Level 2

Principal Contractor Licensing Scheme

Endorsement and Authorisation

Endorsed by: 

.................................................. 
Gillian Scott, Working Group Chair

Authorised by: 

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Ian Mitchell, Steering Group Chair

Accepted for issue by: 

.................................................. 
Mick McManus, National Standards Manager
User information

This Network Rail standard contains colour-coding according to the following Red–Amber–Green classification.

**Red requirements – No variations could stop the railway**

- **Red requirements shall** always be complied with and achieved.
- Red requirements shall be presented in a red box with the word “shall” or expressed as a direct instruction.
- Accountability for the efficacy of red requirements lies with the Professional Head/Standard Owner.
- Red requirements are monitored for compliance.
- Corrective actions shall be enforced if variations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

**Amber requirements – Controlled variations, approved risk analysis and mitigation**

- **Amber requirements shall** be complied with unless variation has been approved in advance.
- Amber requirements shall be presented with an amber sidebar and with the word “shall” or expressed as a direct instruction.
- Accountability for the efficacy of these requirements lies with the Professional Head/Standard Owner, or their nominated Delegated Authority.
- Amber requirements are monitored for compliance.
- Variations **may** be permitted. Variations are approved by the Standard Owner or through existing Delegated Authority arrangements.
- Corrective actions shall be enforced if **non-approved** variations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

**Green – Guidance**

- Guidance is based on good practice. Guidance represents supporting information to help achieve Red and Amber requirements.
- Guidance shall be presented with a dotted green sidebar and with the word “should” (usually in notes) or as a direct instruction.
- Guidance is **not mandatory** and is not monitored for compliance.
- Alternative solutions may be used. Alternative solutions do not need to be formally approved.
- Decisions made by a competent person to use alternative solutions should be backed up by appropriate evidence or documentation.
Issue record

<table>
<thead>
<tr>
<th>Issue</th>
<th>Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>January 2010</td>
<td>Standard adopted by Investment Projects from Contracts and Procurement</td>
</tr>
<tr>
<td>2</td>
<td>September 2010</td>
<td>Standard revised to incorporate the Investment Projects organisation supporting the Supplier Licensing process</td>
</tr>
<tr>
<td>3</td>
<td>December 2011</td>
<td>Standard revised to incorporate clarification regarding the range of sanctions that may be placed upon licence holders, in the event of performance issues, reduction to 12 months for the review of a licence if not used, and a licence being valid for 3 years.</td>
</tr>
<tr>
<td>4</td>
<td>June 2014</td>
<td>Standard revised to incorporate NR/L3/INI/CP0073 - Supplier Licensing Requirements, remove the assurance of on-track plant from the scope, increase the scope to include all Functions within Network Rail and replace NR/L2/CPR/302 Supplier Qualification with the Industry Minimum Requirements Module</td>
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</tbody>
</table>

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its Principal Contractors from 07 December 2014.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with the requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

- RISQS - Industry Minimum Requirements Module (IMR)
- On-Track Plant Operations Scheme Rules (POS Rules)
- Sentinel Scheme Rules
- Railway Interface Planning Scheme Rules

Disclaimer

In issuing this document for its stated purpose, Network Rail makes no warranties, express or implied, that compliance with all or any documents it issues is sufficient on its own to ensure safe systems of work or operation. Users are reminded of their own duties under health and safety legislation.

Supply

Copies of documents are available electronically, within Network Rail’s organisation. Hard copies of this document may be available to Network Rail people on request to the relevant controlled publication distributor. Other organisations may obtain copies of this Standard from an approved distributor.
Contents

1 Purpose 5
2 Scope 5
3 Governance and responsibilities 6
4 How to Assess, Verify and Confirm Compliance 7
5 Principal Contractor Requirements for Internal Arrangements 9
6 Pre-qualification Requirements for External Organisations 10
7 Principal Contractor Requirements 11
8 Consequences 15
9 Abbreviations 16
10 Definitions 17

Appendix A - Process for External Organisations 20
Appendix B - Process Internal Arrangements 21
Appendix C - Assurance Framework 22
Appendix D - Consequence Matrix 23
Appendix E - Specialist Advice Environmental 24
Appendix F - Specialist Advice Health & Safety 25
1 Purpose

The purpose of this standard is to define the rules and compulsory mechanisms for compliance with the Principal Contractor Licensing (PCL) Scheme.

The Industry Minimum Requirements Module (IMR) validates that the relevant management systems are in place to comply with legislation and rail industry requirements.

The Principal Contractor Licensing Scheme is Network Rail’s (NR) process to verify that organisations discharging Principal Contractor duties, on construction work where Network Rail is the client, have the relevant management systems in place to incorporate the additional requirements over and above legislation, and that they are implementing these requirements on site.

This document also describes the means by which Network Rail obtains assurance that all reasonably practicable steps have been taken to appoint such specifically competent and adequately resourced duty holders. It is not designed to detail the core processes associated with the administration of the scheme.

2 Scope

The scope of the document extends to all organisations undertaking Principal Contractor (PC) duties where either Network Rail is the client, or the construction work will provide assets intended to form part of Network Rail’s managed infrastructure or property.

The requirements outlined in this scheme are mandatory for all parties involved in the process. Breaches are addressed in the consequence matrix (refer to Appendix D). It describes how Principal Contractors will maintain the validity of their licence.

