



**PM SAFETY CONSULTANTS LIMITED**

**QUALITY MANAGEMENT SYSTEM  
(Incorporating Safety, Health & Environmental Arrangements)**

**COPY NO: 001 ISSUE STATUS NO: 01**

**PMSC Reference: 2003\_04\_017**

**February ~~May~~ 2005~~3~~**

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<b>APPROVAL COVER SHEET</b>				
<b>REPORT NUMBER:</b> <span style="color: red;">2003_04_017 Issue 1</span>				
<b>REPORT TITLE:</b> <span style="color: red;">QUALITY MANAGEMENT SYSTEM (Incorporating Safety, Health &amp; Environment)</span>				
<b>COPY No:</b> <span style="color: red;">001</span>				
ISSUE STATUS	DATE ISSUED	AUTHOR	REVIEWER	APPROVER
<b>1</b>	<b>March 2004May-2003</b>	<b>P.MannM. Beeson</b>  (QA Manager)	<b>G. Dadley G. Dadley (Company Administrator) (Company Administrator)</b>	<b>E. S. Long (QA &amp; SHE Advisor) P. Mann (Managing Director)</b>
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RECORD OF REVISIONS		
REVISION	DATE	COMMENTS
0	17.04.03	Original Issue
1	Feb 2005	Revised following internal review by the Managing Director and the Quality Assurance & Safety, Health and Environmental Advisor. Addition of new section 5 and minor amendments to other sections to more accurately reflect company policy and operations <b>other changes marked in red.</b>



**Signatory Sheet**

**Reference: 2003-04-017, Issue 01**

**Title: QUALITY MANAGEMENT SYSTEM  
(Incorporating: Safety, Health and Environmental Arrangements)**

**Copy Number: 001**

**The following PMSC staff have signed below to indicate that they have -  
Read, understood and will adhere to the Processes, Procedures, and  
Arrangements included in this Quality Manual**

<b>Staff Member</b>	<b>Signature</b>
<b>Paul Mann</b>	
<b>Eric Long</b>	
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## 1. QUALITY POLICY

### 1.1 Introduction

This section of the PMSC Quality Management System outlines our policy towards the application of quality systems (including safety, health and environmental arrangements) where appropriate to our business operations both external and internal.

Our policy is to apply the documented Quality Management System, (QMS) to all activities of the company to ensure, wherever possible and practical, a homogenous approach to quality is taken. The system documented in this manual is the only Quality Management System applied by the company unless a client specifies that an alternative Quality System should be used. This is to ensure that the company delivers a consistently high level of quality service to customers, which is continually improved to accommodate changing quality requirements, feedback from customer questionnaire forms and improvements identified from within PMSC by employees or sub consultants working with the QMS.

In controlling the Quality Management System, PMSC is assisted from time to time by one member of the team who is qualified in Quality Management (member of the Institute of Quality Assurance).

The company's Safety-, Health and Environmental Policy Statement, which forms a part of this Quality Management System, is displayed in the **company** office, along with the company's Quality Management Policy Statement. All members of staff have been sent an electronic copy of this QMS document for their records and usage.

The company Quality Management System is configured in a Pyramid arrangement cascading the policy requirements via more detailed controlled documents and processes. This is shown diagrammatically below:



