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4. SAFETY MANAGEMENT STRUCTURE AND ORGANISATION

4.1 Overview.

The South Tynedale Railway Preservation Society Ltd (STRPS), which is a charitable company, operates the railway and associated facilities from a base at Alston. It operates primarily with a volunteer work force supported, as required, by contactors and freelance personnel.

At the heart of safety arrangements on the South Tynedale Railway are effective governance and a positive, learning, collaborative safety culture.

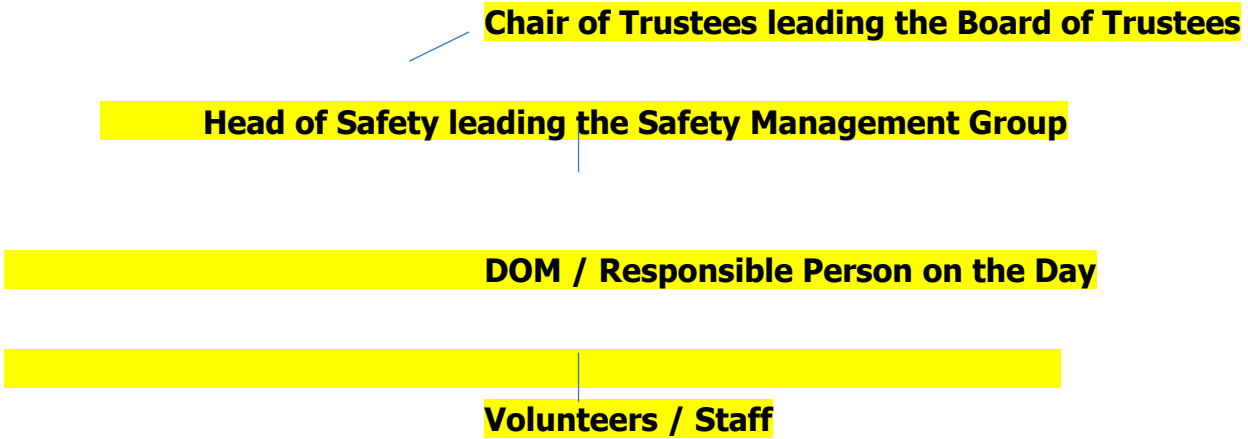
The railway has a Safety Management System (SMS) which reflects the nature of the STRPS operations and accords with the relevant legislative guidance. In particular the Office of Rail and Road guidance, *Safety Management Systems, Guidance for Minor and Heritage Railways* and *The Railways and Other Guided Transport Systems (Safety) Regulations (2006)*, known as ROGS.

The use and improvement of the Safety Management System is supported by the trustees' use of *RM3 2019 The Risk Management Maturity Model, Topic Set 1, Heritage Railways (RM3)*

The STRPS board of trustees holds overall responsibility for the Safety Management System (SMS), its content and implementation and is supported by the Head of Safety who is a trustee of STRPS and who leads the railway Safety Management Group.

The railway is assisted in fulfilling its safety duties by the appointment of an Independent Competent Person who provides an independent review of the SMS as well as more general safety consultancy and training.

4.2 Organisation Chart



4.3 Duties and Responsibilities of the Chair (Ian Millward) and Board of Trustees of STRPS.

The role of the Chair of Trustees of the South Tynedale Railway Preservation Society (STRPS) is to lead and support the board of trustees in order that they can deliver the objects of the charitable company and provide public benefit.

At the STRPS the objects of the charity are delivered by providing railway and associated services to the public. Intrinsic to the delivery of these services is the requirement to do so in a manner that is safe for the public, volunteers and contractors coming on to site.

In delivering a safe railway the board of trustees, led by the Chair of Trustees, carry a collective responsibility as the corporate body.

In particular, under section 37 of the Health and Safety at Work Act 1974 trustees as company directors may be found to have committed an offence if they neglect their duties in relation to health and safety and may be liable to fines or

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imprisonment if found guilty of an offence. This responsibility can apply to the trustees as a group or to an individual within the organisation.

The most effective means of running a safe railway and providing protection against any prosecution of either the charitable company or any individual trustee is the have in place an effective system of governance supported by the above mentioned Safety Management System. The SMS incorporating the necessary policies, risk assessments and training and for which adequate resources are provided by the trustees of the STRPS.

This is a serious collective and individual responsibility and in order to fulfil this responsibility the trustees will ensure that there are suitable governance, policy, review and improvement arrangements in place.

In particular the trustees will:

- Put safety at the centre of the way in which the railway operates
- Ensure there is an effective scheme of governance for the railway generally and health and safety in particular.
- Ensure there is a written health and safety policy.
- As far as possible ensure there are sufficient financial resources available to run a safe railway.
- Ensure there is a Head of Safety and Safety Management Group in place to enable the development of health and safety and that this group involves volunteers and Trustees.
- Ensure the railway has in place external support as necessary in relation to health and safety.

The agenda for each STRPS board meeting shall include an item which receives the minutes of the Safety Management Group and which scrutinises and approves these minutes as appropriate.

