



**GEOTECHNICS**

BUILD ON CONFIDENCE

# ISO 45001, 9001 & 14001

Integrated Management System  
Manual

MSM01 Rev 2.4

November 2024



# ISO 45001, 9001 & 14001

## Integrated Management System Manual

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This Management System Manual complies with the requirements of the International Standards ISO 45001, 9001 & 14001



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## GLOSSARY

<b>Accident:</b>	An unplanned or uncontrolled event or chain of events, actual or imminent, which endanger or threatens to endanger life, property or the environment, which may escalate beyond the resources of Geotechnics Limited to manage or which requires coordination of a number of significant emergency management activities.
<b>Accreditation:</b>	A process by which an authoritative body gives formal recognition that an organisation or person is competent to conduct specific activities.
<b>ACM:</b>	Asbestos-containing Materials are either known to contain asbestos, or presumed to contain asbestos
<b>ACOP:</b>	Approved Code of Practice.
<b>Aspect:</b>	An element of an organisation's activities, products or services that can interact with the environment.
<b>Audit:</b>	Systematic, independent ( <i>not necessarily external to the organisation</i> ) and documented process for obtaining "audit evidence" and evaluating it objectively to determine the extent to which "audit criteria" are fulfilled.
<b>Auditee:</b>	Organisation (or part of an Organisation) that is being audited.
<b>Auditor:</b>	Person with the competence to conduct an audit.
<b>BDA:</b>	British Drilling Association, the UK trade association for those who drill holes in the ground, manufacture / supply drilling rigs & equipment, or supply services to the geotechnical and ground investigation industry.
<b>CAT:</b>	A Cable Avoidance Tool can detect signals naturally radiating from metallic services or the Genny (Generator) can be used to apply a distinctive signal that the C.A.T can detect.
<b>CBR:</b>	California Bearing Ratio, a penetration test used to evaluate the subgrade strength of roads and pavements.
<b>CDM:</b>	The Construction (Design & Management) Regulations (CDM 2015) are the main set of regulations for managing the health, safety and welfare of construction projects. CDM applies to all building and construction work and includes new build, demolition, refurbishment, extensions, conversions, repair and maintenance.
<b>Certification:</b>	The procedure by which a third party gives written assurance that a product, process or service conforms to the specified requirement.
<b>Competency:</b>	Ability to apply knowledge and skills to achieve intended results.

<b>Supplier:</b>	Person or company contractually employed to work on behalf of Geotechnics Limited, who are not employees.
<b>Continual Improvement:</b>	A re-occurring process of enhancing the management system in order to achieve improvements in overall performance, consistent with the organisation's management policies.
<b>Corrective Action (CA):</b>	Action to eliminate the cause of a detected nonconformity or other undesirable situation.
<b>COSHH:</b>	Control of Substances Hazardous to Health.
<b>CPCS:</b>	The Construction Plant Competence Scheme (CPCS) provides certification for plant and associated operators working in the UK construction and allied industries.
<b>Dangerous Occurrence:</b>	Any event which results in or has the potential to result in serious harm, such as the collapse of, overturning of, or failure of any building, structure plant, equipment or release of substance that shall affect the surrounding area.
<b>Document:</b>	Information and its supporting medium.
<b>FLT:</b>	Fork Lift Truck.
<b>GeoCentric:</b>	Geotechnics' in-house data management system.
<b>Hazard:</b>	The potential of a substance, activity or process to cause harm. A hazard can be ranked relative to other hazards or to a possible level of danger.
<b>Hazard Identification:</b>	A process of identifying that a hazard ( <i>as stated above</i> ) exists and defining its characteristics.
<b>Health &amp; Safety Objective:</b>	An overall business goal, arising from Health & Safety, consistent with the Health & Safety Policy that the organisation has set itself to achieve.
<b>HSE:</b>	The Health and Safety Executive - <a href="http://www.hse.gov.uk">www.hse.gov.uk</a>
<b>Ill Health:</b>	Identifiable, adverse physical or mental condition arising from and, or made worse by an activity and, or work-related situation.
<b>Incident:</b>	<p>A work-related event(s) in which injury or ill health (regardless of severity) or fatality occurred, or could have occurred.</p> <p>An <b>accident</b> is an incident which has given rise to injury, ill health or fatality.</p> <p>An <b>incident</b> where no injury, ill health or fatality occurs may also be referred to as a "Near Miss" or "Dangerous Occurrence".</p>
<b>Interested Parties:</b>	Person or group concerned with or affected by the integrated management system performance of an organisation.

<b>Internal Audit:</b>	Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the integrated management system audit criteria set by the organisation are fulfilled.
<b>KPI:</b>	Key Performance Indicator is a measurement of the performance of a process against set targets.
<b>Management System:</b>	A management system is a set of interrelated or interacting elements used to establish policies and objectives and processes to achieve those objectives.
<b>MOC:</b>	Management of Change (MOC) is a best practice used to ensure that safety, health, and environmental risks and hazards are properly controlled when an organization makes changes to their facilities, operations, or personnel.
<b>MSM:</b>	Management System Manual.
<b>Near Miss:</b>	Any unplanned or uncontrolled event, or chain of events, that has not resulted in an injury requiring first aid or medical treatment, a specified dangerous occurrence, ill health, damage to plant, property or the environment, or loss of production, but has the potential to do so in other circumstances.
<b>Non-Conformity: (NC)</b>	A deviation from work standards, activities, practices, processes, procedures, regulations, management system performance that could lead either directly or indirectly to a nonfulfillment of established procedures.
<b>NRMI:</b>	Network Rail Managed Infrastructure
<b>Occupational Health &amp; Safety:</b>	Part of an organisation's management system used to develop and implement its OH&S policy and manage its OH&S risks.
<b>Organisation:</b>	Company, organisation, firm, enterprise, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration.
<b>Performance:</b>	Measurable results of the organisations management system, related to the management of health & safety risks against its policies and objectives.
<b>Policy:</b>	The organisation's overall intention and direction related to its health & safety, environmental and quality performance as formally expressed by the Senior Management Team.
<b>PPE:</b>	Personal Protective Equipment, equipment designed to be worn by the individual as a last resort in protection against an identified risk, as detailed in the hierarchy of risk.
<b>Procedure:</b>	Specified way to conduct an activity or a process.
<b>Process:</b>	A system of activities, which transforms inputs into outputs.

<b>Product (Service):</b>	The result of all input activities to achieve a final output.
<b>Quality:</b>	Degree to which a set of inherent characteristics fulfils requirements.
<b>Records:</b>	Documents stating results achieved or providing evidence of activities performed, this can include minutes from meetings, calibration records, monitoring results and incident report.
<b>Risk Assessment:</b>	A process of formally estimating the magnitude of risk associated with an activity and the deciding outcome of its tolerable risk.
<b>Risk:</b>	<p>Effect of uncertainty. The likelihood of a substance, activity or process to cause its adverse effects, together with a measure of the effect. A risk can be reduced in order to control the hazard.</p> <p>Combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or ill health that can be caused by the event or exposure(s).</p>
<b>Safety:</b>	Freedom from all unacceptable risk of harm.
<b>Senior Managers:</b>	All senior management with specific responsibilities, these include Managing Director ( <i>MD</i> ), Finance Director ( <i>FD</i> ) Operations Director ( <i>OD</i> ), Commercial Manager ( <i>CM</i> ), Laboratory Manager ( <i>LM</i> ), Chief Geotechnical Engineer ( <i>CGE</i> ), Safety, Health, Environment & Quality Manager ( <i>SHEQM</i> ), Business Development Manager ( <i>BDM</i> ), IT Manager ( <i>ITM</i> ) and Drilling Manager ( <i>DM</i> ).
<b>SHEQM:</b>	Safety, Health, Environment & Quality Manager, appointed person employed by Geotechnics Limited.
<b>SWP:</b>	Safe Working Procedure.
<b>Stakeholder:</b>	A person or group, inside or outside the workplace, concerned with or affected by the Occupational health & safety, environmental and quality performance of Geotechnics Limited. Also called interested parties.
<b>Supplier:</b>	A third-party firm or person that carries out work for the Company.
<b>Target:</b>	A detailed performance requirement applicable to and that needs to be set in order for health & safety, environmental & quality objectives to be met.
<b>Unsafe act or Condition:</b>	Any observed act or condition with the potential to cause or result in harm (e.g. unsafe work practices, trip hazards, missing edge protection etc.). These apply to all activities or situations on site, whether or not they may be attributed to Geotechnics Limited operations.
<b>Workplace:</b>	<p>Any physical location in which work related activities are performed under the control of Geotechnics Limited:</p> <p>When considering what constitutes a workplace, the organisation should consider the OH&amp;S effects on personnel who are, for example, travelling or in transit, working at the premises of a client.</p>

# 1. CONTEXT OF THE ORGANISATION [*Clause 4*]

Geotechnics Limited was established in 1983 to provide the full spectrum of geotechnical investigation and advisory services to the construction industry and to society at large. It is now recognised as one of the industry's market leaders, it is ISO 45001, ISO 9001 and ISO 14001 certified by LRQA.

Geotechnics Ltd (from herein known as "The Company") is subject to the requirements of the Health and Safety at Work Act 1974, and the Management of Health and Safety at Work Regulations 1999. These lay down certain Statutory Obligations on both the Company and its employees. There is a further requirement on the Company to consider the safeguarding of anyone who is affected by its undertakings, including suppliers, visitors and the general public.

This document outlines the ways in which the Company aims to meet its obligations under current legislation.

This Manual should be read in conjunction with the Policy Statements (the Statement of Intent), Company safe working procedures and Company information and guidance documents. It also provides for the development of further safe working procedures where appropriate.

In accordance with The Statement of Intent, The Company shall take steps designed to ensure the health, safety and welfare of employees, suppliers, visitors and others who may be affected by its undertakings, a duty which includes in particular the provision and maintenance of:

- a) Safe work environments,
- b) Appropriate welfare facilities,
- c) Safe plant and equipment,
- d) The safe use, handling, storage and transport of items and substances,
- e) Consultation with employees and others, and
- f) Provision of competent suppliers.

In order to comply with the Statutory requirements, The Company shall not carry out work which is liable to expose any employee, supplier, visitor, or member of the public to any risks to their health or safety, until a suitable and sufficient assessment of the perceived risks created by that work activity has been undertaken, and a suitable method of working safely devised to minimise the risk.

The Company continues to monitor and periodically re-assesses its activities as necessary, and the records of these generic assessments are maintained on the company 'G' drives.

The generic risk assessments are available to modify or adapt to each specific project. The project engineer or supervisor is required to ensure that appropriate and relevant site-specific assessments are in place prior to commencing works on site.

This manual and other associated matters are communicated to employees and suppliers using various methods. These include: in-house safety initiative 'GO SAFE', posters, infographics, mail shots, bulletins (including from external sources), case studies, memos and emails, Company Newsletters, in-house training sessions, new employee and site-based inductions and site tool-box talks.

Because health and safety, quality assurance and environment are essential to the effective and commercial running of the organisation, along with the wellbeing of all, the contents of this manual shall apply to all stakeholders, including the Directors, senior management, employees, suppliers and visitors.

All have a duty of care to up hold the Company's principles and have a legal obligation under the Company management regulations to report any work situation which may represent a hazard or danger to safety or the environment.

Procedures have been designed and implemented to encourage the reporting of near miss, bad practice and poor working conditions that enables the employee the opportunity and the ability to question any work that they feel compromises their safety and that of their co-workers is compromised.

The Company has invested heavily in computer programs and equipment, which have been specially developed for its use. All company premises are equipped with and are able to use up to date electronic data transfer technology. The Company has also developed significant expertise in geo-environmental matters so as to be able to undertake dual investigations.

In order to fully and effectively assess all potential impacts from our business operations a PESTLE (Political, Economic, Social, Technological, Legal and Environmental) Analysis and Market appraisal has been undertaken by the Senior Management Team and has been set within the management system for periodic annual review, with the intention that employees shall receive communications from Senior Management with regards any issues resulting from this analysis relevant to their role.

## 1.1 Interested Parties

The Company shall identify and review interested parties to the business. These shall be recorded and documented by the SHEQ Director on the QA009 Interested Parties document and, if site specific, also in the project files. These documents shall be subject to periodic review and re-assessment by senior managers and as part of the Management Review minuted meetings.

## 1.2 Scope

The **MSM** incorporates mandatory elements of ISO 45001:2018, ISO 9001:2015 and ISO 14001:2015 as detailed in each section of this manual. These standards affect all employees of the Company.

Geotechnics Limited is one of the largest independent investigation companies providing specialist geotechnical and geo-environmental services throughout the UK.

We have over 35 years of experience of planning, designing, carrying out and reporting on engineering, mining and contaminated land projects for public and private clients in numerous market sectors.

The success of Geotechnics is based on a culture of ongoing training, innovation and investment in its personnel whilst partnering with our wide client base.

We offer and deliver the following services:

- Site reconnaissance, walkover, desk study and planning support
- Site investigation design, management and optimisation
- Project management, technical and financial control
- On-site boring, drilling, sampling and testing
- Instrumentation and site monitoring services including award-winning bespoke systems
- UKAS accredited independently assessed laboratory testing services
- Technical Factual and/or Interpretive/Evaluation reports produced by our experienced engineers.
- Expert witness advice

The MSM applies to all processes, activities and employees at the following geographical locations within Geotechnics Limited:

**MIDLANDS**

203 Torrington Avenue  
Tile Hill  
Coventry  
West Midlands  
CV4 9AP

**NORTH WEST & NORTH WALES**

Unit 1B Borders Industrial Park  
River Lane  
Saltney  
Flintshire  
CH4 8RJ

**SOUTH WEST**

5 Orchard Court  
Heron Road  
Exeter  
EX2 7LL





## **2. LEADERSHIP & WORKER PARTICIPATION [Clause 5]**

### **2.1 Client Focus**

Procedures have been developed by Senior Management so that all contracts are reviewed to ensure that the following requirements are achieved: -

- a) Clients' requirements, including applicable statutory and regulatory requirements, are fully understood and met and that the Company has the capability to meet them. This shall include any requirements the Client has for delivery and post-delivery services.
- b) Requirements not stated by the Client but necessary for the specified or intended use of the services are identified.
- c) Where Clients' requirements change following contract review, the new requirements shall be substantially reviewed with the Client and recorded together with any cost implications.

The Company shall ensure that effective arrangements are in place for communication with the Client at all points in the contract process.

## 2.2 Company Health & Safety policy

Geotechnics Limited (from herein known as "The Company") is committed to continuous improvement of its Health, Safety and Welfare Management System, and is committed to Policies and Procedures which are designed to ensure the health, safety and welfare, of all its employees, suppliers, visitors and others likely to be affected by its undertakings, so far as is reasonably practicable.

The Company expects employees, suppliers, visitors or other employers who work at any premise or on any site under the control of the Company, to share and adopt this commitment.

To achieve its commitment, the Company shall provide appropriate information, instruction, training and supervision at all levels to ensure that employees are aware of the hazards at their workplace, together with the appropriate measures to be taken to protect against these hazards and prevent in so far as reasonably practicable work-related injury or ill health.

Additionally, the Company in so far as is reasonably practicable, shall ensure it is:

- Operating and maintaining a Health & Safety Management System to the requirements of ISO 45001:2018,
- Managing and maintaining work environments which are safe, and in which risks to health are eliminated,
- Providing adequate and appropriate facilities and arrangements for welfare at work,
- Providing, managing and maintaining plant and equipment so that it is safe, and that risks to health and safety are eliminated,
- Ensuring that the use, handling, storage and transport of items and substances are done safely, and that risks to health are eliminated,
- Implementing systems of work that are safe and where risks to health and safety are eliminated,
- Consulting with, and involving employees in matters that may affect their health, safety and welfare,
- Ensuring that all suppliers employed by the Company possess the necessary skills, knowledge, experience and training, and that the supplier carries out risk assessments for all the work they control, ensuring any plant and equipment provided or used by them is serviced, maintained and tested in accordance with the relevant statutory obligations.

The Company shall ensure adequate resources are provided in order to carry out regular assessments, inspections, auditing and reviews to implement the Company Policy of continuous improvement.

The Company shall set and review objectives against which its performance is monitored and reported.

Every employee is required to assist with the prevention of accidents and incidents and maintenance of a safe and healthy working environment. To achieve this each individual should take care of their own health, safety and welfare, and that of any person who could be affected by their acts or omissions.

Delegated responsibilities, procedures and arrangements developed to implement this Policy and to comply with current legislation and other requirements are detailed in the Company's Health, Safety and Welfare Procedures Manual and supporting Safe Working Procedures.

These procedures apply to all employees of the Company and to all suppliers working on its sites or under its control or employ.

**Every employee is required to assist with the prevention of accidents and incidents and maintenance of a safe and healthy working environment**



**Paul Hayes**

Managing Director

**Revision: 4.0**

**Issue date:** 01<sup>st</sup> Oct 2024

**Review date:** 30<sup>th</sup> Sept 2025

**Changes since last issue:**

## 2.3 Company Quality Assurance policy

The policy of Geotechnics Limited (from herein known as "The Company") is to provide high quality services which achieve total client satisfaction.

It is recognised that the continued success of the company depends on the quality, delivery, value and price of its services.

It is the Company's prime quality objective to meet the requirements of ISO 9001:2015 as a registered company of assessed capability.

Conformance to the procedures and systems recorded in the Quality and Procedures Manual is a mandatory requirement of all personnel to ensure that the company continues to meet its quality objectives which are to:

- To measure each project's performance against its set target.
- To supply investigation, laboratory and advisory services which meet the Client's agreed specified requirements and relevant industry standards.
- To measure the Company's profits against its set targets.
- Give a value-for-money service.
- To identify, accommodate and review the needs of interested parties.
- To produce and review a Company Quality Policy Statement.
- Meet the requirements of ISO 9001:2015 as a registered Company of assessed capability.
- Promote a process of continual improvement in all areas of the Company.
- Utilise the framework of audit, identify and management review to monitor and update quality objectives where required.
- Promote on-going staff development and awareness through training.
- Ensure workplace inclusiveness and transparency throughout the Company and to other interested parties in relation to the requirements of ISO9001:2015 compliance.

**It is recognised that the continued success of the company depends on the quality, delivery, value and price of its services**



**Paul Hayes**

Managing Director

**Revision:** 3.0

**Issue date:** 01<sup>st</sup> Oct 2024

**Review date:** 30<sup>th</sup> Sept 2025

**Changes since last issue:**

## 2.4 Company Environmental Policy

Geotechnics Limited (from herein known as "The Company") provides a wide range of Geotechnical and Geoenvironmental services to the Construction Industry, landowners, developers, and to any stakeholders concerned with ground quality. It has premises in Coventry, Chester and Exeter.

The Company is committed to the protection and enhancement of the environment. Its aim is to achieve this through the development, delivery and continual improvement of high quality professional and client - focused services which consider the environmental impacts of all aspects of its activities. Procedures embrace both ISO 9001 Quality Management and Health and Safety considerations together with environmental issues. Geotechnics Limited shall:

- Operate and maintain an Environmental Management System to ISO 14001,
- Continually improve its environmental performance by identifying and mitigating any significant adverse environmental aspects of the Company's activities, including the use of resources and materials, non – renewable energy, potential noise and dust emissions, hydrocarbon emissions, waste production and the potential to cause pollution to land and controlled waters,
- Be committed to the protection of the environment and the prevention of pollution by compliance with all environmental legislation, regulations and other requirements in carrying out its activities and in providing advice to enable clients to do likewise,
- Provide a strong framework for setting and reviewing environmental objectives, ensuring that targets are met and that its environmental programme is consistent with policy commitments through regular auditing and reviews,
- Communicate this policy to staff, clients, and suppliers using e – mails, letters, its website, internal memoranda and newsletters.

This policy is a public statement and shall be made freely available on request to any interested parties.