The contents of this standard are applicable to Stage 1 of the Network Rail Supplier Assurance Framework.
3 Governance and responsibilities

3.1 PC Licensing Assurance Team
The PC Licensing Assurance Team shall:

a) govern this scheme;
b) govern the assurance requirements detailed in this scheme;
c) govern the PCL change process;
d) verify and provide assurance of, the compliance against this scheme for Principal Contractors;
e) issue a Licence based on the external duty holder's compliance to the scheme rules;
f) issue a letter of compliance based on the internal duty holder's compliance to the scheme rules.
g) administer the consequence matrix.

3.2 PC Licensing Assurance Manager
The PC Licensing Assurance Manager shall:

a) endorse the Licence or Letter of Compliance to confirm the process and scheme rules have been adhered to;
b) verify the outcome following the administration of the consequences matrix;
c) confirm the Industry Minimum Requirement Module continues to support the NR Supplier Assurance Framework and the PCL scheme.

3.3 Safety & Sustainable Development Director
The Safety and Sustainable Development Director shall demonstrate the process and scheme rules have been adhered to by authorising the Licence or Letter of Compliance.

3.4 Contracting Entity / Procurement Team
As part of the procurement exercise, the relevant Functions’ Procurement Team is responsible for making sure that the proposed tender list / successful organisation has the relevant audits in place to confirm legal (Construction Design Management Regulations 2007 (CDM)) and rail compliance to discharge duties as a Principal Contractor.

Contractors without Principal Contractors Licences (either provisional or full) shall not be excluded from procurement exercises if they are able to apply and receive a Provisional Licence by the time of contract award.

(Example: Industry Minimum Requirements (IMR) Module, any specifically required product codes, as well as the relevant level of compliance to Sentinel Scheme Rules and Railway Interface Planning Scheme Rules).

3.5 Other Relevant Assurance
Refer to Appendix C for other assurance activities relevant to this Scheme.
4 How to Assess, Verify and Confirm Compliance

This section details how Network Rail will assess, verify and confirm compliance with the scheme rules.

This section is equally applicable to Principal Contractors to both trackside and non-trackside.

4.1 Industry Minimum Requirements Module & Product Code Audits

4.1.1 Arrangements for External Principal Contractors

In accordance with the IMR Module, product code and trackside (where applicable), information will be assessed annually or when a change is made.

The assessment is carried out by the RISQS Board’s nominated auditor and reports made available to the Assurance Team to confirm compliance.

4.1.2 Arrangements for Internal Principal Contractors

Initial / Annual verification in line with the requirements of the IMR Module shall be undertaken to demonstrate that the management systems of Network Rail’s internal arrangements comply with legislation and rail industry requirements.

Within Network Operations / National Projects this shall be undertaken at Route level, by the PC Licensing Assurance Team and at local level, by the Route compliance teams.

Elsewhere within Network Rail, this shall be undertaken at project level and conducted by the PC Licensing Team with ongoing assurance by the project and S&SD teams.

4.2 Initial Management Systems

An initial audit of the organisations’ management systems will be undertaken to confirm a minimum level of compliance to Section 5, 6 and 7 (as applicable) of this scheme. This will be completed by the PC Licensing Assurance Team before commencement of works as a Principal Contractor.

For external organisations a Provisional Principal Contractor Licence is issued to confirm management systems meet the requirements of the scheme.

4.3 Initial Site Audit

An initial site audit of a Principal Contractor is carried out by the PC Licensing Assurance Team to verify the implementation of the audited management systems detailed in 4.1 and 4.2.

Once all the requirements of 4.1, 4.2 and 4.3 have been met a Full Principal Contractor Licence is issued to confirm compliance.

4.4 Ongoing Maintenance

To maintain the validity of the Principal Contractor Licence / Letter of Compliance the supplier shall:
a) make sure that all the requirements of this scheme are maintained;
b) provide information on any proposed organisational and management changes or any other aspect that may affect the Licence, for review and confirmation of continued compliance to the scheme prior to the changes being implemented;
c) provide on request an annual assurance file;
d) when requested provide pdf copies of all HSE F10 Notification documents where they are the organisation identified as discharging duties as Principal Contractor on award of works to licencesubmission@networkrail.co.uk.
e) co-operate fully with Network Rails' ongoing assurance activities in line with this scheme.

4.5 Risk Review
As a minimum, each Principal Contractor will be reviewed annually for compliance with the scheme and where there is an indication of increased risk profile the frequency of these reviews may be increased. The review will make use of information obtained from Contract / Project KPI's, HSE and ORR data, Financial and Commercial Data, including Oracle contract awards and other internal audits / investigations.

Within some Network Rail Functions on contract award this data may be reviewed in conjunction with the risk profile of the package of works to provide a project risk.

4.6 On Site Risk Review Audits (Announced / Pre-planned)
A minimum of one on site audit will be conducted annually by the PC Licensing Assurance Team, liaising with Network Rail and Supplier Project / Contracting Teams. Such reviews may include all of the scheme requirements, or focus on specific areas based on perceived risk.

4.7 Unannounced / For Cause Audits
These audits may be conducted by the PC Licensing Assurance Team and may review all of the scheme requirements, or focus on specific areas based on perceived risk, without any formal notification to the Supplier or Project Teams.
5 Principal Contractor Requirements for Internal Arrangements

The requirements contained within this section are applicable to all NR internal arrangements discharging the duties of Principal Contractor where Network Rail is named as the Principal Contractor on the Health & Safety Executive (HSE) F10 Notification document.

5.1 Duties discharged by Network Rail when acting as Principal Contractor

In instances where Network Rail discharges the duties of Principal Contractor, the requirements in clauses 5.2 to 5.4 and 7.1 to 7.14 of this standard shall apply.

