and work in order to assess risk and loss and advise the Company of the findings;
- 5.1.5 take preventative action to avoid a recurrence of the non-conformities;
- 5.1.6 immediately inform the Company when the Supplier has reason to suspect non-conformities with previously supplied products or Services;
- 5.1.7 be responsible for ascertaining the cause of and responsibility for non-conformance, and for taking suitable corrective action to prevent recurrence;
- 5.1.8 document all corrective actions undertaken by the Supplier;
- 5.1.9 ensure that its supply chain work to correct practices, including accepted documentation defining the techniques to be used, workmanship criteria, safety of others (including the public), health precautions, plant and equipment to be used and training and licensing requirements;