**The Company is committed to the protection and enhancement of the environment**



**Paul Hayes**

Managing Director

**Revision: 4.0**

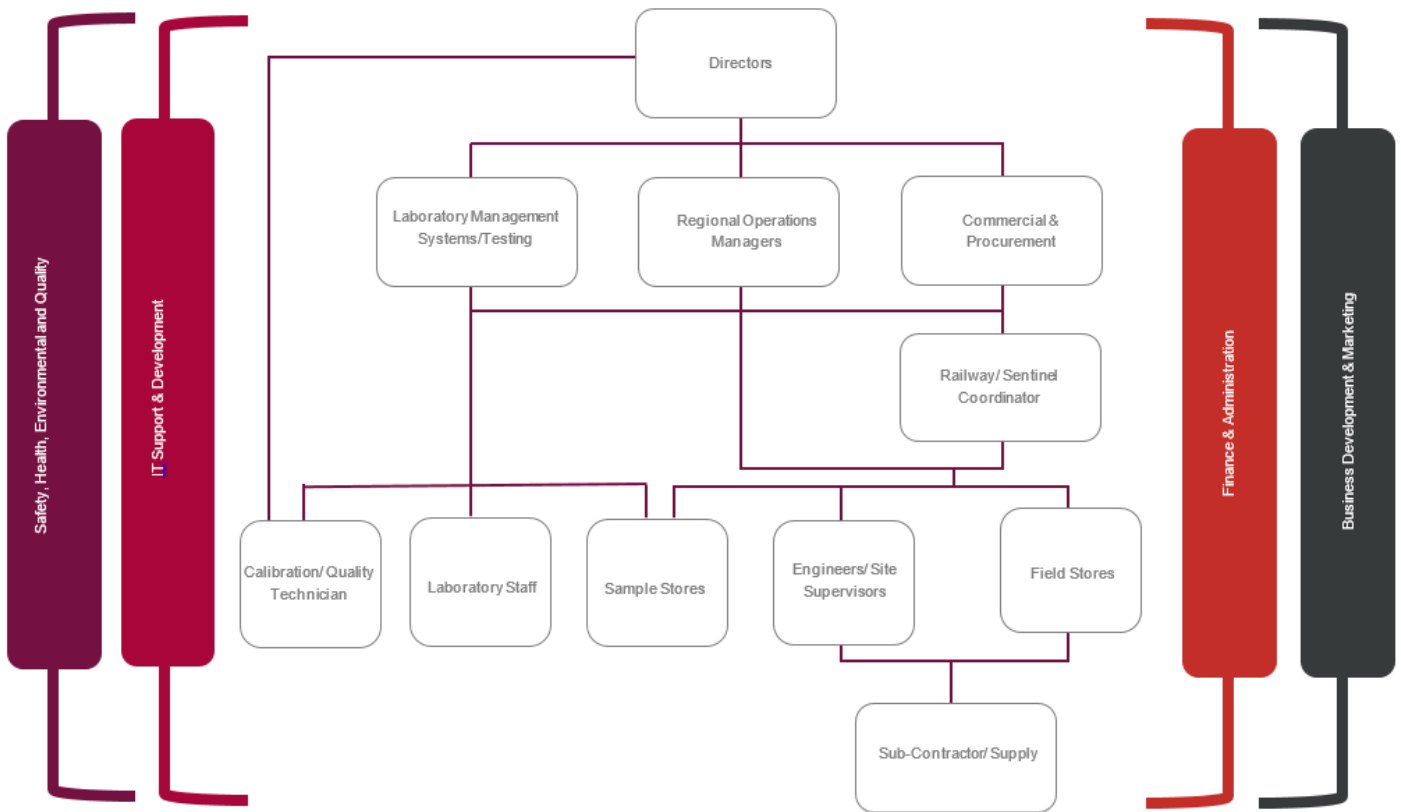
**Issue date:** 01<sup>st</sup> Oct 2024

**Review date:** 30<sup>th</sup> Sept 2025

**Changes since last issue:**

## 2.5 Responsibilities

To ensure suitable responsibility has been identified and delegated to the relevant authority, roles, responsibilities and authorities are detailed below as well as being included in the Company' policies, procedures, work and safety instructions.



The key senior management roles with Health and Safety responsibilities are held by the following people:

Managing Director	Paul Hayes
Director	Robert Webster
Director	Jon Hutchinson
Finance Manager	Sultan Tariq
SHEQ Director	Michael Coates
Regional Operations Manager (Coventry)	Steve Chapman
Regional Operations Manager (Chester)	David Pickles
Regional Operations Manager (Exeter)	Nicholas Wood
Laboratory Testing Manager	Paul Smart
Environmental Manager & Railway/Sentinel Coordinator	Andrew Suominen
Chief Geotechnical Engineer	Trevor Hardie

### 2.5.1 Managing Director

The Managing Director has ultimate responsibility and accountability for achieving the objectives of the policies within the Company, and for ensuring that adequate facilities are made available in order for the Company to fulfil its legal obligations in respect to the provision of Health, Safety and Welfare, Quality Assurance and Environment.

### 2.5.2 SHEQ Director

The SHEQ Director is responsible for:

- a) The upkeep of information regarding Health, Safety and Welfare, including the Law, the management of health and safety and technical advances.
- b) Providing advice and guidance on health, safety and welfare matters to the Managers of the Company in order for them to deliver their delegated responsibilities.
- c) Ensuring consultation with all employees and representatives of employee safety regarding health, safety and welfare measures.
- d) Review and writing of safety procedures for approval by the Managing Director.
- e) Management of internal audit planning and completion.
- f) Providing reports to the Managing Director on the performance of the Company in respect to health, safety and welfare, and any other relevant information that is deemed appropriate.
- g) Being a member of the Company Safety Committee.
- h) Bringing training and information needs in relation to health, safety and welfare to the attention of the Managing Director, Head of Regional Operations and Regional Operations Managers.
- i) Cascading information, amendments and revisions to Company procedures to all employees, taking into account the level of training and knowledge of the employees.
- j) Investigating employee complaints, accidents, incidents and, where appropriate, 'near-misses' in respect to health, safety and welfare.
- k) Restating the importance of health, safety and welfare in the promotion of a positive health and safety culture throughout the Company and its undertakings.
- l) Liaise with clients and suppliers to ensure that respective health and safety initiatives and systems are aligned, as to permit collaborative working.
- m) Ensuring all new employees receive occupational health screening on commencement of employment.
- n) Ensuring all employees who work as Railway Safety Critical Workers receive a Network Rail approved medical assessment.
- o) Maintenance of records of interested parties.
- p) Integration of the process and continual improvement.
- q) Promote Customer focus to ensure conformity of service.
- r) Recording of risks and opportunities relevant to the Company.
- s) Monitoring of Objectives.
- t) Attending Management Review Meetings and reporting on management system performance.
- u) Nonconformity identification and corrective action analysis and reporting.
- v) Reporting and reviewing the Environmental elements of the management system and Company Aspects.
- w) Reporting and reviewing the Company's environmental performance and legal compliance.
- x) Ensuring that resources essential to the implementation and control of the Environmental elements of the management system are identified.
- y) Training in and disseminating information regarding the Environmental elements of the management system.

- z) Ensuring and enabling effective communication regarding Environmental objectives, policies and procedures between management and the workforce.
- aa) Reporting to management any relevant findings relating to the Environmental elements of the management system and its operation.
- bb) Enabling management requests or requirements in terms of policy and practice objectives relevant to the Environmental elements of the management system.

### **2.5.3 Environmental Manager**

The Environmental Manager is responsible for assisting the SHEQ Director with the following responsibilities:

- a) Reporting and reviewing the Environmental elements of the management system and Company Aspects.
- b) Reporting and reviewing the Company's environmental performance and legal compliance.
- c) Ensuring that resources essential to the implementation and control of the Environmental elements of the management system are identified.
- d) Training in and disseminating information regarding the Environmental elements of the management system.
- e) Ensuring and enabling effective communication regarding Environmental objectives, policies and procedures between management and the workforce.
- f) Reporting to management any relevant findings relating to the Environmental elements of the management system and its operation.
- g) Enabling management requests or requirements in terms of policy and practice objectives relevant to the Environmental elements of the management system.
- h) Reviewing of risks and opportunities relevant to the Company.
- i) Monitoring of Environmental Objectives.

### **2.5.4 Regional Operations & Laboratory Managers**

The Regional Operations and Laboratory Managers are responsible for:

- a) Ensuring that the requirements of all current Health and Safety legislation so far as it applies to their particular operations are carried out.
- b) Ensuring that the Company's Health, Safety and Welfare Policy, Manual, and Safe Working Procedures are observed by all persons under their control.
- c) Assessing the Competence of individuals prior to assigning tasks and arranging for adequate information, instruction, training and supervision to be given to each and every employee as is necessary for them to carry out their duties safely.
- d) Ensuring that adequate and appropriate welfare facilities, safe working methods and equipment to avoid injury, damage and wastage are provided and implemented.
- e) Ensuring that their regional or departmental representative of employee safety is available to attend the Company Health and Safety Committee meetings.

### **2.5.5 Principal Engineers, Site Engineers/Supervisors**

Engineers of all grades and Supervisors have a direct responsibility for implementing the Health, Safety and Welfare Policy and Manual of the Company. To enable that responsibility to be effectively discharged they must:

- a) Be familiar with all Safe Working Procedures and Company rules having effect on employees under their supervision, and ensure that these are observed by all employees.
- b) Ensure that all personnel under their control know and understand their individual responsibilities under the Health, Safety and Welfare Policy and that they are equipped to fulfil their obligations.
- c) Actively promote the Company's Health, Safety and Welfare policy and procedures.
- d) Ensure that good environmental practice is undertaken on all working sites over which they have direct or indirect control.
- e) Ensure that all matters of health, safety and welfare receive full consideration in: -
  - Field operations and operations within company premises.
  - The planning of future operations.
  - The design of new procedures and operating methods.
  - All operations, both routine and non-routine.
  - Adequate training and proper supervision of employees.

### **2.5.6 All employees**

All employees are reminded of the duties imposed on them by the Health and Safety at Work etc. Act and subordinate regulations, which require that:

- a) They should take reasonable care of the health, safety and welfare of themselves and of other persons who may be affected by their acts or omissions in relation to work.
- b) They should co-operate with the Company or any other person, e.g. a Principal Contractor, in relation to any other duty or requirement imposed on them by, or under any statutory provision.
- c) They shall not intentionally or recklessly interfere with or misuse anything provided in the interests of health, safety or welfare.
- d) Shall use machinery, equipment, substances, transport equipment, means of production or safety device provided by the Company, in accordance with the training and instructions given.
- e) Shall not use any of the aforementioned in d) above, unless they have received appropriate and adequate information, instruction, training or supervision.
- f) Shall inform the Company of any work situation that is considered dangerous or presents a shortfall in the controls or protection arrangements in place.
- g) Whenever an employee finds a health, safety or welfare problem or concern which they cannot resolve, or is not authorised to resolve, they must refer it immediately to their immediate Line Manager and the employees' representative of employee safety.
- h) In the event that the individual is unable to report it to either party in the above, they must report the concern to the Company's SHEQ Director or Directors.
- i) Reporting environmental issues / incidents to the SHEQ Director/Environmental Manager and management.
- j) Complying with the Company's policies and procedures that are relevant to their roles or for which they have nominated responsibility.
- k) Through a volunteering process the employees shall nominate a Representative of Employee Safety (RoES) from each of the following sections of the Company's activities: -



- Company administration
- Specialist support services e.g. IT, BD&M, SHEQ
- Laboratory services
- Operations; Midlands
- Operations; North West & North Wales
- Operations; South West
- Operations; South Wales

## **2.6 Consultation and participation of workers**

### **2.6.1 Health & Safety Committee**

The Directors of the Company have delegated the position of Chair of the Health & Safety Committee to the SHEQ Director.

The Company has appointed a SHEQ Director, who shall have the responsibility for liaising with the Directors, Senior Management and employees to ensure that any health and safety related issues and/or problems are communicated to them quickly.

The Representatives of Employee Safety (RoES) have been appointed to represent the views and concerns of the employees at all company premises, and these representatives have the responsibility for ensuring that the health and safety concerns and problems at their location/department are communicated to the SHEQ Director and Company's Health & Safety Committee for discussion and resolution.

Health & Safety is a permanent agenda item on Senior Management meetings, and subsequent local management meetings. Areas of concern and possible improvement shall be discussed and responsibilities and actions recorded and reported to the appropriate representatives.

The Company's Health and Safety Committee shall meet formally at least annually or more frequently if there is specific cause for concern with regard to the health and safety of its workforce or visitors. The members of the committee are as follows:

- SHEQ Director
- Field / Supplier Representative
- Regional Representatives of Employee Safety
- Laboratory Representative of Employee Safety
- Administration/IT/Quality/Environment/Business Development
- The Committee is entitled to co-opt other members and guests as it sees fit

The Committee shall have the following terms of reference:

- To act as a consultative body for Health, Safety and Welfare matters.
- To devise and monitor Health, Safety and Welfare arrangements for protecting employees and others.
- To review Health & Safety performance.
- To consider any Health & Safety concerns of employees.
- To promote good practice

Minutes of the Health and Safety Committees meetings shall be held on record for a period of not less than five years.

There shall be regular safety updates and up to date information shall be cascaded down through the Company by means of e-mail or memo or in-house training or tool-box talks.

### **2.6.2 Protection against detriment**

No employee shall suffer any detriment for highlighting a health and safety issue at work, whether they do so on their own account or as recognised safety representative, they are protected under the Public Interest Disclosure Act 1998 (PIDA).

In addition, Sections 44 and 100 of the Employment Rights Act 1996 say that no employee should suffer a detriment or be made redundant for:

- *carrying out their legal functions as a safety rep or employee rep, or other functions previously agreed by the employer;*
- *raising health and safety concerns with the employer;*
- *participating in safety consultations with the employer;*
- *leaving or refusing to leave a place of work in circumstances of serious and imminent danger, or taking steps to protect themselves or others; or*
- *carrying out safety duties designated by the employer.*

## **3. PLANNING [Clause 6]**

### **3.1 Risks and Opportunities**

Business risks and opportunities are to be assessed and reviewed on a periodic basis and documented by the SHEQ Director or nominated representative raising them on the risk and opportunity form.

A company Market Appraisal is to be produced at least annually by the Directors that defines the risk and opportunities inherent in the current business and outlines the aims (including quality) for the coming financial year.

Copies of these documents shall be held in a register controlled by the SHEQ Director and subject to periodic review by senior managers and as part of the ISO45001 health and safety meetings and shall be minuted. This shall, however, by virtue of its contents, be considered a sensitive commercial document and may therefore only be provided to others with the direct permission of the Directors.

### **3.2 Environmental Aspects**

The SHEQ Director assisted by the Environmental Manager is responsible for undertaking and periodic review of evaluations of Environmental Aspects and Impacts relevant to the Company with due regard for stakeholder perspectives, Company policy, procedures, risks and opportunities in relation to determining their significance and ensuring that both Aspect Identification and that all relevant records are kept up to date and reflect current company practice.

The SHEQ Director assisted by the Environmental Manager shall identify, evaluate and record all significant Environmental Aspects that the Company can control, or has influence over.

The SHEQ Director is responsible for maintaining a Register of Environmental Aspects (EN 208) and impacts that provides information to be used for the ongoing development and improvement of the Environmental Management System.

The SHEQ Director's responsibilities shall cover all Environmental Aspects of the Company's activities.

#### **3.2.1 Identification of Environmental Aspects**

The SHEQ Director assisted by the Environmental Manager is responsible for undertaking a periodic review and evaluation of previously identified Environmental Aspects on an annual basis or when required by circumstance.

The Company's activities are divided into areas over which they can reasonably be expected to have influence as follows:

- Administrative processes, including purchasing
- Laboratory testing
- Stores operations
- Fieldworks operations
- Transport usage
- Waste disposal
- Suppliers activities
- Reporting and consulting services

Inputs and outputs to each of these areas/processes shall be identified using the Environmental Aspect Identification List (EN 208) SIGNPOST. This covers the following categories:

- Electricity usage
- Resource Usage including Water
- Emissions to Air
- Releases to Water
- Releases to Land
- Waste Disposal and Recycling
- Noise
- Visual impact
- Indirect Aspects
- Beneficial Aspects

These categories cover all current areas/processes of the Company and must be considered for each of the company premises and processes undertaken, including fieldworks.

The Environmental Aspects Grouping Form (EN 202) shall be used to group Aspects which are common across the company. Relevant information, including controls, measures and impacts if available should be recorded and each Aspect shall be given a unique reference number. Aspects must be considered under normal, abnormal and potential operating conditions.

The completed form shall be kept in the Register of Environmental Aspects and controlled by the SHEQ Director.

The SHEQ Director, assisted by the Environmental Manager, shall ensure that Environmental Aspect Identification is periodically reviewed as an agenda item during Management Review meetings.

### **3.2.2 Identification of New and Changed Environmental Aspects**

All personnel are responsible for identifying potential changes to processes or sites under their control (e.g. new equipment, substances, structures, services) and hence Aspects. The SHEQ Director, Environmental Manager and/or local representative should be made aware of such changes either on a one-to-one basis or as part of formal meetings. Where the meeting is formal and/or a new aspect is identified, this should be formally notified and recorded at the next available Management Review meeting.

New Aspects shall be discussed and reviewed against legal and other requirements, policy and existing Aspects. Other relevant data may include monitoring data and EMPs.

Following the identification of any new aspects the SHEQ Director, assisted by the Environmental Manager, shall identify and implement any changes which may be required to the system (e.g. adding legislation to the legal register and/or updating relevant forms).

An Aspect review shall be undertaken on a periodic basis as part of the Management system review process.

### **3.2.3 Evaluation to Identify Significant Aspects**

The SHEQ Director assisted by the Environmental Manager, shall undertake the evaluation of all identified Aspects using the Environmental Aspects Evaluation Guidance Form (EN 203).

The evaluation process shall cover Legislation, Environmental Hazard, Quality and Interested Parties (Stakeholders). Each category is to be given a score of between zero and three. These individual scores shall be added together to give an overall score for each Aspect. The higher the score the greater the significance for the Company and the environment.

The results of the evaluation process shall be recorded on the Register of Environmental Aspects held by the SHEQ Director and record all significant and non-significant Aspects.

The final columns of the Register of Environmental Aspects should include current controls, policies, procedures, actions or comments relating to the Aspect as well as historical undertakings.

An Aspect shall be deemed to be significant if it scores at least seven overall and/or records a score of three for Legislation. Examples of all significant scores' matrices shall be held and updated when required by the SHEQ Director using Form (EN 209).

The SHEQ Director shall be responsible for keeping all relevant controlled records up to date. Superseded Registers and associated documentation shall be held for at least 3 years before removal from the Management system.

## **3.3 Legislation Review**

### **3.3.1 ISO 45001**

Procedures shall be kept up-to-date, particularly as arrangements change, improve or increase. As a framework for this, the SHEQ Director shall monitor the Legislative changes in line with the HSE common commencement dates of April and October of each year.

The SHEQ Director shall use the following sources of information when carrying out the review:

- Legislation.gov website
- HSE website and bulletins
- Health & Safety publications
- AGS (Association of Geotechnical and Geo-environmental Specialists)
- BDA (British Drilling Association)
- BSOL (British Standards Online)

Copies of all relevant legislation and guidance documents shall be kept up to date, reviewed and controlled by the SHEQ Director. Legislation shall be controlled using a Legal register.

The register shall be reviewed and up dated in line with the aforementioned dates. Changes to legislation or changes to Client's Procedures that significantly affect The Company's undertakings shall be communicated to employees in the first instance via the Representatives of Employee Safety (RoES) and also via the Company 'G' drive servers, email, memo, short training sessions or tool-box talks.

### **3.3.2 ISO 14001**

The Company has enlisted a service provided by Coventry City Council to establish, implement and maintain a register of environmental legislation relevant to the organisation's Environmental Aspects with regards to England and Wales on a quarterly basis.

The Company shall also identify and include on the register other requirements such as regulations, codes of practice and other interested parties to ensure that they are able to carry out their work using good or best environmental practice.

The purpose of the register is to ensure that environmental legislation (including any other requirements), relevant to the organisations Environmental Aspects, Impacts and interested parties are identified and recorded and that their requirements are communicated to relevant personnel on a periodic basis.

#### **3.3.2.1 Preparing the Register**

The SHEQ Director assisted by the Environmental Manager is responsible for ensuring that the register of environmental legislation is maintained and up to date for England and Wales.

All relevant environmental legislation is recorded in the Environmental Legislation Register, held by the SHEQ Director. This should include any or all of the following information as appropriate:

- Title - The full title of the legislation.
- Summary - A brief summary of the legislation.
- Duty/prohibition - A brief summary of the specific duties or prohibitions enforced by the legislation.
- Regulating Authority - The person and agency responsible for enforcement.
- Relevance - A brief summary of the areas that are relevant to the legislation, including how the requirements apply to its Environmental Aspects.
- Responsible Person – The name or position of the person who has direct responsibility for the actions governed by the legislation, where this is not the Directors.
- Procedure - Any procedures, policies or work instructions that are covered by the legislation.
- Significant Aspects - The identified Company Aspects that are covered by the legislation.
- Comments/useful information - Any other information or sources of information.

#### **3.3.2.2 Communicating the Register**

The SHEQ Director assisted by the Environmental Manager shall be responsible for ensuring that relevant employees are informed of any duty or prohibition imposed by the legislation.

Training of relevant personnel in their responsibilities related to the legislation is a key element of Company training and shall be ongoing.

#### **3.3.2.3 Maintaining the Register**

The SHEQ Director assisted by the Environmental Manager or their nominee is responsible for updating the legislation register.

Changes in or additions to legislation shall be identified from the update service provided by Coventry City Council on a quarterly basis and/or from other appropriate sources and updated accordingly.

The register shall also be reviewed and updated if required whenever there are any new processes or Aspects noted. The register shall be reviewed periodically through the internal audit process. A summary assessment of any identified changes shall be forwarded to management following any review or update including an assessment of current company legal compliance.

The SHEQ Director assisted by the Environmental Manager shall be responsible for communicating any changes to legislation to the relevant personnel. The Register shall be made available to all personnel via the local G Drive Server files.

Any employee affected by new legislation or changes in practice shall be trained for their new or revised responsibilities as soon as practicable and this shall be noted on their training record.

All superseded forms shall be marked as such and kept in electronic form for at least three years after the date on which they were superseded.

Compliance with the requirements identified above shall be periodically evaluated and recorded in accordance with the Company's Corrective and Preventative Action procedure to ensure compliance with Environmental Legislation and other requirements.

The SHEQ Director, assisted by the Environmental Manager, has the responsibility to establish, implement and maintain documented environmental objectives and targets for identified significant Aspects at relevant functions and levels within the company.

The SHEQ Director assisted by the Environmental Manager shall establish, implement and maintain a documented programme for achieving its objectives and targets. It shall include a designation of responsibility for each target as well as a time frame for achievement.

## 3.4 Objectives

Geotechnics Limited has established objectives to maintain and continually improve the management system which shall be reviewed during management review meetings.