5.2 Legal and Rail Industry Compliance

The Network Rail representative named on the HSE F10 shall demonstrate internal arrangements for:

a) maintaining compliance with Legislation and Rail Industry requirements (as detailed within the IMR Module);

b) identifying how any local arrangements for compliance are to be accepted and maintained.

5.3 Sentinel Scheme Rules

The Network Rail representative named on the HSE F10 shall demonstrate the arrangements for maintaining compliance to Sentinel Scheme Rules.

5.4 Railway Interface Planning Scheme Rules (Trackside only)

The Network Rail representative named on the HSE F10 shall demonstrate arrangements for maintaining compliance to Railway Interface Planning Scheme Rules.
6 Pre-qualification Requirements for External Organisations

This section details Network Rail’s requirements regarding the validation of the management systems. The process seeks to demonstrate that external organisations have suitable arrangements in place to meet the pre-determined requirements.

This includes verification that the necessary capability exists to enable such arrangements for work on the Network Rail Managed Infrastructure and other assets.

6.1 Pre-qualification requirements

The requirements detailed within clauses 6.2, 6.3 and 6.4 shall be in place and verified prior to any application being submitted to become a Network Rail PC and prior to contracting to discharge PC Duties on behalf of Network Rail.

6.2 Industry Minimum Requirements (IMR) Scheme Audit

The organisation shall have in place:

a) Auditable Product Codes relevant to the service(s) they are providing to Network Rail in accordance with the IMR Module.

b) Audited IMR Module.

6.3 Sentinel Scheme Rules

The organisation shall have in place:

a) Audited and verified compliance to the Network Rail Sentinel Scheme Rules:

b) Compliance to Trackside or Non-trackside is dependent on the where the organisation proposes to discharge its PC duties.

In addition to the above, a Trackside Principal Contractor is required to have the capability to demonstrate compliance with:

6.4 Railway Interface Planning Scheme Rules

The organisation shall demonstrate audited and verified compliance to the NR Railway Interface Planning Scheme Rules.
7 Principal Contractor Requirements

The requirements contained within this section are applicable to both trackside and non-trackside Principal Contractors discharging duties on behalf of Network Rail, and identified as the Principal Contractor within the relevant section of the HSE F10 Notification document.

7.1 Principal Contractor authorisation

To discharge the duties of Principal Contractor on behalf of Network Rail the organisation shall be authorised by way of holding a PC Licence or a Letter of Compliance, confirming they:

a) satisfy the conditions of clauses 5.2 to 5.4 or clauses 6.1 to 6.4 of this standard;

b) demonstrate compliance to this standard prior to contract negotiations;

c) satisfy the requirements of clause 4.2 and clauses 7.1 to 7.14 of this standard prior to commencement of works.

NOTE: Refer to Process Map within Appendix A and B.

7.2 Control of Works (trackside only)

Principal Contractors shall demonstrate their arrangements to make sure compliance with the Network Rail requirements for the planning and implementation of the works and that these are communicated to all the necessary personnel.

a) Control of Works Process / Plan to Work / Permit to Work.

7.3 Temporary Works

Principal Contractors shall demonstrate their arrangements to:

a) identify the specific Network Rail requirements for the design and safe installation of temporary works; including the relevant approval arrangements, risk assessments and competencies required;

b) demonstrate compliance with the British Standard BS 5975:2008 A1:2011 - Code of practice for temporary works procedures and the permissible stress design of falsework;

c) confirm the identification of any specific Function requirements.

7.4 Specialist Advice

Principal Contractors shall demonstrate their arrangements for the provision of practically applied knowledge of the health, safety and environmental requirements set out in legislation, Railway Group Standards and Network Rail company standards applicable to construction activities in the railway environment.
This shall include the mechanism for identifying contract specific requirements to align with the guidance in Appendix E and F and shall contain a consideration to the risk specific to the works.

a) Environmental Advice
b) Health and Safety
c) Occupational Health

7.5 Specific Competency Requirements
Principal Contractors shall demonstrate their arrangements for:

a) identifying individuals with key roles within the organisation;
b) highlighting accountabilities for the duties and competencies required (including deputising arrangements);
c) obtaining membership of relevant professional institution.

7.6 Co-ordination of On-Track Plant
Principal Contractors shall demonstrate they have arrangements in place to identify and maintain competence required in line with key roles within their organisation for:

a) understanding / co-ordination of the requirements for on-track plant as defined in the On-Track Plant Operations Scheme Rules (POS), where applicable;
b) Health and Safety advice specific to on-track plant.

7.7 Safety Culture Development
Principal Contractors shall have a behavioural based safety or safety culture maturity programme in operation within the business.

This shall include:

a) a commitment to safety leadership and safety culture maturity within a policy;
b) arrangements for implementing the systems across the organisation including mechanisms for application at worksite level;
c) arrangements shall include a particular focus on developing a more open approach to reporting safety issues, and treating those that speak up in a fair and consistent way;
d) arrangements for auditing, monitoring, measuring and assessing the impact of the system;
e) a mechanism for measuring your safety culture maturity and the arrangements in place to maintain and improve.

(Example: Network Rail’s Dimensions of Safety Tool (DOS); the HSL Safety Climate Tool or the Office of Rail Regulation’s (ORR) “Railway Management Maturity Model (RM3)).
7.8 Environmental and Sustainability

Principal Contractors shall demonstrate their arrangements for:

a) maintaining compliance to the Network Rail requirements for the provision of an Environmental Management Plan, this is to be specific to the project and in place prior to commencement of the works;

b) compliance with the Network Rail policies on Environment and Sustainability; this is to be specific to the project and shall be in place prior to commencement of the works;

c) maintaining an Environmental Management System certified by an accredited third party (i.e. ISO 14001 or equivalent).