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4.4 Duties and Responsibilities of the STRPS Head of Safety (David Granath) and the Safety Management Group.


The Head of Safety leads the Safety Management Group and its Terms of Reference are:

Purpose

- To lead, on behalf of the board of trustees, the management and development of safety governance and culture and policies for the South Tynedale Railway in order that the railway is able to comply with legal and regulatory requirements.
- In developing the railway safety culture to involve and engage with volunteers, contractors and external personnel as necessary.

Work areas

1. To develop the railway Safety Management System (SMS)
2. To support the SMS by developing all the necessary safety policies and risk assessments using, as appropriate, any existing material
3. To commission external support as necessary in developing safety policies
4. To identify existing skills within the railway and make best use of these in order to achieve a safe railway
5. To ensure that all personnel are trained and recorded as competent in their allocated work areas
6. To develop a means by which all the necessary safety policies and risk assessments are available to volunteers in electronic form
7. To put in place measures to ensure workshop and site safety and tidiness
8. To prepare and make available throughout the railway the instructions and procedures required to implement the railway's Safety Management System and to further promote the safety, health and welfare of railway staff/volunteers
9. To review any procedures and instructions regularly and in response to changes within the railway or changes to statutory requirements and apply the appropriate statutory requirements affecting the railway's operations
10. Where significant risks are identified as a result of risk assessments, to co-ordinate plans to ensure suitable control measures are implemented

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11. To ensure contractors carrying out work activities on sites are competent by maintaining a list of approved contractors
12. To ensure that the Accident Book and Near Miss Registers are kept up to date
13. To ensure there is effective communication on health and safety matters between STRPS trustees and volunteers
14. To carry out any other measures necessary to ensure safety on the railway

Reporting

The group will provide minutes and report to the STRPS board of trustees.

Membership

Members of the railway management group and other key personnel.

Frequency of Meetings

The group will meet on a bi monthly basis or more frequently if necessary.

4.5 Duties and Responsibilities of Duty Operations Manager (DOM)/ Responsible Person.

The Duty Operations Manager (DOM)/Responsible Person is responsible for health and safety at the railway when it is operating trains and at other times when the railway is open to volunteers.

Where trains are not operating but other facilities are (eg Engineering Workshop), then a Responsible Person will be appointed who is responsible for health and safety at the railway when volunteers are present but no trains are operating.

The Duty Operations Manager or Responsible Person must:

- Understand the railway Safety Management System and any written procedures (including the railway rulebook) and act in accordance with the railway rulebook when trains are operating
- Plan any work activities in accordance with the Safety Management System and any written procedures

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- Implement and enforce the railway health and safety procedures
- Ensure any volunteers are adequately trained in any safe systems of work, written or otherwise, applicable to their work activities
- Support the completion of risk assessments for all relevant activities at the railway and ensure these are communicated to all volunteers and are reviewed and updated as required in accordance with any changes to an activity brought about by the installation of new equipment or processes.
- Ensure that any records are completed up to date and filled in correctly
- Ensure any accident on the railway is recorded and co-operate with the Head of Safety in the investigation of accidents promptly and personally
- Assist as required in the recruitment, training and competency assessment of volunteers
- Ensure any permit to work system for contractors is followed as appropriate
- Ensure only approved contractors are employed on the site and they receive an adequate induction on arrival at site and are advised of hazards, procedures and safety rules
- Monitor the work of contractors to ensure that work is carried out as planned and in a safe manner
- Ensure that safety rules are observed, and that personal protective equipment is worn or used where appropriate.

4.6 Duties and Responsibilities of STRPS Volunteers

All volunteers whilst working at the railway must:

- Work in a safe manner and not take unnecessary risks which may endanger themselves or others
- Report immediately any situation or defective plant or equipment which may endanger themselves or other persons
- Comply with relevant sections of the railway Safety Management System any associated health and safety procedures or work instructions
- Not use any plant or equipment for work for which it was not intended or if not fully trained and competent to use it

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- Report to the DOM/Responsible Person on the day any injury sustained from an accident at work, even if it does not prevent continuation of work
- Assist in the continuing development of risk assessments and safe systems of work in their area of activity
- Use any personal protective equipment provided
- Comply with their legal duty to co-operate with the railway to achieve compliance with the Health and Safety at Work Act (1974) and any regulations arising from it.

4.7 Safety Management System Audit & Review.

4.7.1 Safety Management System Audit.

The railway will commission on at least a three yearly basis undergo an audit of the Safety Management System by the appointed Independent Competent Person with intention of recertifying the SMS for a further three year period.

4.8.2 Risk Management Maturity Model (RM3) for Heritage Railways.

The railway will conduct an annual review of the Safety Management System using the RM3 Risk Management Maturity model. This may be carried out in house or with the support of the railway Independent Competent Person. At each RM3 review areas for improvement will be identified with the intention of eliminating all domains that are rated as Ad Hoc and at least achieve the rating of Managed and then progressing to Standardised.

This RM3 review will be attended by all members of the Safety Management Group with additional attendees as appropriate and the outcome of the review will be reported to the board of trustees.