The Company shall continually improve the suitability, adequacy and effectiveness of the management system to:

### ISO 45001

1. Reduce the number of accidents, incidents and near misses.
2. Prevent reoccurrence of incidents and nonconformities.
3. Promote a positive health and safety culture.
4. Enhance health and safety performance.
5. To produce and review a Company Health & Safety Policy Statement.
6. Meet the requirements of ISO 45001:2018 as a registered company of assessed capability.
7. Promote a process of continual improvement in all areas of the Company.
8. Utilise the framework of audit, identify and management review to monitor and update health & safety objectives where required.
9. Promote on-going staff development and awareness through training.

10. Ensure workplace inclusiveness and transparency throughout the Company and to other interested parties in relation to the requirements of ISO 45001:2018 compliance.

### **ISO 9001**

1. To measure each project's performance against its set target.
2. To supply investigation, laboratory and advisory services which meet the Client's agreed specified requirements and relevant industry standards.
3. To measure the Company's profits against its set targets.
4. Give a value-for-money service.
5. To identify, accommodate and review the needs of interested parties.
6. To produce and review a Company Quality Policy Statement.
7. Meet the requirements of ISO 9001:2015 as a registered Company of assessed capability.
8. Promote a process of continual improvement in all areas of the Company.
9. Utilise the framework of audit, identify and management review to monitor and update quality objectives where required.
10. Promote on-going staff development and awareness through training.
11. Ensure workplace inclusiveness and transparency throughout the Company and to other interested parties in relation to the requirements of ISO9001:2015 compliance.

### **ISO 14001**

1. To identify, accommodate and review the needs of interested parties.
2. To produce and review a company Environmental Policy Statement.
3. Meet the requirements of ISO 14001:2015 as a registered company of assessed capability.
4. Promote a process of continual improvement in all areas of the company.
5. Utilise the framework of audit, identify and management review to monitor and update environmental objectives, where required.
6. Promote on-going staff development and awareness through training.
7. Ensure workplace inclusiveness and transparency throughout the Company and to other interested parties in relation to the requirements of ISO14001:2015 compliance.
8. Have zero environmental incidents.
9. Reduce carbon emissions.
10. Recycle wherever possible.

The Company shall conduct internal audits at planned intervals to provide information on whether the management system conforms to its requirements for its management system, including the policy and objectives.



## **4. SUPPORT [Clause 7]**

### **4.1 Resources**

The SHEQ Director is responsible for assigning resources to the Company objectives to maintain and continually improve the Management System which shall be reviewed during management review meetings.

The Regional Operations Managers are responsible for assessing individual's capabilities and ensuring that they receive adequate and appropriate training in order for them to undertake the tasks assigned.

Regional Operations Managers, assisted by the SHEQ Director as required are responsible for appraising individuals in relation to their Health, Safety, Welfare and the Environment training needs, and identifying suitable training provisions.

Regional Operations Managers shall ensure that an accurate and up-to-date training record is kept for all individuals on the Geocentric database.

Regional Operations Managers are responsible for ensuring individual training records and files are audited prior to each respective individual appraisal.

#### **4.1.1 Infrastructure**

Process equipment is constantly under review and buildings, workspace and associated utilities and support services such as transport and communication systems are constantly upgraded to ensure that staff work in good conditions with serviceable equipment and with due regard for the environment.

The needs of the business with regard to the Company's infrastructures are constantly being reviewed and the need for new resources is discussed at all Senior management meetings and informally as the need arises.

### **4.2 Competence**

Training needs shall constantly be reviewed as new equipment and processes are used.

The training needs analysis shall be carried out on an ongoing basis as circumstances dictate, processes and equipment change, or new aspects are introduced and shall be recorded on the company Geocentric database.

All site and laboratory personnel shall be given sufficient training in the operation of the equipment they shall be expected to use and, in the use, and wearing of personal protective equipment associated with those operations.

Training shall be on the agenda of our six-monthly Management Review meeting where the training needs of staff shall be discussed.

#### **4.2.1 Job Roles and Descriptions**

##### **4.2.1.1 Field Technician.**

Field technicians shall be expected to be good team members and physically able to undertake the wide range of in-situ tests and manual work carried out on sites. On joining it is not expected that they shall have any prior knowledge of the subject but they shall be expected to be literate and able to communicate clearly both verbally and in writing. They should have a valid driving licence. They

shall be trained both in-house and externally to carry out tests outlined in the Company Training Summary. With time they would be expected to develop into other roles normally undertaken by Graduate Engineers where competence to undertake the task, rather than professional qualification, is the requirement. They should be prepared to work on any site in any part of the country or on company premises.

Promotion to Senior Technician shall not be after any fixed time period but shall be assessed as training and experience is gained.

#### **4.2.1.2 Graduate Engineer**

**Qualifications:** Relevant Degree and/or Post-Graduate Qualification.

**Experience on appointment:** Little or none relevant post-graduation.

**Responsible to:** Senior staff.

Graduate Engineers shall be expected to have enthusiasm for their chosen subject, to have an intention to expand their knowledge, to be good team members and be prepared to work on site in any part of the country or in company premises, as projects demand. They are required to become familiar with Company operating procedures, company Health & Safety Procedures, Company software (Geocentric, etc.), British and European Standards and the Conditions of Contract, and specifications within which the Company operates. They should develop the ability to log soils and rocks to BS5930 and Company standards, and shall be given the opportunity to undertake and supervise simple trial pitting and drilling investigations under close supervision. Graduates shall be expected to become familiar with the range of laboratory and in-situ tests carried out by the company, its fieldwork capabilities, contractual and commercial administration and basic health and safety at work.

Graduates are expected to carry out a wide range of background reading of archive reports, relevant publications and periodicals to establish a conceptual and theoretical background to the practical work undertaken. Graduates shall be expected to understand what they are doing and why. They shall be expected to maintain a CPD Record, attend in-house and external training courses, as part of their route to Chartered status.

In company premises, Graduates shall assist in the preparation of desk studies, factual, interpretative and evaluative reports.

Graduates shall spend a minimum of two years at this level but this may extend to several years.

#### **4.2.1.3 Engineer**

**Qualifications:** Relevant Degree or Post-Graduate Qualification.

**Experience on appointment:** Minimum two years of relevant Post-Graduate experience.

**Responsible to:** Senior Staff.

Engineers shall possess a good basic knowledge of ground investigation/contaminated land investigation and sampling techniques and relevant theory. They shall be a competent logger of soils

and rocks to BS and Company procedures, and shall have a good understanding of geotechnical and chemical laboratory testing, and of most in-situ testing techniques.

In company premises, they shall be expected to be able to carry out desk studies, prepare laboratory test schedules, factual reports and simple interpretative reports with guidance and supervision.

On site, they shall be able to supervise and carry out trial pit, soft and hard ground investigations with the minimum of supervision. They shall have a basic knowledge of contractual/commercial and safety aspects of most investigations. They shall have prepared typical Method Statements/Risk Assessments for ground investigation work. They shall have assisted senior staff on site and in company premises on major investigations.

It is anticipated that staff shall spend several years at this level. With further experience there should be a commensurate improvement in confidence and competence, leading to further stages.

They shall be expected to become competent in both site administration and technical roles, and to have served as site agent on several small to medium sized investigations. They shall be able to direct and supervise small numbers of junior staff with assistance, and shall have served on site in a responsible technical role.

Technical skills shall include the ability to prepare test schedules and to write interpretative reports for simple projects with little supervision. Qualification and Training Records shall be expected to be maintained in preparation for Chartered Status. The Engineer shall be expected to promote and market the Company and its services.

#### **4.2.1.4 Senior Engineer**

**Responsible to:** Principal and Chief Geotechnical Engineers.

Requirements are as for 'Engineer' but with a good working knowledge of most numerical methods of analysis commonly used by the Company, geotechnical/environmental processes, construction techniques and redevelopment of contaminated sites.

They shall be able to direct and manage small and medium size investigations both on site and in company premises and to supervise teams comprising a small number of junior staff. Shall have been a Site Agent on several medium size investigations, and able to show a good working knowledge of contractual, commercial and safety matters.

In company premises, they shall be able to carry out desk studies, administer laboratory schedules and medium to large factual reports with the minimum of supervision. They shall be able to prepare laboratory test schedules, interpretative and evaluative reports for many types of project. Would be expected to have prepared and priced ground investigation proposals. Would also be familiar with the preparation of driller's instructions, technical procedures, method statements and Health & Safety Plans. Fluency in expressing technical arguments would be expected. There would be active involvement in marketing and promoting the Company and its services.

Chartered Status should have been achieved or be close to achievement at this level and individuals should demonstrate the ability to progress in due course. They shall be active in maintaining Qualification and Training Records and adequate Continued Professional Development. There shall be encouragement to publish technical notes and papers on topics of interest.

#### **4.2.1.5 Principal Engineer**

**Responsible to:** Chief Geotechnical Engineer.

As for Senior Engineer but with advanced knowledge of most numerical methods of analysis used by the Company, including geotechnical/environmental processes, construction techniques and redevelopment of contaminated sites. Would be expected to review ground investigation proposals and assess adequacy of their scope. Would prepare and cost detailed proposals for ground investigation. The Principal Engineer would monitor and direct technical aspects of ground investigations, carry out post-fieldwork reviews and adequacy of the completed works. It is likely that the Principal Engineer would have gone down one or several specialist routes such as numerical analysis and design, business procurement, environmental work, materials analysis, mineworkings evaluation, etc. They shall be expected to act as mentors for more junior staff, provide guidance in reporting and peer review the reports of others. They shall take an active role in marketing and promoting the Company and its services.

The Principal Engineer shall be Chartered with several years post-Chartered experience. Shall be active in maintaining adequate Continued Professional Development and in encouraging junior staff in their training needs. Publication of papers on matters of technical interest shall be encouraged.

#### **4.2.1.6 Chief Geotechnical Engineer**

**Responsible to:** The Directors

As for Principal Engineer but shall also act as an advisor/guide to the Senior and Principal engineers with regards to geotechnical matters and shall provide a focus for ensuring a consistent reporting format and standard across the company. In addition, shall look after the keeping and maintenance of the design and testing standards appropriate to the ground investigation works carried out by the company (not including the Laboratory testing standards) including ensuring that any new standards are reviewed any significant changes in practice reported to Management and the engineers.

The Chief Geotechnical Engineer shall be Chartered with several years post-Chartered experience. Shall be active in maintaining adequate Continued Professional Development and in encouraging junior staff in their training needs. Publication of papers on matters of technical interest shall be encouraged.

## **4.3 Awareness**

### **4.3.1 Company Premises**

#### **4.3.1.1 Employees**

As part of the joining process to the Company, all new employees are required to go through the company onboarding process which includes a review of Company policies & the Management System Manual and shall attend an Induction as annotated on the new employee induction form. In addition to a general induction, new employees receive a briefing on essential Health & Safety Regulations, including fire evacuation and the operation of electrical or mechanical equipment within their specific department.

A full induction training session shall be arranged for new employees that shall cover Company and Employee Responsibilities, Management systems policies, Accident Reporting, Fire Safety, Health and Safety Awareness, First Aid and First Aiders, Company Security, COSHH, Occupational Health and Communications.

#### **4.3.1.2 Visitors**

All visitors to company premises shall be given an induction which shall cover Fire, First Aid, Welfare, Asbestos, Danger from FLT, PPE, Contact numbers etc.

### **4.3.2 Sites**

#### **4.3.2.1 Employees and Suppliers**

The Site Supervisor shall ensure that each member of the team shall receive an induction on the contents of the Project Method Statement, relevant Safe Working Procedures, Company Guidance and Information Sheets, any specific Method Statements, any Environmental considerations and Site Rules prior to undertaking any work on site. A record of the Induction shall be recorded on the Induction and Briefing Record sheet.

Site Induction shall be undertaken prior to the start of the site work, and as and when required as additional personnel attend or visit site. The Site Supervisor must also make it clear when working on site, mobile phones are only to be used in identified designated areas, to prevent any distraction to the user or others. Only in times of emergency should a mobile phone be used outside these areas. In addition, any personnel or visitor to site who has a medical condition which could be affected, or have an impact on the work, must inform the Site Supervisor so they are aware should an incident arise.

#### **4.3.2.2 Visitors**

All visitors to site, shall be expected to undertake appropriate induction in accordance with the reasons for their presence on site.

## **4.4 Communication**

Geotechnics' approach to Health, Safety and Environment communication is in accordance with [IOSH Guidance on communication: Getting the message?](#), with an aim of open and clear communication tailored to better inform and engage with employees, with acknowledgment that it is a two-way process.

As stated within the aforementioned document text "*effective communication is a prerequisite for good safety and health practice. It's essential for key target audiences to be:* -

- **informed** – to ensure they 'get the message'
- **involved** – to encourage important feedback opportunities
- **listened to** – to strengthen morale."

All employees, suppliers and visitors are made aware of the Health & Safety and Environmental Policies and the need to conform to its principles, but moreover to positively engage with documentation, processes, initiatives and campaigns.

To that end, and to reduce the possible impact caused by potentially hazardous activities, every possible measure and opportunity is taken in order to educate, train and communicate Health, Safety and Environment to anyone that may be affected by Geotechnics' activities, both internally and externally.

This includes, but is not limited to:

- **Safety Committee meetings**, the minutes of which are communicated to all employees. (See [Section 2.6.1 Health & Safety Committee](#))
- **Email bulletins** to all staff
- Health and Safety observation reporting system '**TAG IT**', available to all staff via electronic web link or through submission of hardcopy forms at TAG IT post box points in kitchen within company premises and site cabins
- Posts and discussions, including relevant document uploads to **Workplace by Facebook** internal social media platform. This includes suppliers via a closed group.
- **GO SAFE**, the Geotechnics industry Health and Safety campaign, with posters and infographics made readily available internally and externally through posters in kitchens and on notice boards, site cabins, within CPP and RAMS documentation, as part of site briefings and a maintained archive at [www.geotechnics.co.uk/go-safe/all-campaigns](http://www.geotechnics.co.uk/go-safe/all-campaigns)
- **Blog posts** via the company [website](#)
- **Daily Activity Briefings**
- **Toolbox** talks
- Company **training**
- Posts on Company **social media** channels, specifically **LinkedIn, Twitter, Instagram** and **Facebook**
- **Notice boards**

## 4.5 Documented information

### 4.5.1 Company operating procedures and control

This Manual describes the Health, Safety and Welfare, Quality Assurance and Environmental procedures operating within the Company.

The Company accepts that whilst a manual is no longer a technical requirement for compliance with ISO standards, it remains a useful device for the propagation, retention and dissemination of institutional knowledge in relation to the management system, as well as acting as a roadmap to its principles, policies and procedures.

Management have therefore determined that the Manual is to be retained and updated as required by the needs of the system and in accordance with previously established practice to ensure continuity.

The procedures recorded in this Manual shall be supported where necessary with detailed work instructions which may be contained within the individual project files.

### 4.5.2 Upkeep of Manual

The following personnel are responsible for preparing and approving this Manual and any changes to it:

**Preparation:** The SHEQ Director.

**Approval:** The Managing Director.

A record of all revisions to the Manual shall be maintained in the Revision History section of the manual.

### 4.5.3 Control of documents and records

The Managing Director shall approve all MSM manuals and procedures prior to their issue. Under instructions from the SHEQ Director, the SHEQ Director shall ensure that each issued document is recorded, controlled, current and complete. Documents shall be, from time to time, updated and amended as part of the Company's on-going commitment to continual improvement. All and any changes to any part of the MSM manual and procedures shall be reviewed by SHEQ Director, and approved by the Managing Director, and issued by the SHEQ Director.

All forms issued under the MSM are individually numbered with issue dates that show the latest revision status of a particular document. The SHEQ Director maintains the **Controlled Documents** and is responsible for the issue of new or updated forms.

Each department is responsible for the storage, protection and identification of MSM Records. Records are retained for periods of time suitable to the Company's operations and in accordance with legislation. Disposal of records is the responsibility of the Company's management, who shall ensure the appropriate method of disposal.

### 4.5.4 Record Documents

Each procedure, document and company premises have a unique identification letter as outlined and explained in more detail below:

<b>Procedures and Document</b>		<b>Company Premises</b>	
Estimates (Quotations)	Q	Midlands (Coventry)	C
Projects	P	South West (Exeter)	E
Orders	O	North West & North Wales (Chester)	N
Invoices	I	North East (York)	Y
Measurements	M		
Credit Notes	C		

#### 4.5.4.1 Estimates

The estimate (quotation) number shall be Q, followed by unique company premises letter, followed by 20, 21 as appropriate for the current year and then the number starting at 0001. For example, the first estimate references shall read

Coventry/Bridgend	QC200001
Exeter	QE200001
Chester	QN200001
York	QY200001

There is to be no dash inserted between the year and the number.

On the 1st of January each subsequent year the first two digits shall automatically change to match the current year in the form YY (not YYYY) and the last 4 digits changed back to 0001 if necessary.

#### 4.5.4.2 Projects

The Project number for a Coventry Project shall read, PC200001. On the 1st of January of succeeding years, the first 2 digits of the number change to the current year, for example, PC20 and the last four digits shall continue and roll on from the previous year (e.g. the first number for Coventry for the year 2021 would be PC210089 if the last Project number in 2020 was 0088.).

All eight digits are entered on GeoCentric, and the Sales and Purchase Ledgers and all correspondence and data documents as shown.

GeoCentric automatically generates the next number for Estimates and Projects. Where an estimate has been raised and a contract awarded, GeoCentric automatically converts the estimate to the next Project Number when the estimate 'Status' is changed from "Estimate" to "Award".

#### 4.5.4.3 Orders, Invoices, Measurements and Credit Notes

The Orders are generated sequentially for each of the company premises through the GeoCentric project management system. Invoices, Measurements and Credit Notes are pre-printed for each of the company premises. For example, Midlands documents shall be numbered as:

Order	<u>OC</u> in front of next number
Invoice	<u>IC</u> in front of next number
Measurement	<u>MC</u> in front of next number
Credit Note	<u>CC</u> in front of next number

#### 4.5.4.4 Templates

The output of the Company's technical reports is governed by a series of templates set up as Word documents This allows the writer to manipulate the template text to match the individual report.

Each report once drafted is proof-read by a peer to ensure that it is appropriate to the commission and the Company's standards. Discrepancies of data and interpretation are discussed and agreement is reached prior to the final report being produced.

#### 4.5.4.5 Forms

The Company's controlled forms are saved in each of the company premises on the G:\drive in the Templates folder. This area holds read only documents which members of staff are able to download for use but not able to amend.

#### 4.5.4.6 Letters and Commercial Forms

Other forms and letter templates that the Company use are considered to be commercial and are not controlled.



## **4.5.5 Electronic Data Records**

The business depends on its computer system and the importance of computer records is recognised. The following procedures shall be used to ensure that, should an accident occur, the computer systems and records can be restored within the shortest possible time with a minimum of disruption to the business.

### **4.5.5.1 Fault Tolerance**

Each server within the company maintains RAID 5 hard drive arrays to provide first line fault tolerance. Thus, ensuring no loss of data should a drive fail.

Each server is also supported by a UPS (uninterruptible power supply) and APC Powerchute software providing sufficient time for data to be saved and the server shutdown properly in the event of a power cut/failure.

### **4.5.5.2 Backup of Electronic Data**

The backup software used by Geotechnics is Symantec Backup Exec using a Symantec 3600 Backup Appliance at the Midlands company premises and a dedicated backup machine at all other company premises. Using Dedup software this is sent over LAN between premises. Data is held for a maximum of 3 months. This is only accessible by authorised IT Staff.

### **4.5.5.3 Archived Projects**

Completed project data is archived to a Buffalo Terastation at each of the company premises, with data sent each week to the Backup Terastation in the Midlands company premises.

### **4.5.5.4 Prevention of Malicious Software Attack**

Each machine shall have an up-to-date copy of Webroot Secure Anywhere. Each of the company premises shall be protected by up-to-date Sonicwall Firewall.

## **4.5.6 Archiving**

All documentation and written procedures involved in the management system shall be retained for a period of at least six years and some documents shall be retained indefinitely. Projects documents shall be archived in numerical order.

Health Surveillance records shall be retained for a minimum of 40 years.

Projects once completed are archived using the Project Number for access purposes. Details of all projects are also stored on the GeoCentric Archive database, thus giving easy access to projects that have been the subject of earlier work.

## 5. OPERATION – ISO 45001 [Clause 8]

### 5.1 Risk assessments

The Company shall conduct risk assessments, so that it identifies potential hazards incurred while carrying out its normal business activities. The potential risks relate to health and safety of Company employees and anyone who may be affected by its undertakings. The Regional Operations Managers and the SHEQ Director have the responsibility for ensuring that these assessments take place on an on-going basis at least annually unless circumstances dictate otherwise.

A hazard can be defined as something with potential to cause harm and can include substances, machines and methods of work.

Risk is the likelihood that harm from a particular hazard is realised given exposure to the hazard and the extent of the exposure. Risk is measured by the amount of exposure to the hazard by any person or group of people.

Risk assessments shall be conducted / reviewed by competent persons in accordance with the risk assessment procedure:

Re-assessment shall be undertaken when substantial changes occur, or where new equipment or practices are introduced.

Risk assessments shall be conducted using standard Risk Assessment forms and shall:

- 1) Identify the risks that arise out of work activities.
- 2) Enable the significant findings to be used to identify those persons at risk.
- 3) Allow for changes in working procedures or introduce controls.
- 4) Be appropriate and specific to the nature of the work.
- 5) Be reviewed as appropriate and modified where the nature of the work changes.
- 6) Be monitored by means of internal inspection and audit.
- 7) Be carried out by a competent person.
- 8) Be recorded and be open for inspection.