7.9 Quality Management

Principal Contractors shall demonstrate their arrangements for:

a) maintaining compliance with the Network Rail requirements for the provision of a Quality Management Plan, this is to be specific to the project and in place prior to commencement of the works;

b) maintaining a Quality Management System certified to ISO9001 by an accredited third party.

7.10 Health, Safety and Wellbeing

Principal Contractors shall demonstrate their arrangements for:

a) maintaining compliance with the Network Rail’s policies on Health and Safety; this is to be specific to the project and shall be in place prior to commencement of the works;

b) maintaining a Health & Safety Management System certified by an accredited third party i.e. OSHAS 18001 or equivalent);

c) managing occupational health surveillance;

d) producing an improvement plan appropriate to the activities being undertaken;

e) the incorporation / promotion of wellbeing both for direct employees and subcontractors;

f) membership of an organisation committed to improving the health of the workforce such as Constructing Better Health (or similar).

7.11 Pledge on Construction / Civil Engineering

Principal Contractors shall demonstrate their arrangements to:

a) manage and tackle the causes of occupational disease;

b) improve the health and well-being of people;
c) commit to the Department of Health’s Responsibility Deal Pledge on Construction and Civil Engineering.

7.12 Product Approval
Principal Contractors shall demonstrate the arrangements within their management systems regarding procurement and installation of Network Rail approved products only.

7.13 New Mandatory Requirements
Principal Contractors shall demonstrate their arrangements for capturing, reviewing and complying with any new reasonable requests from Safety and Sustainable Development issued correspondence (i.e. requests for information, letters of instructions, bulletins and notices {this list is not exhaustive}). This shall include arrangements for notifying Network Rail of non-compliance.

7.14 Notification of Changes
Principal Contractors shall demonstrate their arrangements in place for:

a) identifying, reviewing and mitigating any significant changes which will affect the declared Organisation and Arrangements under which the Principal Contractor Licence was issued / is held;

b) notifying the relevant department within Network Rail;

c) submitting a risk based safety validation for review; to the PC Licensing Team prior to any change being implemented.
8 Consequences

The consequence matrix (Appendix D) is based on the principles of the Network Rail fair culture and is to be followed in the event of a breach of the Principal Contractor Licensing Scheme rules, other relevant schemes, standards, industry standards, legislation and contractual terms and conditions.
### 9 Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>BS</td>
<td>British Standard</td>
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<tr>
<td>CDM</td>
<td>Construction Design Management Regulations 2007</td>
</tr>
<tr>
<td>DOS</td>
<td>Dimensions of Safety Tool</td>
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<tr>
<td>DU</td>
<td>Delivery Unit</td>
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<tr>
<td>HSE</td>
<td>Health &amp; Safety Executive</td>
</tr>
<tr>
<td>HSL</td>
<td>Health &amp; Safety Laboratory</td>
</tr>
<tr>
<td>IMR</td>
<td>Industry Minimum Requirements</td>
</tr>
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<td>ISO</td>
<td>International Organization for Standardization</td>
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<td>KPI</td>
<td>Key Performance Indicators</td>
</tr>
<tr>
<td>NR</td>
<td>Network Rail</td>
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<td>NSC</td>
<td>National Service Centre (formerly NDS)</td>
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<td>ORR</td>
<td>Office of Rail Regulation</td>
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<tr>
<td>OSHAS</td>
<td>Occupational Health &amp; Safety Advisory Services</td>
</tr>
<tr>
<td>PC</td>
<td>Principal Contactor</td>
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<tr>
<td>PCL</td>
<td>Principal Contractor Licence</td>
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<td>POS</td>
<td>On-Track Plant Operations Scheme</td>
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<tr>
<td>RISQS</td>
<td>Rail Industry Supplier Qualification Scheme</td>
</tr>
<tr>
<td>RM3</td>
<td>Railway Management Maturity Model</td>
</tr>
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</table>
10 Definitions
For the purpose of this standard, the following terms and definitions apply.

Non-trackside
For the purposes of this scheme, non-trackside is that which is property owned / managed by Network Rail or facilities for which Network Rail are responsible for upkeep and/or maintenance and also includes works which is designated as within a high street environment.

On Behalf of Network Rail
When works are contracted directly or indirectly to Network Rail for the purposes of delivering an asset that is intended to form part of NR’s Infrastructure this relates to works where a third party is identified as the client.

Sentinel Scheme Rules
The scheme which defines and manages the mandatory rules and mechanisms for all parties involved in putting people to work safely on Network Rail Managed Infrastructure.

It applies to all organisations undertaking the role of sponsor and to all individuals holding a valid Sentinel Smart Card.

Principal Contractor (PC)
External
Corporate entities licensed by Network Rail as capable to discharge the duties of Principal Contractor in accordance with regulation 14(2) of The Construction Design and Management Regulations (CDM) 2007 and the additional requirements of NR.

(Example: The contractor responsible for the overall health and safety management of a site or sites on F10 Notifiable Projects).

Internal
An internal arrangement which has been issued a letter of compliance confirming the applicable arrangements are in place to discharge the duties of Principal Contractor in accordance with regulation 14(2) of The Construction Design and Management Regulations (CDM) 2007 and the additional requirements of NR (i.e the contractor responsible for the overall health and safety management of a site or sites on F10 Notifiable Projects).

On-Track Plant Operations Scheme (POS) Provider
Organisation approved to undertake on-track plant operations on the Network Rail Managed Infrastructure (NRMI).