The entire findings shall be fully briefed to all employees potentially at risk through site and company inductions.

Risk assessment forms shall be used for known site activities and their hazards. The forms have the capability to allow for the inclusion of site or person specific hazards and control measures which the Engineer responsible for the project shall complete prior to commencement on site.

Site Supervisors are responsible for undertaking a POWRA (Point of Work Risk Assessment) and ensuring that any such assessment is briefed at the start of site works to all employees and suppliers affected by the detailed hazards and their controls.

### 5.2 Safety on company premises

The Company shall provide equipment which is in good condition and ensure that routine maintenance is carried out.

The Company operates a **No Smoking Policy** in line with current legislation.

Welfare facilities: The Regional Operations Managers shall ensure that adequate welfare arrangements are in place and maintained in a suitable and sufficient state of repair.

### **5.2.1 Display Screen Equipment (DSE)**

The Regional Operations Managers and the SHEQ Director are responsible for:

- a) Ensuring that DSE assessments are carried out on all users of equipment.
- b) DSE assessments to be reviewed every two years or following any changes which may affect the DSE assessment.
- c) Implementing changes or modifications to the working environment identified by the assessment in order to reduce any identified risk to health to the lowest extent that is reasonably practicable.
- d) Ensuring that monthly housekeeping checks are completed.

It will generally be appropriate to classify someone as a DSE User if most or all of the following criteria apply:

- a) The individual depends on the use of DSE to do the job, as alternative means are not readily available for achieving the same results.
- b) The individual has no discretion as to the use or non-use of the DSE.
- c) The individual normally uses DSE for continuous spells of an hour or more at a time.
- d) The individual uses DSE in this way more or less daily.
- e) The performance requirements of the job demand high levels of attention and concentration by the user, for example, where the consequences of error may be critical.

If an employee falls into any of the categories above, they can organise an eye test with their local optician and the Company will pay for the test, up to a maximum of £30. The employee may claim for a single eye test once every two years, on production of a valid receipt. If the eye test shows up any matters which might affect their health and safety at work, they need to let us know so that we can review our occupational health response and ensure that they have all the facilities and safeguards in place to enable them to undertake their duties. If necessary, we may need their permission to take further advice from their optician or doctor.

Should an employee require glasses specifically for DSE use, the Company will pay for basic lenses and frames only, up to a maximum of £60. Combined prescriptions are not covered and the Company will only reimburse the costs if the glasses are required specifically for DSE use.

The Company will reimburse the cost of glasses for DSE use subject to evidence from your optician of the purpose of the glasses and confirmation of the cost of basic lenses and frames. Only the cost of the basic lenses and frames will be reimbursed. Should they wish to purchase more expensive frames, the Company will contribute the amount for the basic lenses and frames and they would then be required to pay the difference.

Should the optician recommend use of spectacles because of general or other specific eyesight problems, the Company will still pay the cost of the eye test but will be unable to provide payment for glasses.

### **5.2.2 Stores**

The Company maintains warehouse-style stores at each of its company premises, and all requirements detailed within the aforementioned Section 5.2 apply to the stores areas, along with the additional points.

The Regional Operations Managers and the SHEQ Director are responsible for:

- e) Ensuring that all personnel required to work within the stores are briefed on the contents of the risk assessment.
- f) Ensuring where applicable that lifting plant receives an annual statutory LOLER inspection.
- g) Ensuring that only competent operators are authorised to use lifting plant.
- h) Ensuring that racking inspections are undertaken on an annual basis.

## **5.3 Maintenance of electrical equipment and electrical installations**

### **5.3.1 Electrical Fixed Installation (also referred to as Mains wiring or Hard wiring)**

There is a requirement on the Company to ensure that places of work are safe in respect to electrical safety, and that precautions are taken against the risk of death or personal injury from electricity in work activities.

In order to comply with this requirement, the Company employs the services of a competent and qualified electrical Supplier to undertake periodic inspection and testing of all fixed electrical installations within its occupied premises.

Periodic inspection and testing are necessary because all electrical installations deteriorate due to a number of factors such as damage, wear and tear, corrosion, excessive electrical loading, ageing and environmental influences.

The frequency of the periodic inspection and testing varies depending on the level of risk. Generally, company premises should be inspected and tested every 5 years.

The Regional Operations Manager is responsible for ensuring that the fixed electrical installation is inspected and tested to comply with the aforementioned requirements.

### **5.3.2 Portable & Transportable Electrical Equipment**

Portable and transportable electrical equipment is simply explained as equipment that is easily moved and fitted with a plug which connects it to an electric supply.

All portable and transportable electrical equipment is subject to a periodic inspection, maintenance and testing regime. The frequency is determined by risk assessment.

It is the current Company policy to subject all site use portable and transportable electrical equipment to an annual inspection, maintenance and testing regime unless the equipment is reported as defective, where it shall be repaired or replaced as appropriate.

Company premises equipment shall be inspected and tested on a periodic basis ranging from annually for kitchen equipment and other frequently moved equipment to biennially for more static equipment such as computer monitors.

The Company shall employ the services of a competent person to undertake the portable and transportable electrical inspection, maintenance and testing.

The Regional Operations Managers are responsible for ensuring that all portable and transportable electrical equipment is inspected, maintained and tested in accordance with the Company policy, and records kept of the results obtained.

A Register of all portable and transportable electrical equipment owned or used within the Company shall be maintained and held at each of the company premises.

Permission must be obtained from the Regional Operations Manager before any privately-owned equipment is used within the Company.

With the exception of appliances used in company premises and welfare facilities, all portable hand-held electrical appliances (including hired equipment) to be used on site shall be 110-volt supply, tested and maintained accordingly.

### **5.3.3 Electrical integrity**

Any item of equipment which is required to be dismantled for repair, maintenance or other reason should only be done so by a qualified external supplier. The equipment must be retested prior to re-entering service.

Any employee discovering a fault on a piece of portable or transportable electrical equipment which could be deemed to be a danger, must immediately remove the appliance from service, and inform their Regional Operations Manager of the fault. The specific item of equipment must not be used until the fault has been rectified or remedied.

Arrangements shall then be made for the equipment to be examined, repaired and re-tested if necessary, or disposed of as appropriate.

Any portable or transportable electrical equipment that is required to be disposed of should be returned to the Midlands company premises, and its details subsequently removed from the Company itinerary and register.

## **5.4 Maintenance of Plant, Machinery or Equipment**

The term 'machinery' applies equally to plant, machinery or equipment. 'Machinery' can be driven by electrical, mechanical or human physical effort.

### **5.4.1 New Plant, Machinery and Equipment**

The person purchasing the new machinery shall consider the training requirements of any operatives prior to its delivery. The training needs identified shall be effected prior to any unsupervised work commencing with the new machinery.

No employee or other person under the control of the Company shall operate or use new machinery unless they have satisfied themselves that they have received appropriate and adequate training prior to any potential unsupervised use of such machinery.

### **5.4.2 Hired Plant, Machinery and Equipment**

The person hiring any machinery shall consider the training requirements of any operatives prior to its delivery. The training needs identified shall be effected prior to any unsupervised work commencing with the new machinery.

No employee or other person under the control of the Company shall operate or use any hired machinery unless they have satisfied themselves that they have received appropriate and adequate training prior to any potential unsupervised use of such machinery.

It shall be the duty of the person taking receipt of hired machinery to ensure as far as can reasonably be expected, that a visual inspection is carried out on any hired machinery to ensure it is safe for use and suitable for the work to be executed.

The hiring Company or owner has a responsibility to ensure that such machinery is safe, that safety inspection records/certificates are available and that operating instructions and safety advice is available and issued to the person taking receipt of the plant or equipment.

Only machinery which continues to be suitable for the task being carried out should be used.

### **5.4.3 Maintenance of machinery**

The Regional Operations Managers are responsible for ensuring that machinery owned by the Company is maintained in a good state of repair, and that it is adequately guarded.

All Company owned machinery shall be subject to regular visual and formal inspections, and should be detailed on a Machinery Register. Regular testing by competent persons shall take place where this is appropriate.

An assessment should be carried out on each piece of machinery, which once checked shall be entered into the machinery register.

Where repairs and/or adjustments cannot be carried out immediately, machinery must be isolated electrically or mechanically and a warning notice displayed in a prominent place, (e.g. "Not in Use" or "Do not Use")

After repairs and adjustments have been carried out the details should be recorded in the register.

## **5.5 Noise and Vibration at Work**

### **5.5.1 Noise**

The Company is required to assess the exposure to noise for personnel at work, and make adequate arrangements to control and limit any potential detrimental exposure.

#### **5.5.1.1 Company Premises**

Working environments within company premises are generally quiet and well below the action values stipulated by the regulations. Should conditions change then an assessment shall be made and the necessary protection shall be offered to the staff.

#### **5.5.1.2 Laboratory**

The Laboratory Manager shall ensure that any activities undertaken within the laboratory environment that may exceed the lower action value are identified and appropriate risk assessments undertaken.

#### **5.5.1.3 Stores**

The Regional Operations Manager shall ensure that any activities undertaken within the stores environment that may exceed the lower action value are identified and appropriate risk assessments undertaken.

The results of any risk assessments undertaken as a result of above, shall be communicated to all personnel who may be affected by those activities.

The Regional Operations Manager / Laboratory Manager shall ensure that any control measures, including the use of Personal Protective Equipment, (PPE) are implemented and maintained.

Any PPE issued should be used, cleaned and stored or disposed of appropriately.

#### **5.5.1.4 Site Work**

The SHEQ Director has assessed the main site activities and concluded that Demarcated Hearing Protection Zones and the Mandatory use of hearing protection is required at certain times during site operations, specifically during SPT tests.

Reference should be made to risk assessments undertaken in accordance with the Noise at Work Regulations which are monitored and evaluated periodically by the SHEQ Director.

All personnel issued with hearing protection should ensure that it is used as dictated by the risk assessment findings, and cleaned, maintained and stored appropriately.

### **5.5.2 Vibration**

The Company is required to assess any potential individual exposure to vibration whether it is whole body vibration caused by operating machinery, or by vibration to particular limbs, such as hands and fingers, caused by the use of certain types of hand held / operated work equipment.

#### **5.5.2.1 Hand-arm vibration**

This is vibration transmitted from work processes into the workers hands and arms. It can be caused by operating hand-held power tools such as mechanical breakers.

Regular and frequent exposure to hand-arm vibration can lead to permanent health effects. This is most likely when contact with a vibrating tool or work process is a regular part of a person's job. Occasional exposure is unlikely to cause ill health.

The Company is required to:

- a) Assess the risks to employees.

- b) Provide information and training to employees on health risks and the actions being taken to control those risks.
- c) Keep a record of risk assessments and control actions.
- d) Review and update risk assessments regularly.

Generally, the Company do not regularly use equipment or hand-held equipment that would give rise to concern in respect to vibration. However; the Regional Operations Managers and Purchasing Department should consider any possible implications of exposure to vibration on any new purchased or hired equipment.

Additional employee information and guidance is provided in the Company Safe Working Procedures.

## **5.6 Control of potentially hazardous substances or materials**

### **5.6.1 Control of Substances Hazardous to Health**

The Company shall comply with the requirements of the Control of Substances Hazardous to Health (CoSHH) Regulations and best practice in relation to substances hazardous to health used or related to the normal business undertakings of the Company.

Regional Operations Managers and the Laboratory Manager shall ensure that all hazardous substances or materials are risk assessed prior to them being used within the area of their responsibility. The SHEQ Director shall assist where requested to do so.

The results of the risk assessment and any special requirements to be observed for safe handling and storage of the substance or material shall be communicated to all personnel who may be affected by its use.

The Regional Operations Managers and the Laboratory Manager shall in consultation with the Environmental Champion when deemed necessary, make the necessary arrangements for the safe disposal of waste and any unwanted substances or materials.



### 5.6.2 Site Contamination

Prior to site investigation work carried out by the Company, a risk assessment shall be carried out to identify any potential hazardous substances.

The risk assessment process shall consider the precautionary measures defined and recommended by the British Drilling Association - *Guidance for the safe intrusive activities on contaminated or potentially contaminated land*.

Following the risk assessment and consideration of above, the site shall be designated one of the three stipulated categories Green, Yellow or Red:

Green	Yellow	Red
<b>Types of ground conditions:</b>		
<i>Subsoil, Topsoil, Hard-core, Stone, Concrete, Excavated Road materials. Glass, Ceramic, Abrasives Wood, Paper, cardboard, Plastics, Metals, Wool, Cork, Ash, Clinker, Cement etc. Natural soils and rocks</i>	<i>Waste Food, Vegetable Matter, Floor Sweepings, Household Waste, Animal Carcasses, Sewage, Sludge, Trees, Bushes, Garden Waste, Leather, Rubber and latex, Tyres, Epoxy Resins, Electrical Fittings, Soaps, Cosmetics, Non-toxic Metal and Organic Compounds, Tar, Pitch, Bitumen, Solidified Wastes, Dyestuffs, Fuel, Ash, Silica Dust etc.</i>	<i>Wide range of Chemicals, Toxic Metal and Organic compounds, etc. Pharmaceutical and Veterinary Wastes, Phenols, Medical Products, Solvents, Beryllium, Microorganisms, Asbestos, Thiocyanates, Cyanides, Hydrocarbons, Peroxides, Chlorates, Flammable and Explosive Materials, Materials that are particularly corrosive or carcinogenic etc.</i>
<b>Notes:</b>		
<i>There is a possibility that bonded asbestos could be contained in otherwise inert areas.</i>		<i>All substances that could subject a person and animals to risk of death, injury or impaired health.</i>  <i>This must be individually risk assessed to determine appropriate Personal Protective Equipment (PPE).</i>

It is important to remember that indiscriminate dumping may have taken place on a particular landfill site or contaminated site and therefore the above categorisation should be treated as a guide only to determine initial operational procedures.

If there is any doubt then an assessment of the full safety measures required must be undertaken prior to any works being undertaken / recommencing which shall include the provision of adequate personal protective equipment.

### **5.6.3 Chemicals – use and handling**

A variety of hazardous substances are used or encountered. CoSHH Assessments and Material Safety Data Sheets are available for all of these substances.

The Regional Operations and Laboratory Managers, who have overall responsibility for safe use and handling of substances, shall ensure that employees have received adequate and appropriate training on the safe methods of handling and use of these substances.

In the event of accidental ingress of substances into the eyes, eye wash stations and readily available clean running water are provided.

Employees shall wear the appropriate personal protective equipment and use the correct grade of eye protection when handling hazardous substances as detailed in the CoSHH assessments.

A designated storage area has been provided within the laboratory and in Regional company premises stores for hazardous substances and materials and all containers and bottles should be returned to this area after use.

In the event of a spillage of a substance or material then the appropriate procedure should be used for clearing the spillage and decontaminating the area. The correct procedures to be adopted are clearly identified in the CoSHH assessments supplied for each substance. If in doubt the SHEQ Director should be consulted and their advice sought.

## **5.7 Housekeeping**

Good housekeeping in all areas of the Company is an essential feature of safety and the prevention of accidents.

Staff working in all areas must have regard to the following:

- a) Ensure traffic routes / working areas do not become obstructed, exposing other persons to risk.
- b) Ensure all entrances, corridors, walkways and exit doors are kept clear of obstructions at all times.
- c) Close all cabinets, cupboards and drawers after use.
- d) Never overload shelving or store heavy items above head height except on load bearing purpose-built racking.
- e) Never leave a lit cigarette unattended in the designated smoking area.
- f) Clear away immediately any dangerous substance or spillage. Dangerous substances are marked and are defined as toxic, harmful, irritant, flammable or oxidising.
- g) Dust and fumes should not be inhaled. If dust or fumes are produced by any activity then cease the task immediately until protective measures have been put into place.
- h) Equipment must not be left where it can be a tripping hazard.

## **5.8 Personal Protective Equipment**

A number of operations carried out by employees on company premises, and on contract sites, require the wearing of personal protective equipment (PPE) and clothing.

All employees who have at any time the need to wear or use PPE are issued with it at the time of their Induction into the Company or on a job specific basis as required.

Employees are responsible for their equipment and must ensure that it is kept clean, maintained in good condition, and replaced when necessary.

Standard issue PPE, i.e. gloves, safety glasses, safety helmets and high visibility vests and jackets and hearing protection are held by the Company to issue as replacement items as required.

Specific PPE, i.e. safety footwear is purchased for individuals as required.

The Laboratory Manager is responsible for assessing and identifying the protective equipment and clothing needed within the laboratory, and ensure that it is supplied and used by the employees carrying out the tasks.

Individual site Managers/ Supervisors are responsible for identifying the needs of individuals at each site and shall pay reference to the procedures laid down by the "BDA" Site categories, Company Project Construction Phase Plans, Project Method Statements and site-specific risk assessments.

#### **Specific PPE for working on Network Rail Managed Infrastructure:**

When on or near the line or lineside you shall be required to wear approved safety footwear, a blue or white safety helmet and high visibility (HV) clothing on your upper body – in the form of a vest or a jacket. You shall also be required to wear HV trousers.

- If you have been recently qualified in PTS you shall be inexperienced in the rules when you go on or near the line. You'll be required to wear a blue safety helmet until you and your sponsor agree that you are sufficiently experienced (minimum of 6 shifts worked).
- All HV clothing must meet the requirements of GORT 3279 Rail Industry Standard for High Visibility Clothing.
- All PPE purchased by the company, including that for use on Network Rail Managed Infrastructure shall be purchased through our Achilles accredited supplier Safeaid LLP.

## **5.9 Manual Handling and lifting**

Manual handling can be defined as the movement of a load by the use of physical effort, and includes pushing, pulling, carrying, moving, lifting and lowering.

The Company realises that there shall be occasions where manual handling practices shall be unavoidable, but whenever practical, the policy is to avoid the need for any employee to undertake excessive manual handling operations at work, and to avoid a risk of injury.

Where this is not practical, adequate steps shall be taken to protect employees.

The principles that the Company follows in respect to the Manual Handling Operations Regulations are:

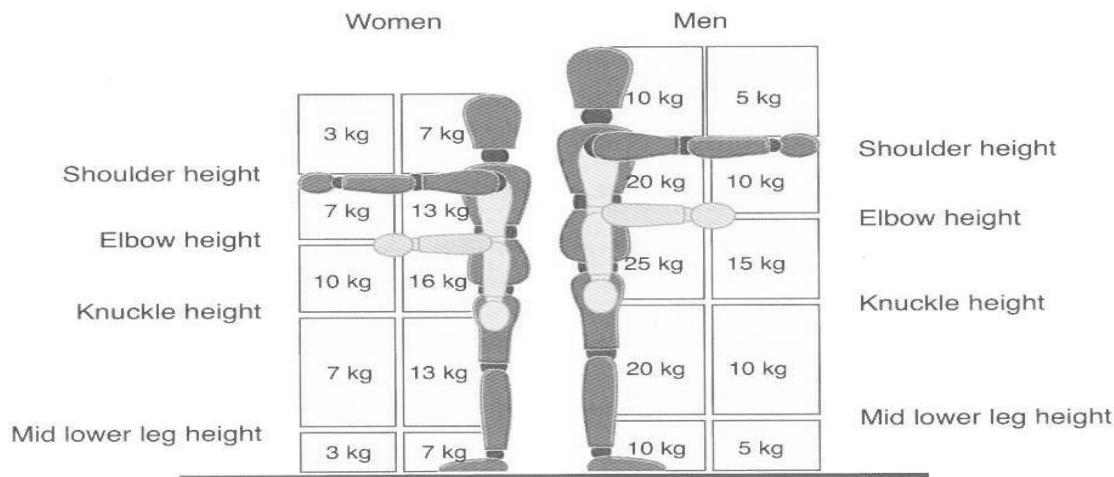
- Assessment of the initial risk of operations, to highlight high risk tasks that require further risk assessments to be carried out. Refer to diagram for procedure to follow for assessment of manual handling risk. Complete a Manual Handling Risk assessment.
- If necessary undertake manual handling risk assessment on individual tasks to highlight appropriate steps to reduce the risk of injury, such as ergonomic changes, training, altering the load or the use of mechanical aids or teamwork. Assessment of the Load (L), the individual's capabilities (I), the task (T),

and the working environment (E) should be made and appropriate control measures implemented – L – I – T – E.

- To provide appropriate training for all employees, and where possible provide an indication or precise information on weights of loads and the heaviest side of any load.

It is the duty of the employee to make full and proper use of any system of work that is provided for their use.

Although the legislation does not specify weight limits for the lifting and carrying of loads, the following diagram is provided to give guidance on lifting and lowering in zones.



***HSE Guidance weights for lifting and lowering in zones.***

The following list gives some additional guidance to follow when moving and lifting loads: -

- Use mechanical aids when possible, i.e. forklift truck, pallet truck, excavator, wheel barrow etc.
- Carry loads at waist level and close to the body.
- Pulling a load is better than pushing it.
- If the load must be pushed, then place your back against it and push using your legs.
- Always make sure you have a firm grip.
- Consider if the load can move inside its container.
- Check for the centre of gravity.
- Plan the route of travel and check for any obstructions.
- Ask for help.

## 5.10 Asbestos

Asbestos is the general term used for the collection of specific fibrous silicates.

Asbestos Containing Material (ACM) is any material in which asbestos fibres have been added and can be loosely or firmly bonded into the matrix of the material.

Asbestos legislation places a mandatory requirement on the ‘duty holder’ to assess and manage the risk from asbestos in all non-domestic premises.

Duty Holder is a person or Company who has a contract or tenancy in relation to the maintenance or repair of non-domestic premises or means of entry or exit thereof. If there is no such contract, it is every person who has to any extent, control of any part of the non-domestic premise or entry/exit.

In addition to Duty Holder responsibilities, the Company is also required to assess the potential risks of exposure or encountering asbestos of its employees, and in particular:

- Not carry out any work which may expose employees to asbestos unless a suitable and sufficient risk assessment of the risks created by the work has been undertaken.
- Identified, implemented and communicated suitable control measures to address the findings of the risk assessment.
- Prevent or reduce exposure to asbestos.
- Prevent or reduce any potential spread of asbestos.

The Company shall provide suitable information, instruction and training to any employee who may, or be liable to be exposed to asbestos or asbestos containing materials (ACM's).

### **5.10.1 Suspected Asbestos on Site**

Should unreported asbestos be found or even suspected, work on a site shall stop until such times as the Client or Duty Holder can assess and address the situation.

Landfill sites licensed to accept Asbestos waste are outside the Red Site designation and require licensed asbestos removal suppliers to undertake any work on such sites.

## **5.11 Working at Height**

A place is 'at height' if a person could be injured falling from it, even if it is at or below ground level.

The over-riding principle on the Company is to prevent anyone falling from a height that is liable to cause personal injury.

The work at height regulations place a hierarchy of controls on the Company, these being:

- a) Avoid work at height where possible.
- b) Use work equipment or other measures to prevent falls where working at height cannot be avoided.
- c) Where the risk of a fall cannot be eliminated, use work equipment or other measures to minimise the distance and consequences should a fall occur.

As a 'Duty Holder' in respect to work at height, the Company considers the following when planning work at height.

- a) Take account of weather conditions that could compromise worker safety.
- b) Check that the place where work at height is to be undertaken is safe.
- c) Stop materials or objects from falling or, if it is not reasonably practicable to prevent objects falling, take suitable and sufficient measures to make sure no one can be injured.
- d) Store materials and objects safely so they won't cause injury if they are disturbed or collapse.
- e) Plan for emergencies and rescue.

Generally, regular or frequent work undertaken by the Company which may be regarded as work at height is machine excavated inspection pits. The risks associated with this specific activity are considered and controlled within the documented Company Safe Working Procedure.

The Regional Operations Managers are responsible for ensuring that the requirements above are considered and implemented for any work at height that occurs within their areas of responsibility. This includes occasions where suppliers are requested or permitted to undertake routine or emergency maintenance or repair work.

## **5.12 Construction, Design and Management Regulations**

The Company is aware of and accepts its statutory obligations with regard to the CDM Regulations when acting in the roles of Principal Contractor or Contractor. We do not act in the role of Principal Designer.

### **5.12.1 Principal Contractor Duties**

#### **Planning**

We will prepare a site specific construction phase plan that ensures the work is carried out without risk to health or safety.

When preparing the construction phase plan the following topics will be considered.

- A description of the project, such as key dates and details of key members of the project team.
- The management of the work, including:
  - the health and safety aims for the project
  - the site rules
  - arrangements to ensure co-operation between project team members and coordination of their work, such as regular site meetings
  - arrangements for involving workers
  - site induction
  - welfare facilities
  - emergency procedures, such as fire and first aid.
  - The control of any of the specific site risks relevant to the work involved.

#### **Managing**

We will provide Managers and Supervisors to manage the construction phase of the project that possess the right blend of skills, knowledge, training and experience. We will ensure that we facilitate co-operation and co-ordination between contractors and workers, engagement will include:

- Daily activity briefings with topics including:
  - what has to be done and what is expected
  - when it will be done
  - how it will be done safely and without risks to health
  - risks arising from the work
  - risks from others or the environment we are working in
  - proposals to manage and/or control these risks
- On site reporting.

#### **Monitoring**

The supervisor will be responsible for checking work is being carried out safely and without risks to health on a day to day basis. Formal site inspections will be carried out by the SHEQ Manager or other Senior Manager on a regular basis to ensure compliance with company policies and procedures.

### **Securing the site**

We will take steps to prevent unauthorised access to the site, the necessary controls will be considered on a site specific basis but could include:

- Site security fencing and appropriate signage
- Provision of SIA approved security

### **Providing welfare facilities**

We will ensure that suitable facilities are provided throughout the construction phase in accordance with the requirements of CDM 2015 including:

- lit and ventilated toilets (suitable for men and women)
- lit and ventilated washing facilities next to the toilets, including hot, cold or warm running water, soap or hand cleaner, towels or means of drying hands
- supply of drinking water and cups
- facilities for rest (tables and chairs)
- where required, changing rooms and lockers.

### **Providing site induction**

We will ensure a suitable site induction is provided to every site worker and visitor. The induction will be site specific and be relevant to the size and scope of the work, and level of risk involved.

- The induction will include information on the following topics:
  - o Senior management's commitment to health and safety.
  - o An outline of the project.
  - o Management of the site, for example who the site manager is.
  - o Site-specific health and safety risks.
  - o Control measures on site, for example site rules, vehicle and pedestrian segregation, PPE, temporary electrics, and site restrictions such as delivery arrangements.
  - o Dealing with emergencies including first aid arrangements.
  - o Accident and incident reporting arrangements.
  - o Training details, for example provision of toolbox talks and task briefings.
  - o Arrangements for consulting the workforce on health and safety.
  - o Individual workers' responsibility for health and safety.

## **5.12.2 Contractor Duties**

### **Planning**

We will prepare a site specific method statement that ensures the work is carried out without risk to health or safety.

- The site specific method statement will be briefed to all workers or visitors requiring access to our work areas.

When preparing the method statement the following topics will be considered.

- A description of the project, such as key dates and details of key members of the project team.
- The management of the work, including:
  - o the health and safety aims for the project
  - o the site rules

- arrangements to ensure co-operation between project team members and coordination of their work, such as regular site meetings
- arrangements for involving workers
- site induction
- welfare facilities
- emergency procedures, such as fire and first aid.
- The control of any of the specific site risks relevant to the work involved.

### **Managing**

We will provide Managers and Supervisors to manage our works that possess the right blend of skills, knowledge, training and experience. We will ensure that we facilitate co-operation and co-ordination between contractors and workers, engagement will include:

- Daily activity briefings with topics including:
  - what has to be done and what is expected
  - when it will be done
  - how it will be done safely and without risks to health
  - risks arising from the work
  - risks from others or the environment we are working in
  - proposals to manage and/or control these risks
- On site reporting

### **Monitoring**

The supervisor will be responsible for checking work is being carried out safely and without risks to health on a day to day basis. Formal site inspections will be carried out by the SHEQ Manager or other Senior Manager on a regular basis to ensure compliance with company policies and procedures.

## **5.12.3 Additional Contractor Duties if only one contractor is on site**

### **Planning**

We will prepare a site specific construction phase plan that ensures the work is carried out without risk to health or safety.

When preparing the construction phase plan the following topics will be considered.

- A description of the project, such as key dates and details of key members of the project team.
- The management of the work, including:
  - the health and safety aims for the project
  - the site rules
  - arrangements to ensure co-operation between project team members and coordination of their work, such as regular site meetings
  - arrangements for involving workers
  - site induction
  - welfare facilities
  - emergency procedures, such as fire and first aid.
  - The control of any of the specific site risks relevant to the work involved.

### **Securing the site**

We will take steps to prevent unauthorised access to the site, the necessary controls will be considered on a site specific basis but could include:

- Site security fencing and appropriate signage
- Provision of SIA approved security



### **Providing welfare facilities**

We will ensure that suitable facilities are provided throughout the construction phase in accordance with the requirements of CDM 2015 including:

- lit and ventilated toilets (suitable for men and women)
- lit and ventilated washing facilities next to the toilets, including hot, cold or warm running water, soap or hand cleaner, towels or means of drying hands
- supply of drinking water and cups
- facilities for rest (tables and chairs)
- where required, changing rooms and lockers.

### **Providing site induction**

We will ensure a suitable site induction is provided to every site worker and visitor. The induction will be site specific and be relevant to the size and scope of the work, and level of risk involved.

- The induction will include information on the following topics:
  - o Senior management's commitment to health and safety.
  - o An outline of the project.
  - o Management of the site, for example who the site manager is.
  - o Site-specific health and safety risks.
  - o Control measures on site, for example site rules, vehicle and pedestrian segregation, PPE, temporary electrics, and site restrictions such as delivery arrangements.
  - o Dealing with emergencies including first aid arrangements.
  - o Accident and incident reporting arrangements.
  - o Training details, for example provision of toolbox talks and task briefings.
  - o Arrangements for consulting the workforce on health and safety.
  - o Individual workers' responsibility for health and safety.

### **5.12.4 Site Rules**

The Company has Generic site rules which are applicable to all construction work or sites. In the event that there is any additional site-specific rules communicated within the pre-construction information, these site-specific elements shall be appended to the standard site rules and communicated during the site induction.

## **5.13 Excavations**

It is Company Policy not to enter any unsupported excavations. If access is required, this shall necessitate the requirement to undertake a specific risk assessment.

Generally, the only time that entry into shallow excavations, (<1.0 metres) may be required is to undertake in-situ tests such as California Bearing Ratio (CBR) tests, hand shear vanes or similar.

Even though an excavation may be shallow, consideration should still be given to the potential collapse onto a person when undertaking the works. In the event that the ground is considered unsafe, entry should be prohibited and the works in relation to that particular excavation postponed until suitable and adequate control measures have been implemented.

Any requirement to enter deeper excavations shall not be permitted unless and only when excavation support has been installed and the residual risk of entry assessed. Any such support work shall be installed by competent and qualified persons.

Before excavation work is carried out, any available details of the ground conditions and of building structures which may be affected shall be reviewed by a Senior, Principal or Chief Geotechnical Engineer. Any unusual hazards likely to be encountered during the excavation work shall be identified at this stage and an appropriate risk assessment undertaken.

All machine excavation work shall be carried out by competent (Construction Plant Certification Scheme (CPCS) or similar recognised scheme) suppliers or personnel. A Company Supervisor or Technician shall coordinate the excavation requirements.

## **5.14 Buried Services**

Underground Services shall be found or encountered in roads, footpaths and on site. It should always be assumed that they are present. Any services found should be treated as 'live'.

Generally, it is the Company's undertaking to avoid buried services, therefore when buried services are encountered in inspection pits, the borehole or excavation locations shall be relocated or cancelled if no safe location can be identified.

Before starting work appropriate service plans or written confirmation of the area in respect to buried services etc. should be provided by the Client or its representative. It should be noted that all of the service connections, cables and pipes or street lighting services may not be shown and those positions which are shown may not be accurately placed.

Where there is a specific concern and prior to work commencing, confirmation should be obtained from local services operators in respect to the size, strength, the depth and condition of the service. Where the service operator advises to do so, the services should be turned off whilst work is carried out.

It must be remembered that Cable Avoidance Tools (CAT) have limitations when used without a Signal Generator. Without the use of a Signal Generator, CAT's shall generally only detect buried 'live' services to a depth of 1 metre below ground level.

The Company undertakes to fulfil its obligations to prevent damage to services or injury to personnel as a result of buried services. However, its general practices and searches apply to potential buried services to a depth of 1.2 metres below ground level, or the capacity of the CAT's used.

Buried services site work procedure:

1. Plan the Work
2. Obtain Site Plans and CAT scan with signal generator the position
3. Check CAT and Signal Generator Equipment before use
4. Use Safe digging practices

### 5.14.1 Safe Digging Procedure

Before using any CAT and Signal Generator, check that they are within calibration and that they are functioning correctly.

Use a cable avoidance tool (CAT) and signal generator (where possible) to confirm that the information supplied on existing services is correct, and to check for services that are not shown on the service plans. Look for signs of service connections or marker posts, manhole covers etc.

Check the intended borehole / excavation location and mark the positions when cleared of services with paint or other markings such as wooden pegs.

**Borehole location** - Complete Permit to Dig, show to personnel undertaking the works and commence hand dig pit.

**Excavation location** – Complete Permit to Dig, show to the excavator operator and commence excavation.

Proceed with hand dig or excavation with caution, remaining vigilant for un-detected buried services.

As works proceed remember that some services can be situated quite close to the surface. Remember the safety slogan is:

### **“DIG, STOP and LOOK, DIG, STOP and LOOK”**

Report any discovered or damaged buried services to the Client or its representative and the Regional Operations Manager. A Company near-miss or incident (as applicable) should be completed and sent to the SHEQ Director and Regional Operations Manager.

The following table gives the type of service and the safe horizontal distance that is required to be maintained, unless expressed and documented permission to work closer is obtained from the service owner / operator.

Service	Strength	Safe permitted horizontal distance
Gas	Low (<7bar)	0.5m
Gas	Medium (<7bar)	0.5m
Gas	Intermediate (<7bar)	3.0m
Gas	High (>7bar)	15.0m
Buried Electric	33kv	3.0m
Buried Electric	132kv	5.0m
* Overhead Electric	Wooden posts	9.0m
* Overhead Electric	Steel towers	15.0m
Telecommunications	All	0.6m
Fibre Optic	All	3.0m

### 5.14.2 Cables in Concrete

Excavating close to electricity cables or communication cables buried in concrete is dangerous. Careful planning to find an alternative location is the safest way to proceed. Failing that, arrangements must be made with the service operator for the cable to be disconnected from the supply and made safe.

Written confirmation should be obtained from the owner or operator of the buried service that the supply has been disconnected prior to any work commencing.

Using mechanical means to break up concrete can cause damage to cables and if the cable is live, anyone in close proximity may be injured. This can occur even if the cable is not hit directly.

## **5.15 Suspected Gas Leak**

Remove everyone from the immediate area. Remember that if a service connection to a building has been damaged it may cause a leak into the building. Warn the occupants of the building and the adjoining buildings to leave and then:

- Telephone the local Gas Region immediately.
- Prohibit smoking and the use of a naked flame within 5m of the leak.
- Assist the gas board or emergency services as requested.

## **5.16 Site Plant and Equipment**

The Company operates little of its own plant on site, but accepts that it does have responsibility for plant and equipment hired in or owned, and used by its employees. To this end, arrangements have been made for the Site Supervisor(s) on site to ensure that the plant to be used is in good order, and fitted with all the necessary safety devices and guards.

The Site Supervisor shall be responsible for ensuring that only authorised operators use the plant or equipment, and at the end of the working day shall also ensure that all equipment has been properly secured and immobilised.

The Company shall inform all suppliers and hirers of equipment that current certificates of examination and test, where applicable, must be provided and be made available at the time of collection of the equipment.

All employees must be vigilant with respect to access by the general public, and in particular children to the work site. All non-authorised persons, and in particular children, are prohibited from entering the work areas whilst plant or equipment is in use, and all necessary measures should be taken by the site Supervisor to avoid hazards to the public on the Site outside working hours. When necessary, the work area must be fully fenced off at the end of each working day. All portable equipment must be removed from site daily, and any other equipment must be appropriately immobilised.

## **5.17 Confined Spaces**

The Company does not generally undertake work in confined spaces. If required, the Regional Operations Manager shall request the assistance of the SHEQ Director to ensure training and equipment is provided and implemented.

## **5.18 Welfare facilities on site**

The level of welfare provision provided on site shall depend on various aspects, for example the duration of the project, the number of personnel on site, the proximity of any onsite or local amenities etc. The 'Duty Holder' (the Client and the Company) shall ensure that adequate and appropriate provision is available on or near the site prior to any works commencing.

The table below (taken from HSE Construction Information Sheet 59) is an indication of the options available and the order to which they should be considered in relation to the points identified above.

Type of installation		Additional notes
1a.	<i>Fixed Installation: connected to mains drainage and water</i>	Order of preference: <ul style="list-style-type: none"> <li>• On site.</li> <li>• At a base location.</li> <li>• At a satellite compound.</li> </ul> This may include pre-arranged use of private facilities. Permission, preferably in writing, should be obtained from the proprietor in advance of the work starting. The use of public toilets is acceptable only where it is impractical to provide or make available other facilities.
1b.	<i>Portable water flushing units with water bowser and waste storage tanks.</i>	
2.	<i>Portable installation on site.</i>	<i>Consisting of chemical toilet(s), washing facilities and sufficient tables and chairs.</i>
3.	<i>Suitably designed vehicle.</i>	<i>Consisting of chemical toilet(s), washing facilities and sufficient tables and chairs.</i>
4.	<i>Facilities which are conveniently accessible to the worksite (includes public toilets).</i>	<i>Use of public toilets is acceptable only where it is impractical to provide or make available other facilities.</i>
5.	<i>Portable installation near site.</i>	<i>Incorporating chemical toilet, washing facilities and sufficient tables and seating.</i>

Additional information in relation to drinking water, storage and changing facilities can be obtained from the Company Guidance and Information Sheet 14

- Provision of Welfare Facilities during Construction Work.

## 5.19 Lone working

A number of activities undertaken on a regular basis on site may require employees to work remotely from other colleagues. This section details the Company's procedure for Lone Working situations. Additional detailed guidance can be obtained from HSE guidance booklet INDG73 (rev2) Working Alone.

A Lone Worker can be defined as a person who works by themselves or without close or direct supervision. Common examples of lone working situations within the Company include, but not limited to people working on company premises on their own, people working outside normal working hours and Engineers and Technicians working on remote sites alone, when they are not meeting suppliers or other employees.

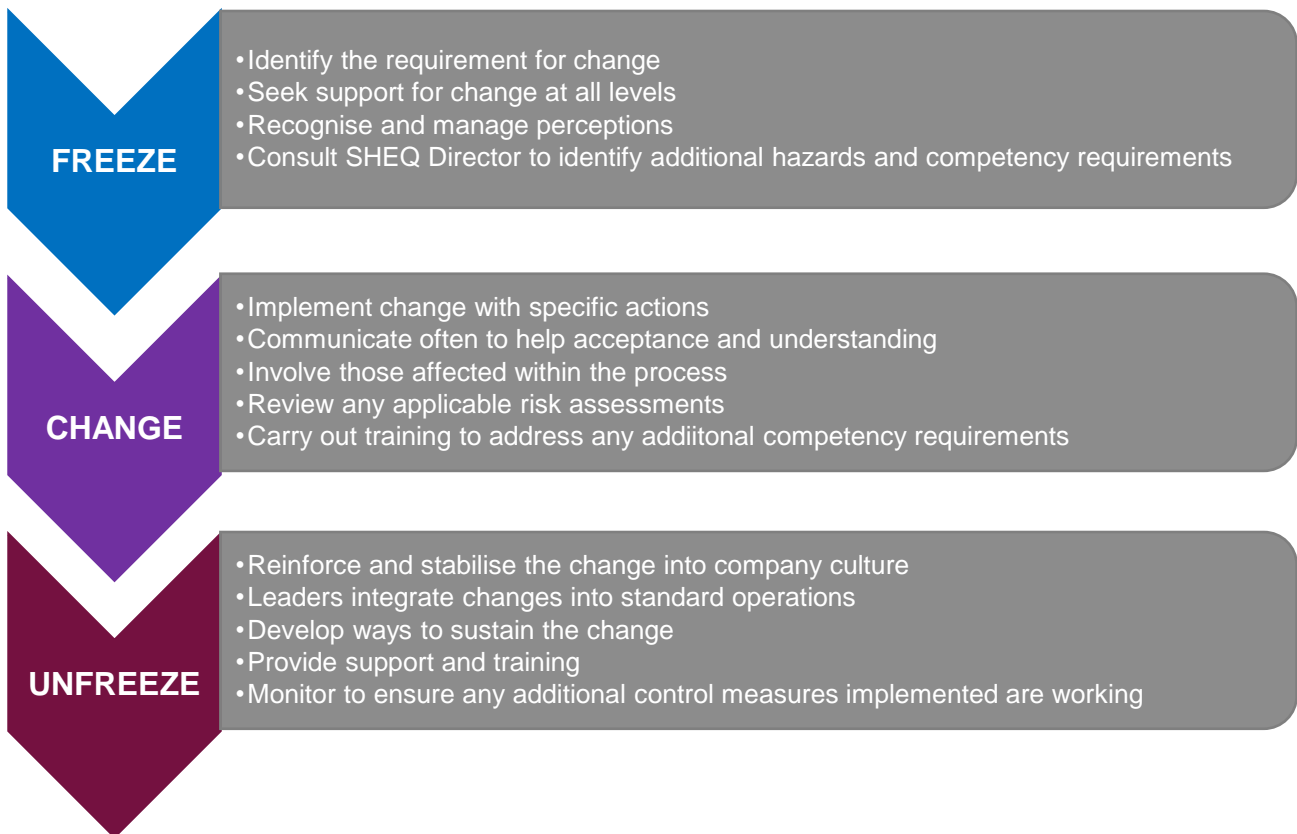
A suitable and sufficient assessment should be carried out to identify the hazards and level of risk that Lone Workers are to be exposed to. Suitable controls should be identified to reduce the risk to as low as possible. A Site Safety Assessment form should be completed.