Management System
The organisation and it’s arrangements including methodologies that enable a business to meet its objectives.
Initial Management Systems Audit
An audit to verify initial acceptance to the relevant elements of this scheme, carried out before the supplier can discharge the duties of Principal Contractor on behalf of Network Rail (it is for the exclusive use of Network Rail).

Following successful completion of the Licence Audit a Network Rail Provisional Principal Contractor Licence is issued.

Licence (Provisional)
A formal document whose status is notified within the RISQS nominated audit system indicating that a supplier, by way of a management systems audit, has the management systems required to discharge the duties of a NR Principal Contractor.

NOTE: This licence has a validity of 1 year; however there will be an annual review of its ongoing requirement. This will be assessed and will be based on Network Rail’s business needs.

Licence (Full)
A formal document whose status is notified within the RISQS nominated audit system indicating that a supplier, by way of a site audit, has verified implementation / ongoing use of the management systems required to discharge the duties of a NR Principal Contractor.

NOTE: This licence has a validity of 3 years; however there will be an annual review of its ongoing requirement. This will be assessed and will be based on Network Rail’s business need.

Rail Industry Supplier Qualification Scheme (RISQS)
RISQS is a scheme governed “by the industry for the industry” and provides a service for the universal qualification of duty holder of all products and services that are procured by the industry.

RISQS supports Network Rail, London Underground Limited /Transport for London, passenger, light rail and freight train operators, rolling stock organisations, main infrastructure contractors and other rail products and services providers in the management of supply chain risk. It provides an independent, third party qualification assessment of a supplier’s capability to supply products and services (formerly known as link-up).

Industry Minimum Requirements (IMR) Module
The validation via audit of a supplier’s declared organisation and arrangements to meet predetermined ‘RISQS IMR Module’s’ qualification requirements including the capability to work on Network Rail Managed Infrastructure.

This is the minimum requirement for a duty holder to Network Rail and is a rail industry audit (not specific to Network Rail).
Product Code Audit
The validation via audit of a supplier’s declared organisation and arrangements to meet predetermined, product code-specific, qualification requirements. The supplier shall have valid product codes before they commence works.

Core Requirement (Trackside) Audit
The validation via audit of a supplier’s declared organisation and arrangements to meet predetermined ‘RISQS core management system’ qualification requirements including the capability to work on Network Rail Managed Infrastructure.
Appendix A - Process for External Organisations

M1 - Process for External Suppliers Discharging the Duties of a Principal Contractor

<table>
<thead>
<tr>
<th>Supplier</th>
<th>TRACKSIDE Comply with Ind Min Requirements PC, NR Sentinel Scheme Rules and SR SSOW Planning</th>
<th>IMR Mod</th>
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<tr>
<td></td>
<td>NON-TRACKSIDE Comply with Ind Min Requirements PC, NR Sentinel Scheme Rules</td>
<td>IMR mod</td>
</tr>
<tr>
<td></td>
<td>Make sure NR PC Licensing requirements are in place before working</td>
<td></td>
</tr>
<tr>
<td></td>
<td>On confirmation of F10 tender opportunity demonstrate compliance to PCL Scheme with F3 matrix</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Notify IP Assurance when on tender list for PC works / Preferred Supplier Status</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Notify IP Assurance when successfully appointed PC</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ongoing PCL assurance requirements</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RISQS Auditor</th>
<th>Compliance of Management Systems via audit</th>
<th>Notify IP Assurance Team</th>
<th>Issues</th>
<th>Enter Status as PC Licence holder</th>
<th>Ongoing Annual review / on change — RISQS4, Sentinel, SSOW requirements</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Issue Expression of Interest Form and NR PC Scheme Rules</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review once in preferred supplier status for F10 works, within standstill period (10 days)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Arrange Site Audit</td>
<td>DB</td>
<td>A2</td>
<td>Award PC Licence when all NCRs are closed</td>
<td>DB M4</td>
</tr>
<tr>
<td></td>
<td></td>
<td>CMO</td>
<td>M3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Procurement Team</th>
<th>Does the works require a PC? Notify Assurance Team if supplier needs prioritising</th>
<th>Make sure this is included in the selection criteria</th>
<th>Confirm PCL is in place prior to commencement of works</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>System Update</td>
<td>Form, Process Map or Procedure</td>
<td></td>
</tr>
</tbody>
</table>
Appendix B - Process Internal Arrangements

M2 - Process for Internal Arrangements Discharging the Duties of a Principal Contractor

- Network Ops Route: Demonstrate Compliance with Legislation, Rail Industry and NR PC Requirements By Route
  - F4 R1
  - Closeout NCRs From F4 review
  - Closeout NCRs From Site audit
  - Maintain PCL assurance requirements for Annual Review

- Network Ops Delivery Unit: Comply with Legislation, Rail Industry and NR PC Requirements In line with Route Framework
  - Confirm Compliance against Routes Compliance Doc
  - Site Audit/ Issue Audit Report
  - Ongoing PCL assurance requirements

- Network Ops Assurance Team: Confirm Compliance with Legislation, Rail Industry and NR PC Requirements By Project
  - Closeout NCRs of Site audit
  - Ongoing PCL assurance requirements/ Site Audit and Annual Review

- IP Asset Mgt NDS Property: Demonstrate Compliance with Legislation, Rail Industry and NR PC Requirements By Project
  - Closeout NCRs From F4 review
  - Site Audit/ Issue Audit Report
  - Maintain PCL assurance requirements for Annual Review