If an individual works alone periodically they should adhere to the following instructions:

- Any relevant medical conditions that might make the individual unsuitable for working alone should be notified to the Supervisor or Manager.
- They should ensure that they are suitably experienced to undertake the work alone.
- Supervisors or company premises administrative staff should always be informed by the individual when they are going on site and for how long they shall be away.
- Seek and follow advice from the Manager or Supervisor and follow all health and Safety procedures.
- Ensure they have a 'charged' mobile telephone with them at all times on site.
- They should not put them self at any unnecessary risk. If any aspect is deemed as unsafe, the individual should seek guidance from their Supervisor.
- Any additional control measures and site rules outlined on a project-specific basis should be followed. For example, working on remote sites might require the individual to phone into company premises on a regular basis or to sign in and out with site security.
- The individual should use their instincts and avoid anyone they feel is suspicious. Move to a safe location and summon assistance (if needed) e.g. 999 or 112 (mobile) for the Police.
- If an individual is subject to unprovoked threatening behaviour on site, they should remain calm and polite, keep their distance and retreat to a safe place, and if necessary inform your Supervisor or Manager for guidance and advice. Contact the Police if necessary.
- Individuals should ensure that a first aid kit is available in the vehicle at all times.

## 5.20 Management of Change

The aim of Geotechnics' overarching Management of Change (MOC) process is to present a straightforward 3 stage model that is easily understandable and actionable, based on Lewin's Change Model. The model is designed to 1) identify requirements for change, 2) implement change, and 3) effectively establish and sustain change within the organisation. Potential hazards and associated risks are assessed at each stage, including those potentially created by the process itself.



The formal process shall not be used to capture or explore ideas, and before the formal process is utilised the following steps should be taken:

- Notify the Directors of a change requirement affecting the business operations, either internal or external.
- Await decision notification from Directors that the request is appropriate, feasible and that resources are available.

The following shall be covered by the formal MOC system:

1. New products, services and processes
2. Changes to legal and other requirements
3. Changes in knowledge or updated information about hazards and risks
4. Changes in technology
5. Changes in organisational structure

Changes shall be communicated in an appropriate manner to affected stakeholders e.g. staff, suppliers, Clients.

## 5.21 Procurement

### 5.21.1 Suppliers

A Manager has been appointed to manage the approved suppliers list and to approve the use of new suppliers based on their response to the Company's annual Quality, Environmental and Safety Compliance Review, and on the proviso that they fulfil at least one of the following criteria:

- a) Are Drilling Suppliers members of the British Drilling Association, (BDA) accredited or certificated.
- b) Are registered as firms of Assessed Capability, by any of the third-party organisations registered by the Safety Schemes in Procurement (SSIP).
- c) May be current suppliers who can be judged on their historical performance and where appropriate, audited results.
- d) The SHEQ Director has completed an audit of the proposed new suppliers' systems and training to establish competency.

Any new Drilling Supplier wishing to work for or on behalf of the Company shall be required to successfully complete the Company's Quality and Compliance Review prior to being acknowledged as a new approved supplier.

All suppliers must comply with the requirements of the Company's Health, Safety and Welfare Policy and Procedures. They shall further inform and co-operate with other employees regarding any Health, Safety or Welfare procedures specific to any particular site.

All work must be carried out in full compliance with the relevant Health and Safety statutory provisions.

Suppliers must ensure that their work is carried out in a safe manner and take account of and address any hazards or risks that their activities may pose for other personnel at work or members of the general public.

All plant and equipment brought onto site by suppliers must be safe, maintained in good working order and have current certificates of test and examination, where required by statutory provision, the company or site rules. The said plant and equipment shall only be operated by trained and competent personnel.

Suppliers shall ensure that current and valid certification or maintenance records shall be carried by them and made readily available for inspection at all times.

Suppliers shall provide evidence of training and competence of their employees.

Any Main Supplier employed by the Company shall be responsible for the actions or inactions of all workers under its control, whether directly employed or sub-contracted.

Any injury sustained to, damage caused by, or near-miss observed by suppliers must be reported immediately to the Company's Site Supervisor.

The Company shall ensure that all relevant site Health, Safety and Welfare arrangements, including fire and emergency procedures are made available and communicated to its site staff and suppliers prior to work commencing on site.

The Company's employees shall co-operate fully in matters of Health, Safety and Welfare with those employees of other suppliers who may be working on site.



Unless it is specifically agreed as part of the Company's contract with a supplier, suppliers are responsible for ensuring that they carry sufficient first aid equipment and have competent personnel in order to administer first aid should it be required.

In the event that any Supplier or its employees has an accident, it must be reported to the Company. This shall be in addition to complying with its own obligations in accordance with any statutory reporting requirements.

The on-going performance of each organisation is monitored and reviewed on a project basis against the original criteria and that of:

- Financial performance
- H&S, Environment and Quality performance
- Provision of resources and adherence to programme

A final performance review is carried out at project close and signed off by the project engineer to review the suitability of each organisation to remain on the approved supplier list. Only those who have reached an acceptable standard across the criteria are allowed to remain within the chain.

## **6. OPERATION – ISO 9001 [Clause 8]**

### **6.1 Process Control**

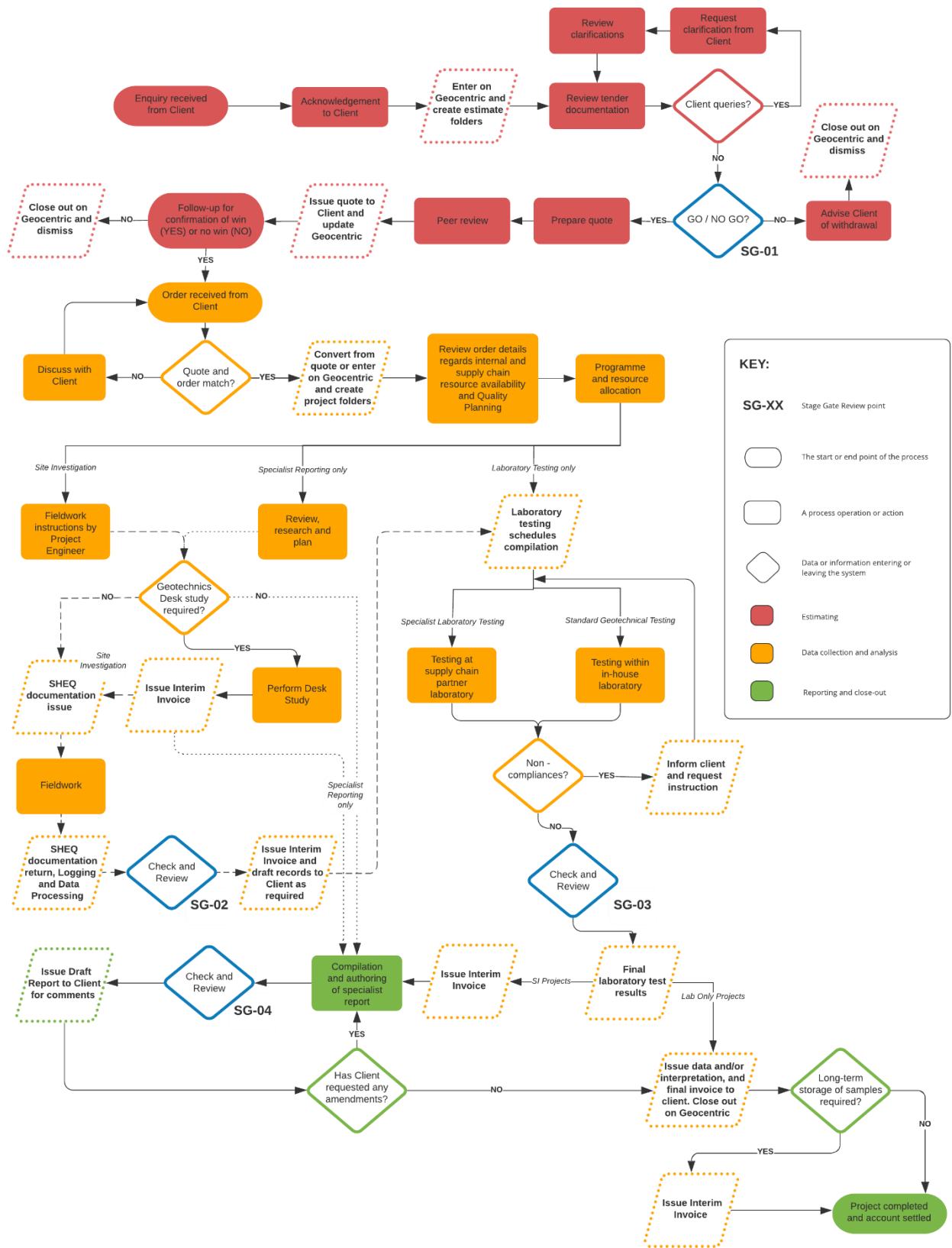
The Company is primarily engaged in the investigation of sites which are to be used for future construction development. The work involves the study of available data, the formation of trial holes, in situ and laboratory testing, monitoring, data interpretation and the provision of geotechnical and geoenvironmental advice. The output is typically presented in the form of a report.

The Process Flowchart shows the way in which Projects are managed throughout the Company.

The Company's personnel get to walk the site prior to a quotation being made in approximately 50% of the Projects quoted, in cases where they are not able walk the site this is mentioned in the quotation to cover for unforeseen problems that arise and have not been quoted for.

Weekly meetings take place between management and available engineers to monitor progress on the current workload and future programming.

Prior to the Company issuing its Final Report on a Project it shall always be cross checked and have a minimum of two authorising signatures.



## 6.2 Purchasing

The Company shall ensure that purchased services conform to specified requirements and shall evaluate and select suppliers appropriately. Where these require conformance with legal, regulatory, guidance or interested parties' requirements, these shall be confirmed by the company prior to them being approved or used. The Company shall ensure that all safety critical suppliers are RISQS approved prior to engagement for any rail projects.

The Company shall ensure that the purchasing information retained shall describe clearly and accurately the service or services that are being purchased and shall ensure that when received, the purchased services meet all specified requirements.

### 6.2.1 General

Where possible purchasing should be undertaken utilising the 'Company Purchasing System' within Geocentric. The purchasing carried out by the Company is split broadly into four parts:

1. Capital equipment and plant.
2. Suppliers
3. Hired in Plant and Equipment.
4. Site, laboratory and company premises consumables.

### 6.2.2 Capital Equipment and Plant

Capital equipment and plant is always purchased after due consideration by Senior Management.

### 6.2.3 Purchase Orders to Suppliers

Purchase Orders to suppliers for services provided on the basis of standard or site-specific rates are usually placed by phone and followed up with a confirmation email, letter or other documentation. When time is severely limited instructions to suppliers to proceed with a particular Project are given by telephone. Suppliers have strict instructions not to proceed without the appropriate Project Number being given.

For Laboratory testing suppliers, it is normal for samples to be sent accompanied with a chain of custody form and order number as appropriate. All testing required is specified on this form along with the project number.

### 6.2.4 Hired in Plant and Equipment

Plant and equipment for use on Projects or company premises, are hired from suppliers local to the area where it is required. The hire is initiated by telephone enquiry when an Order Number is normally provided. This is followed up normally by email or fax, with the Company's Official Order which includes confirmation of the agreed hire rates and delivery instructions. The Project Number is included on all project specific orders.

Orders for hire plant/equipment are placed on the basis that the plant/equipment supplied has been maintained in accordance with the manufacturer's recommendations and is fit for purpose. Furthermore, personnel supplied are competent and trained for the work required of them.

### **6.2.5 Project Consumables**

Project consumables are the responsibility of the engineer in charge of the project. Consumables may be obtained from the Company's stores delivered directly to site or may be sourced locally to the site. Where no credit facilities exist, these may be purchased for cash. In all cases the engineer is responsible for accounting for these purchases and ensuring that they are allocated to the correct Project Number.

### **6.2.6 Invoices from Project Specific Suppliers**

Project specific invoices received are carefully checked to ensure that the content and prices are correct and that the correct Project Number is quoted. The Project Number must be quoted to ensure the invoice is processed. Once all items have been ascertained as correct then the invoice is signed as being passed for payment. No purchase invoice from our sub-suppliers is passed for payment unless the Project Number has been verified.

### **6.2.7 Provision of Data/Purchasing Controls to Suppliers**

Requirements should be set out in writing and where necessary shall contain technical information supported with drawings, and instructions.

It is important that suppliers are given clear instructions. When technical information is given, instructions should contain where applicable:

- Drawing date.
- Any other relevant technical information.

Orders shall give clear instructions as to the delivery address and any other special instructions that may be required.

The Geotechnics' engineer in charge of the Project shall be responsible for the effective provision of data to suppliers.

The Geotechnics' engineer shall ensure that any modification to an instruction already sent to a Sub-Supplier shall be promptly communicated. Where appropriate this may involve the replacement of drawings or other technical information previously provided.

Dependent on circumstances, the instructions may require a written amendment, which shall be issued, signed and dated by the responsible Geotechnics' engineer or their nominee.

### **6.2.8 Verification of Purchased Services**

When it is agreed as part of the Project, the company shall make arrangements for the Client to inspect and verify the quality of the work taking place or of the services supplied. Verification by the Client shall not absolve Geotechnics Limited from the responsibility for providing acceptable services.

## 6.3 Production and Service

The Company shall ensure that where traceability is required by our Clients, services shall be uniquely identified.

Due care shall be taken with Client property whilst it is within the Company's control. Any Client property shall be identified as such and any losses, damage or inadequacies shall be reported to the Client, and records kept.

Care shall be taken to preserve the conformity of services during processing and delivery to the Client.

## 6.4 UKAS Accredited Laboratory

The Geotechnics Limited Laboratory based in Coventry is subject to compliance with the requirements of UKAS approval in order to undertake its analysis and testing in line with current standards and interested party guidance for the company. As such it has, and is subject to, its own full set of working procedures and specific quality requirements. These include annual audit visits from a UKAS third party assessment provider. The Laboratory is therefore subject to the disciplines of both its own specific UKAS related procedures and company procedures where they apply.

The Laboratory carries out a full service of geotechnical testing within its UKAS scope of approval. Where appropriate, the laboratory may also undertake internal calibration services for the company subject to compliance with reference to national or international standards. It also controls the Company's BSI Standards under the BSI Plus Scheme for those standards of relevance to its work.

## 6.5 Enquiry and Project Review

The purpose of the Review is to ensure that Clients' requirements are fully understood. This must include all statutory and regulatory requirements with regard to the use of services within the Clients' own environment and criteria even if these requirements are not specified by the Client. The process is designed to ensure that it is able to meet all of these requirements including any special requirements the Client may impose for completion of the project, before a quotation is completed or an order is accepted and processed. Any misunderstanding or uncertainty must be identified with the Client before issuing the quotation.

Clients' Enquiries, Tenders and Purchase Orders shall form the basis for determining Clients' requirements. In addition, Clients' drawings, technical data, test standards and special requirements shall be used as necessary. Any uncertainty regarding interpretation or omission in the information shall be identified with the Client by the manager responsible for the Enquiry/Project.

Enquiries are received by: -

- post
- telephone
- e-mail
- face to face contact.

Details of all enquiries which are entered into the Enquiry Register and shall receive the next available numeric "Q" number. This number is important as it allows tracking of all enquiries and quotations.

## 6.6 New Instructions

New instructions are received by the Company from the Client or his/her representative by: -

- post
- telephone
- e-mail
- face to face contact.

On receipt of a new instruction a Project file is set up and a Project Number allocated with the next available 'P' number. If the instruction to proceed is verbal, it is necessary for it to be confirmed in writing before a project can be established.

The Project Number is the over-riding reference which allows all parts of any Project to be tracked.

Written instructions are dated on receipt and entered into the file. All new projects are recorded by entering brief details in to the GeoCentric database.

Written acknowledgements of our Client's instructions are issued when specifically asked for by the Client.

The nature of the Company's work requires continuous adjustment and re-evaluation of the scope and extent of the work. Where particular activities are not covered by the quoted rates then a written confirmation of the appropriate rate is issued to the Client. Where this leads to an increase in the scope of work, programme and cost this is confirmed with the Client, if not received as a Compensation Event or Variation order under the Contract.

Details of individual projects are summarised by use of the GeoCentric Project Detail Sheet. An overview of the project progress is presented on the Project Status Report. Engineer and rig programmes may also be used.

## 6.7 Client Communication

Much of the Company's business relies on its reputation. Clients of the business are contacted on a regular basis, backed up with face to face meetings as required. In both face to face meetings and by telephone Clients' opinion of the service that has been offered and performed is regularly sought. Adverse comments, if there are any, are analysed via our Client Complaints system or our Client surveys and reviewed to ensure that solutions are implemented.

## 6.8 Site Work

Most of the Company's projects entail investigation work on site, in accordance with the relevant British Standards, Specifications and Brief for the Project. This could include the following, both individually or in combination: -

- Enabling works.
- Construction of temporary roadways and working platforms.
- Access arrangements by in house teams or suppliers.
- Cable percussion boring using suppliers.
- Rotary open-hole and core drilling using suppliers.
- Percussive drilling using suppliers.
- Trial pitting using hired plant but supervised by company engineers or technicians as appropriate.
- Window sampling/dynamic probing using both suppliers and in-house crews and equipment.
- In-situ testing using in-house staff and equipment and sometimes suppliers with hired-in equipment.

- Installation of monitoring instruments either by in-house staff or specialist suppliers.
- Survey of work locations using in-house staff or suppliers.
- Reinstatement of work areas using in-house staff or suppliers.

### **6.8.1 Engineers Instructions**

At the start of each Project, Site Engineers or other field operatives are issued with a set of documents with which to control the Project. These documents can include: -

- Construction Phase Plan/Method Statement.
- Site specific risk assessments.
- Safe Working Procedures.
- CoSHH Assessments.
- Daily Activity Briefing.
- Point of Work Risk Assessment.
- Fieldwork Drilling/Pitting instructions.
- Permit to Dig.
- Site Plan.
- Sampling Instructions.
- Drawings.
- Specifications.

Engineers shall obviously add to these instructions any further notes, letters, instructions and any other paperwork accumulated as the job progresses.

Once the Project's field work is complete relevant papers from the site records are added to the main Project File to ensure a complete history of the project is archived.

### **6.8.2 On-site Monitoring**

Installed Instruments are monitored when there is a need to evaluate trends at the site. This work is carried out as appropriate at intervals as agreed with the Client.

### **6.8.3 On-site Inspection**

Inspection is carried out as Projects demand to ensure that work on site: -

- Complies with the specification/brief.
- The assumptions made at the time of the Quotation are verified or the work is adjusted as necessary.

All site records are filed in the Project file.

### **6.8.4 Traceability**

Traceability of all samples taken is of vital importance and is maintained through a unique Project Number which is written onto all samples together with the: -

- Site name.
- Date of sampling.

- Exploratory hole number.
- Sample depths.

Further identification and appropriate traceability records shall if necessary be maintained as agreed with the Client and identified at Project Review.

### **6.8.5 Preservation of Samples**

Samples taken from site are labelled, packed, protected and stored until selected samples are tested. Samples are disposed of one month after Project completion or when the Client authorises disposal. Where this period exceeds one-month charges are normally levied.

### **6.8.6 Site Work by Suppliers**

A series of documents are used to issue instructions or requirements for the project to suppliers.

Site specific instructions and requirements shall be issued to suppliers as part of the site induction.

These may include some or all of the following: -

- Construction Phase Plan/Method Statement.
- Site specific risk assessments.
- Safe Working Procedures.
- CoSHH Assessments.
- Fieldwork Drilling/Pitting instructions.
- Permit to Dig.

## **6.9 Control of Drawings, Standards and Specifications**

Copies of all relevant British, Network Rail and Rail Safety and Standards Board (RSSB) Standards shall be kept up to date, reviewed and controlled by the SHEQ Director or their nominee, the Rail/Sentinel Coordinator or Chief Geotechnical Engineer as appropriate.

The Company is a member of the BSI Plus Scheme, under which all British Standards are controlled and updated on a monthly basis. The scheme provides both a Register and a reminder of when Standards need updating. Railway standards, as published by Network Rail and RSSB, are regularly reviewed by the Railway/Sentinel Coordinator via the respective standards portals. A register of relevant Network Rail and RSSB standards are maintained on the rail Master Document Register and copies of the standards are downloaded to the company system. When rail standards are amended or withdrawn, they will be removed from the system and replaced with the up-to-date version as required.

Any relevant standards found to be out of date shall be replaced as soon as possible by the obtaining the current standard from BSI, Network Rail or RSSB. All standards that have been superseded shall either be destroyed or clearly marked as superseded by the use of a "Superseded Stamp" across the front cover. As method statements, risk assessments and regulatory requirements change they shall be added to the Master Register and cascade down to the relevant personnel by e-mail or memo whichever is the most appropriate.

Although our industry's working notes and guidelines together with suppliers' and manufacturers' technical manuals, drawings and specifications are kept up to date as far as possible, as they form a part of our library of technical manuals, drawings and specifications they are not controlled..



### 6.9.1 Project Specific Documentation

A copy of drawings and instructions shall be kept in the relevant Project File.

It shall be each Engineer's responsibility to ensure that only up-to-date Client's drawings and specifications are used, by: -

- a) Updating the issues when changes are made.
- b) If there is any doubt as to the current issue of any drawing or specification then the Client must be contacted and its status clarified.

Original manual drawings and designs are filed separately accessed by the drawing/Project file number.

In-house computer-produced drawings are filed on the hard disk of the computer in their respective files.

A copy of each drawing is filed with the Project file. Where drawings are superseded they shall be marked as "superseded" and dated.

## 6.10 Reporting

The results of studies, investigations or tests undertaken by the Company shall be presented in a report prepared in accordance with relevant British Standards, the Project Specification and the Project Brief, and may comprise one, or a combination of the following: -

- Exploratory Hole Records
- In Situ Test Results
- Laboratory Test Results
- Desk Study Report
- Factual Report
- Interpretative Report
- Geoenvironmental Report
- Letter Report
- Specialist Sub-Supplier Report

Reports shall be prepared by appropriately qualified and experienced engineers as described on the Job Descriptions in Section 4.2 of the Manual.