- IP Licensing Assurance Team: Review, issue and closeout any NCRs / Confirm Compliance via Management System Review
  - Confirm Compliance via Site Audit
  - Review for trends in Route / Function
  - Ongoing PCL assurance requirements / Site Audit and Annual Review
## Appendix C - Assurance Framework

<table>
<thead>
<tr>
<th>Scheme / Audit</th>
<th>Process Governed</th>
<th>Process Assured</th>
<th>Ongoing Assurance</th>
<th>Covers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Contractor Licensing Scheme</td>
<td>NR IP Central Licensing Team</td>
<td>NR IP Central Licensing Team</td>
<td>NR Route / Project Assurance / Compliance Teams</td>
<td>NR All PCs discharging duties on behalf of NR (internal &amp; external)</td>
</tr>
<tr>
<td>Plant Operations</td>
<td>&quot;Do you undertake rail mounted plant operations within possessions?&quot;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Railway Interface Planning</td>
<td>&quot;Do you plan railway possessions, isolations and or SSOW?&quot;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sentinel Sponsor</td>
<td>&quot;Do you put people to work trackside?&quot;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>RISQS Supplier Qualification - Industry Minimum Requirements Module</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documents / Policies / Rail Industry / CDM Legislation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PC Duties</td>
<td>RISQS Board</td>
<td>RISQS nominated auditor</td>
<td>Rail Industry</td>
<td></td>
</tr>
<tr>
<td>CDM</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trackside Medicals</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Materials / parts</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specialist Service</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTP Provision</td>
<td></td>
<td></td>
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Ref: NR/L2/INI/CP0070
Issue: 4
Date: 07 June 2014
Compliance date: 07 December 2014

Page 22 of 25
## Appendix D - Consequence Matrix

<table>
<thead>
<tr>
<th>Event / Breach</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>First time / Single / Minor Breach</td>
<td>2nd time / 2nd / Medium Breach</td>
<td>Multiple Occurrence / Deliberate / Significant Breach</td>
</tr>
<tr>
<td>A</td>
<td>Non compliant management systems for a new applicant where they do not comply with Legislation</td>
<td>OBS / NCR issued to address</td>
<td>Restart Application Process</td>
</tr>
<tr>
<td>B</td>
<td>Non compliant management systems for current PC</td>
<td>OBS / NCR issued to address</td>
<td>OBS / NCR issued to address</td>
</tr>
<tr>
<td>C</td>
<td>Breach of Scheme Rules</td>
<td>OBS / NCR issued to address</td>
<td>OBS / NCR issued to address</td>
</tr>
<tr>
<td>D</td>
<td>Not discharged duties within the last 12 months</td>
<td>Prov Extension for up to 6 months</td>
<td>Prov Extension for up to 3 months</td>
</tr>
<tr>
<td>E</td>
<td>Theft, Fraud or Falsification</td>
<td>Warning Letter issued</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>F</td>
<td>Breach of Drugs and Alcohol Policy</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>G</td>
<td>Breach in working hours/double shifting</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>H</td>
<td>Sentinel Scheme Rules brought into disrepute</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>I</td>
<td>Infringement of Health &amp; Safety Rules</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>J</td>
<td>Negligence leading to loss or injury</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
<tr>
<td>K</td>
<td>Organisation goes into Liquidation</td>
<td>Full or Provisional Licence Revoked</td>
<td></td>
</tr>
<tr>
<td>L</td>
<td>Organisation goes into Administration, resulting in a takeover</td>
<td>Full or Provisional Licence Revoked</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>ORR / HSE Prohibition Notices</td>
<td>Warning Letter to address management systems &amp; evidence of actions</td>
<td>Suspend licence until management systems addressed</td>
</tr>
</tbody>
</table>

### Explanation about each consequence

While the matrix is intended to facilitate stepped progression of severity, each event / breach will be assessed on an individual basis to determine the Level and subsequent consequence. NR corporate risk matrix will be used as a basis guide for this assessment.

- **A**: An OBS / NCR will be issued as part of the audit process for management to address their management systems in order to meet the requirements of the scheme.
- **B**: The application for a licence will be refused and the applicant will be given 28 days to resubmit.
- **C**: The application for a licence will be rejected. Applicants can resubmit after 6 months.
- **D**: As 1, but in addition a warning letter will be issued stating that a previously identified failure has not been rectified and setting out terms to comply.
- **E**: The organisation should be able to demonstrate active tendering is in progress or a solid intention to tender.
- **F**: The organisation should be able to demonstrate active tendering is in progress or a solid intention to tender.
- **G**: A letter requesting confirmation of actions to address shortfalls / failings issued.
- **H**: Works/ licence suspended until management systems have been addressed / verified.
- **I**: Licence revoked, active works ceased, tenders ceased. Licence holder cannot reapply for 6 months.
Appendix E - Specialist Advice Environmental

<table>
<thead>
<tr>
<th>Project Value</th>
<th>Experience in Construction</th>
<th>Qualifications</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 years</td>
<td>5 years</td>
</tr>
<tr>
<td>Up to £250,000</td>
<td>Yes (S)</td>
<td>-</td>
</tr>
<tr>
<td>Between £250,000 and £1m</td>
<td>Yes (S)</td>
<td>-</td>
</tr>
<tr>
<td>Between £1m and £5m</td>
<td>-</td>
<td>Yes (S)</td>
</tr>
<tr>
<td>Between £5m and £20m</td>
<td>-</td>
<td>Yes (S)</td>
</tr>
<tr>
<td>Between £20m and £50m</td>
<td>-</td>
<td>Yes</td>
</tr>
<tr>
<td>Greater than £50m</td>
<td>-</td>
<td>Yes</td>
</tr>
<tr>
<td>Where a High Environmental risk has been identified in the Appraisal and Action Plan</td>
<td>-</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Minimum competency held by the individuals in the posts providing Environmental Advice.

NOTE: (S) – This means that someone with less amount of experience should be able to provide the environmental support provided that they have the correct level of support from a person with the desired experience.

<table>
<thead>
<tr>
<th>Project Value</th>
<th>SHE Advisor</th>
<th>Environmental Professional available</th>
<th>Environmental Professional embedded</th>
<th>Full time Environmental Advisor or equivalent</th>
<th>Full time Environmental Manager or equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to £1m</td>
<td>Yes</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Between £1m and £5m</td>
<td>-</td>
<td>Yes</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Between £5m and £20m</td>
<td>-</td>
<td>-</td>
<td>Yes</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Between £20m and £50m</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>Yes</td>
<td>-</td>
</tr>
<tr>
<td>Greater than £50m</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>Yes</td>
</tr>
</tbody>
</table>

NOTE: Advisor / Manager – the distinction between these roles the Manager will be co-ordinating and managing a team of environmental specialist for example acousticians, ecologists to co-ordinate specialist studies to make sure that this creates a coherent plan that aligns with the projects timelines and objectives.

NOTE: Available - Individual shall have some knowledge of the project e.g. to be part of the project mobilisation. To be available to the project team at any time to provide advice, this could be over the phone or a site visit. Proximity is relevant here to guarantee availability, getting to site within hours for an emergency is required. Individual shall be familiar with relevant legislation between Scotland, England and Wales.

NOTE: Embedded – the named individual identified in all project documentation, who is fully involved in the project planning from the start of the project (i.e. full consultation from tender award through to completion). The environmental professional does not have to be on site permanently. Embedding in more than one project is acceptable.

NOTE: Project – any defined specific works, frameworks and contracts will be classed as projects for the purpose of these environmental requirements and individual works assessed and resourced along the above requirements.

NOTE: On projects of high monetary value and low environmental risk the PC may deviate from the specialist advice requirements on agreement with the Project Manager.
**Appendix F - Specialist Advice Health & Safety**

<table>
<thead>
<tr>
<th>Project Value</th>
<th>Construction Experience</th>
<th>Qualifications</th>
<th>Charted Member of IOSH</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>3 years</td>
<td>5 years</td>
<td>NEBOSH Construction</td>
</tr>
<tr>
<td>Up to £250,000</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Between £250,000 and £1m</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Between £1m and £5m</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Between £5m and £20m</td>
<td>No</td>
<td>Yes</td>
<td>-</td>
</tr>
<tr>
<td>Between £20m and £50m</td>
<td>No</td>
<td>Yes</td>
<td>-</td>
</tr>
<tr>
<td>Greater than £50m</td>
<td>No</td>
<td>Yes</td>
<td>-</td>
</tr>
</tbody>
</table>

Minimum competency held by the individuals in the posts providing Health & Safety Advice

**Competent (CMIOSH) Health & Safety Representative**

<table>
<thead>
<tr>
<th>Project Value</th>
<th>SHE Advisor</th>
<th>Health &amp; Safety Professional available</th>
<th>Health &amp; Safety Professional embedded</th>
<th>Full time Health &amp; Safety Professional</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Up to £1m</td>
<td>Yes</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Between £1m and £5m</td>
<td>No</td>
<td>Yes</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Between £5m and £20m</td>
<td>No</td>
<td>-</td>
<td>Yes</td>
<td>-</td>
</tr>
<tr>
<td>Between £20m and £50m</td>
<td>No</td>
<td>-</td>
<td>-</td>
<td>Yes</td>
</tr>
<tr>
<td>Greater than £50m</td>
<td>No</td>
<td>-</td>
<td>-</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Minimum competent resource to be provided

**NOTE: Available** - Individual shall have some knowledge of the project e.g. to be part of the project mobilisation. To be available to the project team at any time to provide advice, this could be over the phone or a site visit. Proximity is relevant here to guarantee availability, getting to site within hours for an emergency is required. Individual shall be familiar with relevant legislation between Scotland, England and Wales.

**NOTE: Embedded** – the named individual identified in all project documentation, who is fully involved in the project planning from the start of the project (i.e. full consultation from tender award through to completion). The health and safety professional does not have to be on site permanently. Embedding in more than one project is acceptable.

**NOTE: Project** – any defined specific works, frameworks and contracts will be classed as projects for the purpose of these health and safety requirements and individual works assessed and resourced along the above requirements.

**NOTE: On projects of high monetary value and low health & safety risk the PC may deviate from the specialist advice requirements on agreement with the Project Manager.**
Standards Briefing Note

Ref: NR/L2/INI/CP0070

Title: Principal Contractor Licensing Scheme

Publication Date: 07/06/2014

Compliance Date: 07/12/2014

Standard Owner: Head of Quality Assurance, Infrastructure Projects

Non-Compliance rep (NRNC): Director, Safety & Sustainable Development, Infrastructure Projects

Further information contact: Gillian Scott, Assurance Manager (Principal Contractor Licensing)

Tel: 07825 969194

Purpose: The purpose of this standard is to define the rules and compulsory mechanisms for compliance with the Principal Contractor Licensing (PCL) Scheme.

The Industry Minimum Requirements Module (IMR) validates that the relevant management systems are in place to comply with legislation and rail industry requirements.