Exploratory Hole Records, In Situ Test Results and Laboratory Test Results shall be presented on the appropriate company forms. They shall be issued with a covering letter, e-mail, test certificate or a dated Company Compliments Slip. A copy of the letter or Compliments Slip together with the records/results shall be kept with the Project File, or on the digital email record for the project.

Desk Study, Factual, Interpretative and Geoenvironmental Reports shall be presented in accordance with the Company style and format. They shall be dated with the month and year of issue and where draft and final versions of a report are issued, the date of the draft issue is to be used on all versions of the report unless agreed otherwise with Senior Management Staff. All Reports shall identify main author and the person or persons undertaking the review of the report. The name and professional affiliation of these two or more representatives of the Company shall be stated on the report. A digital copy of the final version of the report is to be kept in the Report Library.

Letter Reports shall be presented on Company Letter Headed Paper. The format of the report shall be determined by the Project Engineer on a project by project basis in accordance with the Project Brief.

### **6.10.1 Checking**

All reports shall be checked and reviewed prior to issue to ensure that adherence to the relevant British Standards and that the Project Brief and Specification have been met and should seek to eliminate typographical, grammatical and calculation errors, incorrect or confusing statements and inconsistencies.

Exploratory Hole Records shall be checked by a Senior, Principal or Chief Engineer. Checking can also be carried out by a suitably experienced Geotechnical Engineer where approved by Senior Management.

In Situ Test Results shall be checked by a Senior, Principal or Chief Engineer. Checking can also be carried out by a suitably experienced Geotechnical Engineer where approved by Senior Management.

The reporting of Laboratory Test Results is covered under the UKAS accredited Laboratory Testing Quality Assurance Scheme and the checking/issuing procedures detailed under this scheme shall be followed.

Desk Study Reports shall be checked by a Principal or Chief Engineer. Checking can also be carried out by suitably experienced Senior Engineers where approved by Senior Management.

Factual Reports shall be checked by a Senior, Principal or Chief Engineer. Checking can also be carried out by a suitably experienced Geotechnical Engineer where approved by Senior Management.

Interpretative Reports shall be checked by a Principal or Chief Engineer. In addition to the checking outlined above, a check of the appropriateness of the ground model and geotechnical parameters adopted and the recommendations shall be undertaken. Where more detailed calculations and analyses are undertaken, e.g. slope stability analyses or retaining wall calculations, a check of the method and calculations shall be carried out or the output shall be checked using another method and the results kept on the Project File.

Geoenvironmental Reports shall be checked by a Principal or Chief Engineer. Checking can also be carried out by staff with the appropriate environmental experience in conjunction with a Principal Engineer where approved by Senior Management. In addition to the checking outlined above, a check of the appropriateness of the ground model, the risk assessments and recommendations shall be undertaken. Where more detailed calculations are undertaken a check of the calculations shall be carried out and a copy kept on the Project File.

Where Letter Reports contain Factual information only, the checking procedure outlined above shall be adopted. Where the Letter reports are interpretative and evaluative or give geotechnical or geoenvironmental advice, the procedures outlined in the above two paragraphs should be followed. Where a report has been prepared within a broadly geotechnical team, any geoenvironmental aspects should be reviewed by a Senior, Principal or Chief Engineer outside that team. Where a report has been prepared by a broadly geoenvironmental team, any geotechnical aspects should be reviewed by a Senior, Principal or Chief Engineer outside that team.

## **6.11 Inspection and Testing**

### **6.11.1 Verification**

Verification is carried out by:

- Checking all documents relating to the Clients' instructions.
- Ensuring that suppliers have full instructions and are fully briefed.
- The Project Engineer monitoring progress of the Project during its processes.
- Checking is undertaken by Peer Review prior to issuing a final report.

If in the opinion of the Management team there are critical stages within a Project that require additional inspection, then this shall be well documented within the Project file.

### **6.11.2 In-process Site Inspection and Test Status**

The responsibility for monitoring projects and the work carried out by appointed suppliers lies within the Company.

The Company has a responsibility for its suppliers and to ensure that the Project is completed to specification and to the agreed standard. It is also responsible for ensuring any formal approvals necessary are sought and granted before the next stage of work commences.

The responsibility for day to day supervision of a Project lies with the Project Engineer reporting to Senior and Principal Engineers.

Critical stages of any Project that require inspection shall be identified at the commencement of the contract.

### **6.11.3 Final Services**

The final services of the Company's work normally take the form of a final report to the Client. This is produced after samples have been taken, analysed and tested in the laboratory. The acquired data is studied and interpreted and the significance of the data assessed in relation to site development proposals where required.

## **7. OPERATION – ISO 14001 [Clause 8]**

The Company operates a multi-tier system designed to ensure minimal risk to the environment from its fieldwork activities. As such various forms have been produced and training undertaken to ensure:

- Environmental Risk is appropriately assessed and mitigated.
- Site-specific procedures are adopted where necessary.
- Corrective actions are taken when needed.
- All persons involved with the works are aware of the potential risks, mitigation measures and site-specific procedures that are relevant to the works site and surrounding area.

Issues arising from site specific Risk Assessments shall be transmitted to all individuals and/or suppliers involved in the fieldworks prior to their starting the works. A signed record of this shall be kept in the site file during site works and returned to the project file on completion of the works by the site engineer. This is considered a key element of Company Training and compliance.

In cases where the Company is working to environmental assessments, briefings, systems or methods provided by a supplier and/or other third parties, note shall be made of this fact in the site and project files with a copy of the method and/or relevant correspondence clearly referenced.

### **7.1 Waste Storage, Handling and Disposal**

The storage, handling and disposal of waste are the responsibility of the SHEQ Director and their regional nominees. It is the responsibility of the SHEQ Director assisted by the Environmental Manager and their regional nominees to identify all relevant waste streams.

General waste produced on site is mainly soil, but may also include small amounts of timber, plastics, metal, glass, food and food packaging.

Potentially hazardous wastes that may be encountered on sites include (but are not necessarily limited to): oils, lubricants, soil, water and asbestos.

Geotechnics Limited shall engage only specialist, competent and legally compliant waste suppliers to arrange for the collection and disposal of all wastes, including hazardous waste.

The SHEQ Director assisted by the Environmental Manager and their regional nominees are responsible for collating and monitoring data supplied by the specialist waste supplier(s) in relation to compliance with duty of care requirements.

Any member of staff in each company premises, who signs a waste transfer and/or consignment note, must pass copies of them to the locally Responsible Person for filing.

#### **7.1.1 Waste Handling**

All wastes shall be further separated at the premises of Geotechnics Limited's specialist waste suppliers in line with current waste guidance where practicable or by the waste supplier at their premises.

Any employee handling waste shall wear appropriate PPE in line with the Company's risk assessments, COSHH or other guidance.

Any spillage shall be dealt in accordance with the Spillage Procedure.

Geotechnics Limited as a Company is registered / authorised to transport wastes, the Certificate of Registration issued by the Environment Agency is held by the SHEQ Director and is freely available to anyone who may request a copy of the document. The Environment Agency shall be notified if any details of the Registration change and an application for renewal shall be made prior to the expiry date where necessary.

The removal and control of Geotechnics Limited's waste is undertaken by suppliers, who are responsible for the complete operational cycle. Should the supplier fail to carry out their obligations under contract and duty of care, the SHEQ Director, Environmental Manager and/or responsible Manager shall determine and instigate the necessary courses of action.

### **7.1.2 Waste**

All wastes shall be removed by an appropriately licensed company. Licences shall be checked on an annual basis or as and when requested by the SHEQ Director, local waste and/or local representative. Copies of all relevant licence documentation shall be retained for at least 3 years by the relevant waste person.

All waste shall be removed to appropriately licensed sites. These shall be checked on an annual basis. A copy of all waste management licences shall be retained for 3 years by the relevant waste person.

All waste movements to the point of disposal shall be accompanied by and recorded on an appropriate and suitable waste consignment note.

A copy of the waste consignment note shall be held by the relevant waste person(s) assigned this task at each company premises or for each waste type. Copies shall be made available to the SHEQ Director, the designated person or auditor. Geotechnics Limited shall retain waste consignment notes for a minimum period of 3 years.

### **7.1.3 Control of Waste Companies**

All suppliers shall be required to act in accordance with their own Supplier's Procedure.

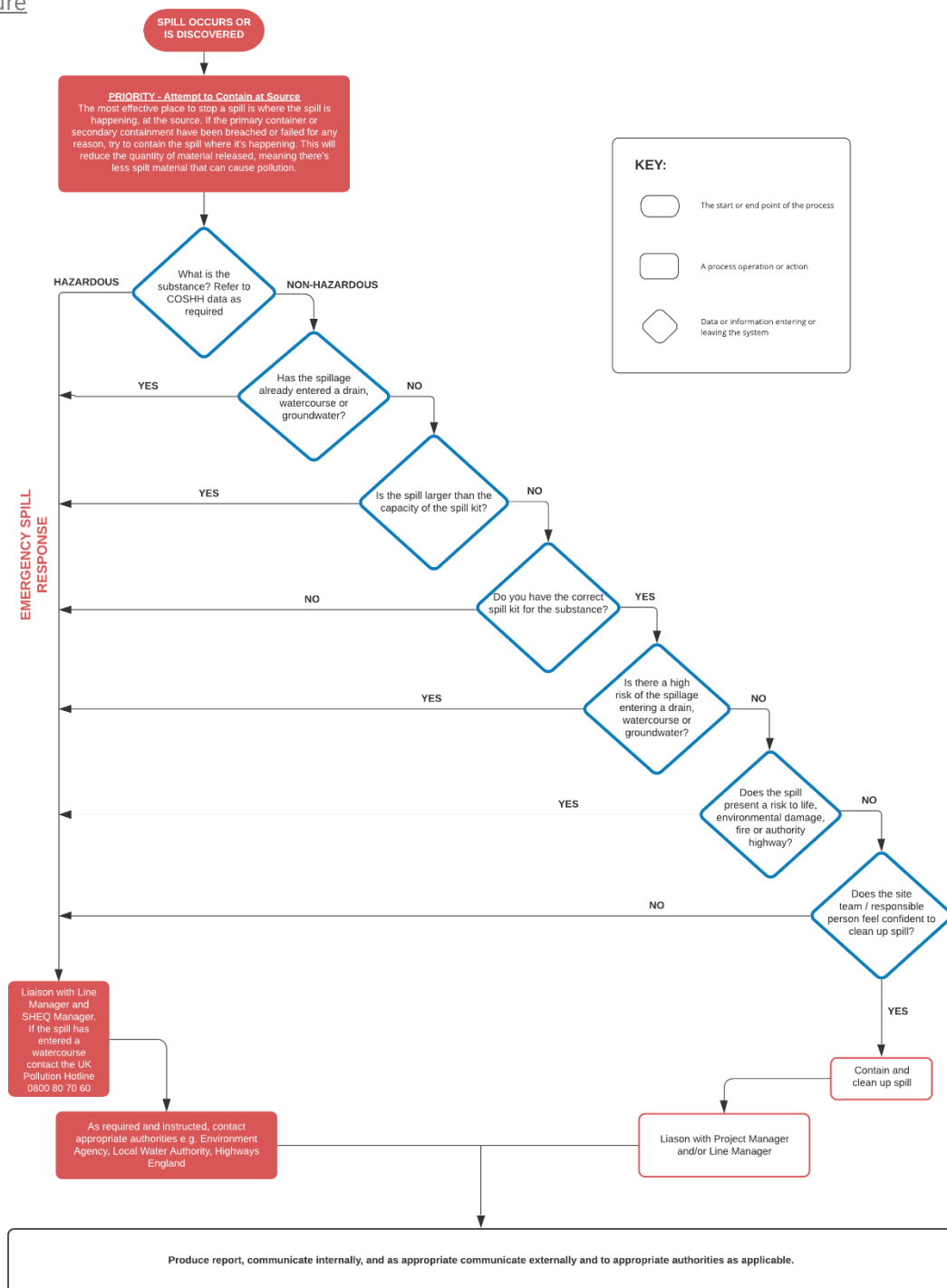
New waste carriers shall preferably be ISO14001 accredited, but all new waste carriers shall be verified through the Environment Agency's website where required to ensure their compliance with legislation in accordance with in-house waste procedures.

## 7.2 Control of Spillages

The SHEQ Director assisted by the Environmental Manager is responsible for ensuring spill kits are kept in known locations and that they are maintained. All employees are responsible for minimising the risk of spillages and cleaning them up if they occur. The Site Supervisor/Field Engineer is responsible for reporting significant spillages in the field to the SHEQ Director or their Line Manager.

The SHEQ Director or Line Manager is responsible for contacting the relevant agency in the event of a significant spillage entering a drain.

### Spillage Procedure



## 7.3 Suppliers

Project Engineers and their Managers are jointly responsible for ensuring that all suppliers are fully informed of the Environmental Policy Statement, Management system and that their compliance is monitored.

It is the responsibility of all Company operatives and the Company's suppliers to ensure that they comply with the provisions of the Management system and this procedure in so far as they relate to matters within their control.

The supplier shall ensure that all staff they employ in any work for the Company have sufficient competence for the work being carried out and are capable of performing their duties in a manner compatible with the Company Management system. If deemed unable to do so, additional requirements such as on-site training in the relevant requirements, auditing or replacement may be undertaken to ensure competence in the tasks required.

Managers and Directors shall ensure that all works undertaken conform to the requirements of Geotechnics Limited Management system, particularly where this relates to identified risks such as noise, dust, the use of hazardous substances, spillage and the management of waste material both on site and at each company premises.

### 7.3.1 Duty of Care

All suppliers on site and at each company premises are required to exercise reasonable professional skill, care and responsibility in carrying out their work to minimise environmental impact.

All suppliers are required to notify Geotechnics Limited of any occurrences, hazards or risks of environmental significance, of which they become aware, even if they do not relate directly to their own work, including evidence of significant leakage of water and discharges of harmful substances that could cause potential environmental damage.

No supplier shall carry out any work that shall cause harm to the environment or expose any person to hazardous substances until a satisfactory assessment of the risk has been undertaken and suitable precautions put in place.

Risk assessments are to be further reviewed for any other aspects that have been identified under different operating conditions – normal, abnormal and potential.

Suppliers must notify Geotechnics Limited of any work involving substances covered by the COSHH or REACH Regulations which has an associated environmental risk for agreement prior to starting. External suppliers employed by the Company are responsible for ensuring that appropriate risk assessments have been completed prior to the use of such substances on the site.

### 7.3.2 Supplier Induction

Where applicable, all suppliers working on-site or at company premises either directly or indirectly for the Company shall receive an induction and be made aware of the following prior to the commencement of any work:

- Geotechnics Limited's Environmental Policy and the need to prevent pollution; conserve resources, energy and water; and the need to minimise waste
- The location of the H&S or Engineers Site File and any additional relevant information such as the CDM plan.

- Disposal requirements for wastes generated by the works, and what actions to take in the event of a spillage, environmental incident or other situation requiring an emergency response.
- Works Instructions for the provision of dealing with emergencies on site.
- That their signature on the Induction and Briefing Record for a site or signing in at company premises is an acknowledgement of their awareness and acceptance of the site specific and general environmental requirements for working on the site.

Local arrangements for ensuring compliance with this procedure shall be documented and may include the use of 'permits to work' as well as the incorporation of an appropriate environmental risk assessment (produced in accordance with Geotechnics Limited policy, procedure and documentation) in a site-specific Construction Phase Plan or Method Statement.

Documented records shall be kept to demonstrate compliance with Geotechnics Limited's Document Control Procedures. These procedures are constantly under review for ISO9001 and 14001 and may be changed as necessary.

Where a supplier operates under its own environmental policy, the supplier shall forward a copy of its policy to the SHEQ Director for review and filing in accordance with the Records Procedure.

Where a Client requires the Company and its suppliers to follow their procedures, attend briefings or undertake works in accord with their procedures, policies and practice, note shall be made of this fact in all relevant site and project files. References to the locations of any and all such relevant documentation shall also be included.

No fires shall be allowed on any Geotechnics Limited site (including company premises) for any reason unless agreed with both Geotechnics Limited and any appropriate regulators in writing and where it is not in direct contravention of lease or other requirements.



## **8. EMERGENCY PREPAREDNESS AND RESPONSE**

### **8.1 First Aid**

#### **8.1.1 First Aid Notices & Nominated First Aid trained personnel**

First Aid notices are posted in each company premises advising the following information:

- a) Location of the First Aid Kits.
- b) Name of the person responsible for first aid.

The Laboratory Manager shall ensure adequate and appropriate first aid provision and personnel are provided for the Laboratory and details of where the first aid provision is located and the names of the first aid trained personnel are notified to all laboratory employees.

A record of all accidents, incidents and near misses, shall be submitted to the SHEQ Director.

Every injury occurring on company premises must be examined by a First-Aider who, after having examined the injury, shall be responsible for determining whether further medical attention is necessary.

Each of the Company's vehicles shall be furnished with an appropriate first-aid kit. This kit is only intended for use in minor injuries. More serious injuries must be referred by the persons on site to the nearest hospital or medical practice. The person to whom the vehicle is assigned is responsible for ensuring that the first aid provision is replenished as appropriate.

Casualties with minor injuries of a sort that they could self-administer first aid may do so, providing that a subsequent report is completed, and the person responsible for the replenishing of the first aid provision is notified.

Casualties with a more serious injury shall contact the Company or if appropriate, site based First Aid trained personnel who shall assess the injury and make the appropriate decision.

The completion of the Company forms for all injuries, incidents or near-misses, and cooperation with any enquiry or investigation is mandatory.

#### **8.1.2 First Aid trained personnel responsibilities**

- a) Assessing the extent of the injury sustained and providing emergency first aid treatment in accordance with their training.
- b) Ensuring that the Regional Operations Manager is notified of the accident.
- c) Ensuring that transportation is available should the patient need to be taken to hospital.
- d) Completing the Accident Report.
- e) Informing the Regional Operations Manager or Principal Engineer if they are not able to carry out emergency treatment.
- f) Ensuring their individual competencies remains valid and up to date. This includes both Emergency First Aid at Work and First Aid at Work qualifications.

### **8.1.3 Regional Operations Manager's responsibilities**

- a) Providing or arranging for the provision of transport for the injured person to home or hospital as appropriate, and providing assistance in any way considered appropriate to the circumstances.
- b) Ensure the reporting of all Accidents, Incidents and Near Misses to the SHEQ Director who shall keep and maintain a numbered record of all accidents.
- c) Confirming that all persons and organisations that need to be made aware of each incident are advised.
- d) Ensuring that first aid training is reviewed and renewed as appropriate.

The First Aid trained personnel and nominated people at each of the company premises shall ensure, on a regular basis, that all first-aid boxes are checked to ensure that their contents comply with the minimum statutory requirement.

## **8.2 Accident, Incident and Near-Miss Reporting**

### **8.2.1 Near-Miss Reporting**

The potential for accidents and injury to both the Company's and other suppliers' employees when working on site is significant. The experience of a near-miss experience should be shared not only amongst the Company, but with all suppliers. This shall enable the collective experiences to contribute to making site working practices and procedures safer. Reporting of near misses using the Company form is mandatory. All near misses should be reported to the Regional Operations Manager or Representative of Employee Safety at each of the company premises, who shall in turn ensure that the SHEQ Director is notified.

In the event that the near- miss is considered as potentially very serious, the person observing the near-miss should contact the SHEQ Director immediately.

### **8.2.2 Incident Reporting**

All incidents, however slight, should be reported immediately to the Site Supervisor.

The Site Supervisor shall ensure that a Company form is completed and provided to the respective SHEQ Director.

A copy of the incident report form shall be kept at each of the company premises and any incidents, no matter how minor, must be recorded. On completion of the report form, it should be scanned and a copy emailed to the SHEQ Director.

### **8.2.3 Accident Reporting**

All cases of illness or injury, however slight, arising from or in the course of employment should be reported immediately to the First-Aid trained personnel and the employee's immediate Supervisor or Line Manager, and a Company Accident report form completed.

A copy of the accident report form shall be kept at each of the company premises and any injuries, no matter how minor, must be recorded. The report can be completed by the injured person themselves, the First-Aid trained personnel, or their immediate Supervisor. On completion of the report form, it should be photocopied or duplicated and the original sent to the SHEQ Director.

In the event of an accident on site, the site Supervisor shall ensure that it is brought to the attention of their Line Manager / Regional Operations Manager and the SHEQ Director at the earliest opportunity. The Regional Operations Manager shall ensure that the actions identified are implemented at the earliest opportunity.

The SHEQ Director shall carry out an investigation of all accidents.

#### **8.2.4 RIDDOR Procedures**

Any notifiable Accident, Incident or Dangerous Occurrence that is required to be reported under the statutory requirements, shall be carried out by the SHEQ Director.

All formal notifications shall be kept on file by the SHEQ Director in accordance with statutory requirements.

#### **8.2.5 Accidents and Incidents on Network Rail Managed Infrastructure (NRMI)**

The Project Manager and SHEQ Director shall be responsible for ensuring that any accidents, incidents or rail work reportable occurrences are reported in accordance with the Network Rail procedural requirements current at the time of the works being undertaken.

Although contingency planning when working on NRMI is the responsibility of the Main Supplier, employees of suppliers should be prepared for situations that would put the Company's employees in danger. These simple rules must be followed:

- a) Remove yourself from the danger.
- b) Obey the chain of command on site and inform others.
- c) Stay on site in a position of safety.
- d) Co-operate up to your level of competence.
- e) Do not communicate with outside agencies. Follow the Rule Book.
- f) Do not interfere with any evidence, unless it is life threatening.
- g) Ensure that the Company SHEQ Director is notified.