The Principal Contractor Licensing Scheme is Network Rail’s (NR) process to verify that organisations discharging Principal Contractor duties, on construction work where Network Rail is the client, have the relevant management systems in place to incorporate the additional requirements over and above legislation, and that they are implementing these requirements on site.

This document also describes the means by which Network Rail obtains assurance that all reasonably practicable steps have been taken to appoint such specifically competent and adequately resourced duty holders. It is not designed to detail the core processes associated with the administration of the scheme.

Scope: The scope of the document extends to all organisations undertaking Principal Contractor (PC) duties where either Network Rail is the client, or the construction work will provide assets intended to form part of Network Rail’s managed infrastructure or property.

The requirements outlined in this scheme are mandatory for all parties involved in the process. Breaches are addressed in the consequence matrix (refer to Appendix D). It describes how Principal Contractors will maintain the validity of their licence.

The contents of this standard are applicable to Stage 1 of the Network Rail Supplier Assurance Framework.

What’s New/ What’s Changed and Why:

This is a revised standard which:

- Incorporates the Level 3 Licensing requirements into this Level 2 Standard (thus reducing number of standards).
- Removes from the scope of the standard the licensing / assurance of On-track Plant Operators.
- Replaces the requirements of NR/L2/CPR/302 Supplier Qualification with the Industry Minimum Requirements Module.
- Increases the scope to include all functions within Network Rail.
- Increases the scope to include the assurance of Network Rail Internal Principal Contractor arrangements.
- Current Full Principal Contractor Licence holders are exempt from the requirement to undergo the NR/L2/CPR/302 Supplier Qualification audit (a review of their core management systems); the revised Standard requires them to have in place the Industry Minimum Requirements Module, as this provides assurance to the Rail Industry.

This revision was as a result of:

- A Strategy decision approved by the S&SD Integration Board, that there should be a consistent approach / level of assurance of our Principal Contractors throughout Network Rail.
- The requirement to document / provide assurance on our Internal Principal Contractor arrangements and provide the same level of assurance as an external organisation, thus documenting the formal approach currently being carried out within the Infrastructure Projects.
- A strategy agreed in 2013 between Network Rail and RSSB to reduce the number of audits within the supply chain: which led to the formal set up of the Rail Industry Supplier Qualification Scheme Board (RISQS) and the Industry Minimum Requirements Module (assurance via management systems audit for the rail industry rather than assurance specifically for Network Rail.
- Issue 3 of the Standard was for compliance by Suppliers who were contracted directly to Infrastructure Projects (no other function with Network Rail), this generally excluded On-track plant and therefore prevented assurance audits. As NR/L2/INI/CP0070 assured the use on site of On-Track Plant it was leading to little / no ongoing assurance; Workforce Safety have created On-Track Plant Operations Scheme Rules (POS Rules).
Affected documents:

<table>
<thead>
<tr>
<th>Reference</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>NR/L3/INI/CP0073 ISSUE 2</td>
<td>Withdrawn</td>
</tr>
<tr>
<td>NR/L2/INI/CP0070 ISSUE 3</td>
<td>Superseded</td>
</tr>
</tbody>
</table>

Briefing requirements: Where Technical briefing (T) is required, the specific Post title is indicated. These posts have specific responsibilities within this standard and receive briefing as part of the Implementation Programme. For Awareness briefing (A) the Post title is not mandatory.

Please see [http://ccms2.hiav.networkrail.co.uk/webtop/drt/objectId/09013b5b804504da](http://ccms2.hiav.networkrail.co.uk/webtop/drt/objectId/09013b5b804504da) for guidance.

<table>
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<tr>
<th>Briefing (A-Awareness/ T-Technical)</th>
<th>Post</th>
<th>Team</th>
<th>Function</th>
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</thead>
<tbody>
<tr>
<td>T</td>
<td>Heads of Commercial &amp; Procurement</td>
<td>HQ</td>
<td>National Supply Chain</td>
</tr>
<tr>
<td>T</td>
<td>Finance &amp; Commercial Directors</td>
<td>Regions</td>
<td>Infrastructure Projects</td>
</tr>
<tr>
<td>T</td>
<td>Workforce Health, Safety &amp; Environmental Advisors / Route Safety Improvement Managers</td>
<td>Routes</td>
<td>Network Operations</td>
</tr>
<tr>
<td>T</td>
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<td>External</td>
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<td>Safety Team</td>
<td>National Supply Chain</td>
</tr>
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<td>Route</td>
<td>Network Operations</td>
</tr>
<tr>
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<td>Assurance Managers and Specialists</td>
<td>Route</td>
<td>Network Operations</td>
</tr>
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<td>Assurance Managers and Specialists</td>
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<td>Infrastructure Projects</td>
</tr>
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<td>Commercial</td>
<td>Infrastructure Projects</td>
</tr>
<tr>
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<td>Commercial</td>
<td>National Supply Chain</td>
</tr>
<tr>
<td>A</td>
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<td>Procurement</td>
<td>National Supply Chain</td>
</tr>
<tr>
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<td>Senior Procurement Managers / Procurement Managers / Assistant Procurement Managers</td>
<td>Procurement</td>
<td>Infrastructure Projects</td>
</tr>
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<td>National Supply Chain</td>
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<td>National Supply Chain</td>
</tr>
<tr>
<td>A</td>
<td>S&amp;SD Integration Board, S&amp;SD Exec Board</td>
<td>S&amp;SD</td>
<td>Whole Business</td>
</tr>
</tbody>
</table>

*NOTE: Contractors are responsible for arranging and undertaking their own Technical and Awareness Briefings in accordance with their own processes and procedure.*