Remember that emergencies can develop rapidly so employees or suppliers may have to use their own initiative.

#### **8.2.6 Reporting of Accidents, Incidents and Occupational ill Health occurring while working on Rail assets (including Environmental Incidents)**

In accordance with Network Rail Standard NR/L3/INV3001, all employees and subcontractors shall report any accidents, incidents or occupational ill health resulting from working on NRMI to the SHEQ Director and the Sentinel Coordinator.

The SHEQ Director and the Sentinel Coordinator shall conduct preliminary investigations and notify the relevant SHE Reporting team of all accidents and incidents and cases of occupational ill health.

Reports should be recorded by the SHE Reporting Manager in the Safety Management Intelligence System (SMIS) within three working days if the event is reportable to Rail Accident Investigation Branch (RAIB) under schedule 1 or 2 of Railway Accident, Investigation and Reporting guidance.

All other events shall be reported within 5 working days.

Environmental incidents on NRMI shall be reported to the SHEQ Director, Environmental Manager and Sentinel Coordinator.

## **8.3 Emergency evacuation procedures**

In case of a fire (or similar hazardous occurrence-explosion etc.), it is the duty of all concerned to prevent injury or loss of life where possible.

Immediately the fire is discovered the alarm should be raised by whatever method is applicable to the location.

Employees should only attempt to tackle a small fire, using appropriate appliances, if trained to do so, and by doing so, would not endanger themselves or others.

All employees must be familiar with the most direct evacuation route from their place of work, which shall be highlighted during their induction.

Doors shall be closed where possible as the workforce leaves the room.

The Regional Operations Manager / Site Supervisor shall identify a suitable external assembly point away from the premises / site, and shall make its whereabouts known to all occupants, including visitors.

The Regional Operations Manager / Site Supervisor shall nominate a responsible person to coordinate any evacuation and take charge of the situation until the emergency services are in attendance.

The Regional Operations Manager shall designate Fire Marshals to ensure that people have left the premises. On completion of checking the area of their responsibility, they shall report to the responsible person coordinating the evacuation.

The Regional Operations Manager shall ensure that evacuation drills are carried out at regular intervals not exceeding 12 months, and shall keep a record of the time taken to evacuate the premise and the number of personnel evacuated.

All occupants of the premises shall assemble in the designated Assembly Point.

### **8.3.1 Fire Extinguishers**

The Company has contracts with specialist Companies to ensure that the fire extinguishers on the premises are maintained in good condition, and are of the correct type.

The Regional Operations Manager shall ensure that the fire extinguishers at their respective company premises are serviced and maintained on an annual basis, and after any individual use.

All new employees shall be given training on the fire procedure during their induction.

### **8.3.2 Fire Alarm**

The Regional Operations Manager shall ensure that the fire alarm system is tested by a competent and responsible person on a weekly basis, and serviced by a Competent Engineer annually. A record of the weekly tests, and the call point / break glass activated shall be kept.

All fire alarm call points / break glass call points shall be tested on a cyclical basis.

On hearing the alarm or being told of a fire the receptionist or other delegated person shall immediately ring 999 and ask for the fire service. The building should be evacuated and only re-entered on specific instruction from the Fire Emergency Service.

On hearing the alarm employees should turn off any equipment that they are using and immediately leave by the nearest available designated exit, and proceed to the designated assembly point.

Employees should not return inside the building until it has been declared to be safe by the Fire Emergency Services or by a Senior Manager in the event of a false alarm.

The Responsible Person coordinating the evacuation should ensure that the Fire Emergency Service is informed of the following:

- a) Any areas not known to be clear of personnel.
- b) Any hazardous items in the area of the fire i.e. gas bottles, flammable liquids, dangerous chemicals etc.
- c) If applicable, the asbestos register.

## **8.4 Environmental Incidents**

The SHEQ Director assisted by the Environmental Manager and in consultation with the interested parties, shall be responsible for assessing, creating, reviewing and revising, where necessary, the Company's emergency preparedness and response procedures with regard to the potentially detrimental effects of accidental events on the environment as outlined and highlighted in the aspects register.

Reviews by the SHEQ Director assisted by the Environmental Manager should consist of ongoing risk assessments of current procedures including:

- The environmental contribution to the company premises-specific emergency plans.
- Spill control plans.
- Special waste contingency plans.

To ensure that the review is comprehensive, potential environmental emergency situations have been identified initially through the Significant Aspects Procedure and shall be subject to periodic review of data accumulated in the previous period from feedback from Site Engineers through Geocentric and other relevant parties (i.e. HSE) regarding potential and actual environmental incidents.

New procedures shall be written in the event of changes to processes as well as in the light of experience from exercises, accidents and incidents. Training of relevant personnel in emergency plans shall be a key element of Company training.

Company premises emergency plans shall be produced, recorded and controlled by the Company SHEQ Director. These shall include an environmental section, master copies of which shall be controlled by the SHEQ Director.

The location of company premises emergency equipment shall be identified on a Site Map. A master electronic copy of this shall be controlled by the SHEQ Director with appropriate copies being located in strategic places around each site.

In the actual event of an emergency, the Company and its staff shall endeavour to respond in such a way as to prevent or mitigate any associated adverse environmental impacts where this does not conflict with the general principles of personal health and safety.

Emergency response procedures shall be subject to testing through toolbox talks, training, auditing, memoranda and practical exercises as appropriate.

Each office shall be subject to a spillage response test that shall be undertaken annually. The results shall be noted on the company premises housekeeping sheet.

Any notifiable Environmental Incident that is required to be reported under the statutory requirements, shall be carried out by the SHEQ Director.

Reports shall be made using the Environment Agency incident hotline number 0800 80 70 60

All formal notifications shall be kept on file by the SHEQ Director in accordance with statutory requirements.

## **8.5 Visitors**

All visitors to company premises must report to Reception on arrival and sign the visitor's book. They shall be issued with an identification tag which contains fire and emergency instructions. It is important that these tags are retrieved by reception on the visitor's departure, and that visitors sign out.

Clients and supplier representatives shall be escorted at all times by an experienced member of the Company.

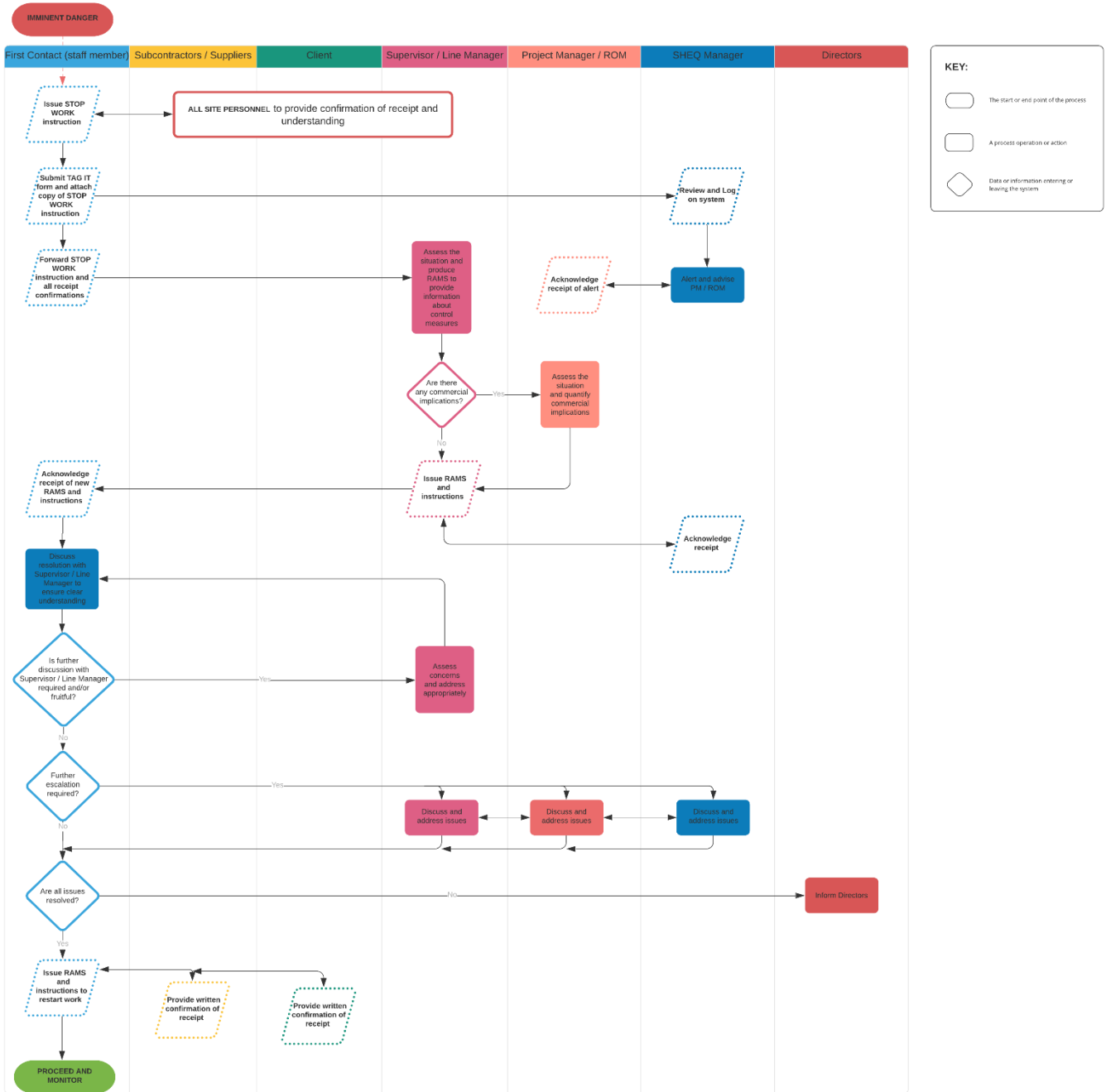
In the event of the fire alarm sounding, the Company employee escorting the visitor shall take them immediately to the assembly point.

In the event of a fire alarm sounding, the Receptionist shall take the visitors book to the fire assembly point, immediately after calling the Fire Emergency Services.

Persons not employed by the Company, but working in or on the Company premises, shall either be accompanied or informed of appropriate safety rules.

## 8.6 Employees stopping work on health and safety grounds

Notwithstanding the safety procedures adopted for various activities, every employee involved in such activities has the right to stop work if in their opinion they are being exposed to serious imminent and avoidable danger. Each case shall be reviewed by a competent person and appropriate revisions to safety procedures implemented prior to work recommencing.



## **9. PERFORMANCE EVALUATION [Clause 9]**

### **9.1 Client Satisfaction**

#### **9.1.1 Client Feedback**

Client views shall be closely monitored by: -

- Analysis of Client complaints.
- Regular or periodic visits to our Clients' premises, programmed to relate to the scale of work awarded to the company by the Clients and their need.
- Client Surveys.

#### **9.1.2 Client Surveys**

Client Surveys are seen by the Company as a tool for improvement. Client surveys are sent out when considered appropriate by the Senior Management Team and allow the Clients to score the company against seven criteria which are: -

- 1) Response to Tender Enquiry.
- 2) Site Management.
- 3) Site work quality.
- 4) Professional Liaison
- 5) Quality of Reports.
- 6) Programme Adherence.
- 7) Value for Money.

#### **9.1.3 Client Complaints**

Complaints of any description from a Client are a warning that they are dissatisfied with the Company's service. To ignore a complaint once received gives the Client a valid reason to move his/her business elsewhere.

It is the responsibility of the person receiving a complaint to ensure that it is entered into the Company's Complaints Register.

The information detailed on the register shall be used to make a judgement as to the validity of the complaint, and the consequent action to be taken to satisfy the Client.

All complaints shall be reviewed by the responsible manager, at which time where necessary responsibilities for action shall be allocated and a timescale set for:

- 1) The complaint to be fully investigated using the company complaint form CRM005.
- 2) The instigation of any corrective action needed to satisfy the Client.
- 3) The completion of any corrective action to prevent re-occurrence.

To ensure that effective monitoring of Clients' complaints is taken through to a satisfactory conclusion (problem permanently solved), a file of outstanding complaints and their resolution shall be maintained by the local management.



This file shall consist of:

- 1) Live complaints.
- 2) Archive File of completed and resolved complaints (complaints actioned and agreed as having been dealt with).

The live complaints file shall be reviewed prior to the six-monthly quality meeting to determine:

- a) The number of complaints received during the last six months.
- b) The detail and the nature of the complaints.
- c) The way in which they have been resolved.
- d) The number and age of the outstanding complaints.

A review of Company's Complaints received in the preceding six months shall be carried out at the Six-Monthly Management Review meeting together with any follow up short- and long-term action that has been necessary to ensure continuous improvement. The results of these actions shall be minuted and retained for record purposes.

## **9.2 Inspections and Audits**

The SHEQ Director shall undertake frequent site inspections and audits, and produce a summary report to the Site Supervisor, Regional Operations Manager and Supplier(s) as applicable.

The Regional Operations Managers are at liberty to request the SHEQ Director to undertake site inspections and audits, or multiple site inspections and audits of any project. Additionally, the SHEQ Director shall randomly select a site or project to inspect and audit.

The Inspection and audit results shall be used to ensure that:

- Any immediate shortfalls are addressed and action taken.
- Any long-term action required is recorded and recommendations made to the Regional Operations Manager and Supplier(s).
- No plant, equipment or facility is allowed to remain in use if in an unsafe condition.
- A record is kept of all actions taken as a result of the Inspection / Audit having been carried out.
- A record of all Health and Safety Inspections / Audits is maintained.

The SHEQ Director shall produce a timely report on the Company's performance in relation to Health, Safety, Welfare and Environment, for consideration by the Health and Safety Committee.

### **9.2.1 Internal audits**

In order to ensure that the Documented Health and Safety, Quality Assurance & Environmental System activities continue to comply with the documented objectives and to determine the effectiveness of the elements comprising the system, planned and documented internal audits shall be conducted.

Audits shall be under the control of the SHEQ Director who shall, where necessary, use external auditors to carry out audits on the systems and procedures recorded in this Manual to the programme laid down on the System Audit Programme. The frequency of the audits may vary and shall be based upon the nature and importance of

the activity concerned and shall also depend on the results of past audits. It shall be the aim to ensure that all procedures are audited at least once per year.

A system audit should not be carried out by anyone who has responsibility for the effective operation of the procedure being audited. Auditors shall be suitably experienced and competent (with a minimum of 3 years relevant experience) of the discretion of the SHEQ Director. The auditors shall normally have undertaken either internal or external training. In addition, they shall understand the relevant Standard Quality System, Manual and Process being audited.

The results of these audits shall be recorded on the System Audit Record Form.

If a non-conformance is established corrective action shall be taken as soon as possible. A Senior Manager or SHEQ Director shall either implement the necessary corrective action or identify the most appropriate person to do so. Any corrective action taken due to non-conformance shall be recorded on the System Audit Record Form.

A verification check shall be carried out by Senior Management or their nominee as soon as possible and within two weeks after any corrective action has taken place or after a modification to a section in the Manual is made. A review of the results of these audits shall take place at the six-monthly Management Review Meeting. The whole of this review shall be recorded and these minutes together with details of corrective action shall be retained for record purposes.

Debriefing /Audit Report

Site work including work on NRMI shall be audited at the end of each project/shift by means of the Site Close-out Record in Geocentric.

## **9.3 Inspection, Measuring and Test Equipment**

It is the responsibility of the SHEQ Director or his nominee at each of the company premises to ensure that Inspection, Measuring and Test Equipment is maintained in good condition and to a known level of accuracy in accordance with the company quality manual section 4.2.

Equipment is calibrated by calibration services approved by UKAS or equivalent or by the manufacturers as required by their schedules. The Company's in-house Laboratory is UKAS accredited and is able to calibrate a proportion of equipment within its calibration scope.

Equipment not calibrated by the Laboratory is calibrated externally by an accredited body or by its manufacturer working with equipment calibrated where possible by a UKAS laboratory.

Details of these Calibration Service Company's certification and scope shall be held by the SHEQ Director or his nominee at each of the company premises responsible for calibration.

Externally calibrated equipment shall be identified by the Calibrating Company's label showing the unique equipment number and its calibration date.

Calibration criteria shall be controlled by use of an individual Calibration Record Card or digital records, showing a history for each instrument indicating the calibration period and the next calibration date.

Calibration periods may vary according to each instrument's use and calibration record.

## 9.4 Evaluation of Legal Compliance

Compliance with legal and other relevant standards, Code of Practices and industry guidance is regularly reviewed and documented within the framework of the management reviews, staff forums, project reviews and regular audits.

Information about changes of requirements is communicated through company involvement with trade associations and professional memberships, subscriptions to industry publications. Internally, changes are identified through various committees and Senior Management meetings, such as the Health and Safety Committee meeting or Senior Management Review meetings.

The Company has established a documented procedure, in the form of a Live Compliance Register to meet the requirements of ISO 45001: 2018 and changes to the requirements are considered as fast as reasonably possible.

## 9.5 Management review

Management Reviews shall be conducted usually on a six-monthly basis, although reviews may be carried out more frequently at the discretion of the Senior Management.

The Management Review meetings shall include the agenda items set out below: -

1. Minutes of Last Meeting and Matters Arising
2. Health and Safety, Quality and Environmental Policies Review
3. Objectives - review
4. Risk and Opportunities Review
5. Internal and External Audit Findings and Review
6. Review of Interested Parties and communication with IP
7. Legislation and other requirements
8. Evaluation of legal compliance
9. Incidents, accidents and near misses
10. Site inspections
11. Consultation and participation
12. Supplier performance
13. Resources for maintaining the management system
14. Continual improvement opportunities
15. Any other business

Actual and potential problems that are identified shall be discussed and corrective action developed, agreed and recorded.

A formal record shall be kept of the Management Review meetings for a minimum period of three years.

The Company's Health, Safety & Welfare Policy shall be reviewed at least on an annual basis to ensure that it continues to meet the needs of the company and its Clients.

## **10. IMPROVEMENT [Clause 10]**

### **10.1 Corrective and Preventative Action**

#### **10.1.1 Audits**

Where a system audit indicates a deviation from written procedure, corrective action shall be taken, either by amending the procedure, when this action is more effective in achieving the desired results, or by reverting the action back in accordance with written procedures. Corrective action shall be recorded.

Corrective actions are recorded on the Health & Safety, Quality, Environmental and Internal audit records.

#### **10.1.2 Records and Meetings**

Suggestions for ongoing improvements to the system are also recorded and acted upon through the systems audits.

Every six months the records shall be discussed at the six-monthly Health and Safety Meeting for consideration of any management corrective action on deteriorating trends or consistent problems.

Minutes of these meetings shall be recorded stating any corrective actions that have been implemented, the time scale for their completion, and the person responsible for their completion and effectiveness.

Corrective actions are recorded on the Risk and Opportunity Record.

#### **10.1.3 Non-conformance**

It is important that once a non-conformance has been identified the corrective actions agreed to enable both short- and long-term solutions are applied. These may constitute: -

- Short term actions, to enable Clients to be satisfied in the shortest possible time.
- Long term preventative actions to enable on-going improvements to take place.

Corrective action shall take place whenever there is sufficient evidence of non-conformance to specification or procedure. Preventative actions shall be incorporated within the long-term actions that the Company put in place.

Corrective actions are recorded on the Risk and Opportunity Record, Internal audit log or External audit log as required.

### **10.2 Continual Improvement**

The Company subscribes to the concept of continual improvement to its processes.

Ideas for continuous Improvement can be put forward by any member of the workforce and may include the need for Client education. These are discussed at management and Health and Safety meetings.

Procedures are monitored to ensure an appropriate level of capability. The procedures shall be reviewed regularly to seek improvements.

The Company uses its Health and Safety meetings where its aim of continuous improvement is on the agenda and discussed. One of the drivers for obtaining continuous improvement is its "Client's Feedback and Complaints" which highlight problems and give new ideas. These would typically cover such areas as:

- Procedure analysis.
- Procedure performance.
- Procedure improvement.
- Continuing orders from existing Clients.

## 11. ISO STANDARD CORRELATIONS

ISO standard requirements		Referenced section in this manual
Title	Clause No.	
<b><u>Context of the organisation – Clause 4</u></b>		
Understanding the organisation and its context	4.1	1
Understanding the needs and expectations of interested parties	4.2	1.1
Scope	4.3	1.2
<b><u>Leadership and commitment – Clause 5</u></b>		
Policy	5.2	2.2 – 2.4
Organisational roles, responsibilities and authorities	5.3	2.5
Consultation & participation of workers	5.4	2.6
<b><u>Planning – Clause 6</u></b>		
Actions to address risks and opportunities	6.1	3.1
Objectives	6.2	3.4
<b><u>Support – Clause 7</u></b>		
Resources	7.1	4.1
Competence	7.2	4.2
Awareness	7.3	4.3

ISO standard requirements		Referenced section in this manual
Title	Clause No.	
Communication	7.4	4.4
Documented information	7.5	4.5
<b><u>Operation – Clause 8</u></b>		
Operational planning and control	8.1	5 - 7
Emergency preparedness and response	8.2	8
<b><u>Performance evaluation – Clause 9</u></b>		
Internal Audit	9.2	9.2
Management review	9.3	9.5
<b><u>Improvement – Clause 10</u></b>		
Nonconformity and corrective action	10.2	10.1
Continual improvement	10.3	10.2