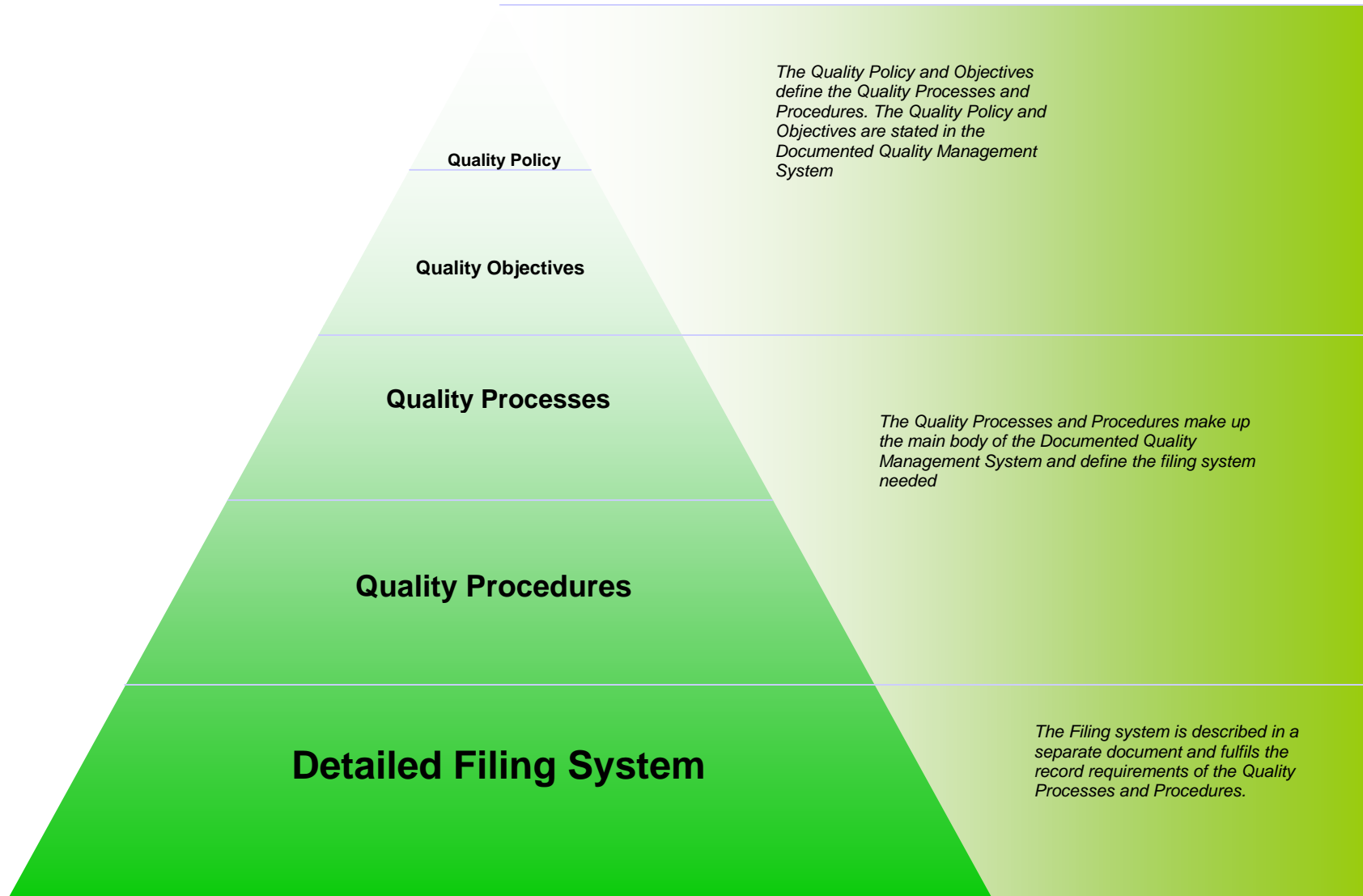


Figure 1: Pyramid Diagram Reflecting Quality Management System Structure



## 2. OBJECTIVES.

This section describes the quality objectives of the company as follows:

**Objective 1:** To provide a consistent quality system for use on all company activities.

**Objective 2:** To ensure that the Quality Management System is maintained in a way which adds value rather than detracts from the efficient management of company affairs.

**Objective 3:** To ensure the delivery of a quality service to customers.

**Objective 4:** To continually improve the quality of service to customers.

**Objective 5:** To identify customer requirements and construct quality systems to better facilitate the meeting of those requirements.

**Objective 6:** To ensure that the safety, health and environmental requirements are complied with for the protection of personnel working for the company, and to contribute albeit in a minor way to global environmental sustainability

In order to achieve these objectives the company has configured a Quality Management System and an organisation arrangement with certain roles and responsibilities as described in Figure 2 below:-





Figure 2: Organisational Structure Diagram

### 3. ROLES AND RESPONSIBILITIES.

This section describes the roles and responsibilities within PMSC for various members as follows:-

- The role and responsibilities of the Managing Director
- The role and responsibilities of the Quality Assurance/SHE Advisor
- **The role and responsibility of the Quality Manager**
- The role and responsibilities of the Project Manager
- The role and responsibilities of the Project Engineers
- **The role and responsibility of the Company Administrator**
- **The delegation of authority**

The following sections outline the responsibilities of individuals at all levels of the company concerning quality related activities.

#### 3.13 The Role and Responsibility of the Managing Director

The Managing Director shall be responsible for the following:

- Responsible for the safety of personnel throughout the company and that legally required insurances are in place for Employers Liability and Public Liability.
- Formulation of the policy for the quality related activities undertaken by the company.
- Appointment of the QA Manager and overall responsibility for allocation of resources to projects.
- Review of the adequacy of the Quality Assurance System, by periodic reviews, internal audits or by external audit reports of the company QMS Document by client organisations.
- Implementation of any corrective actions identified post audit.
- Setting of annual available budgets for training of company personnel and approval of attendance at training courses.
- Setting of budgets for the provision of personal protective equipment.

#### 3.24 The Quality Assurance (QA)/ Safety, Health & Environmental (SHE) Advisor

The QA/ SHE Advisor shall be responsible for the following:

- The provision of advice on the initiation, development and modification of practises and procedures affecting quality.

~~—The assignment and distribution of the QMS Document.~~

~~—Maintenance of all Quality Assurance records from both internal and external audits.~~

~~—Monitoring of the company QA system and performance of periodic reviews of the project QA files. The timing of the reviews will be agreed in consultation with the Project Manager.~~

- Providing advice on the safety, health and environmental management issues as they affect the company's business operations including the definition of appropriate Personal Protective Equipment for company employees.

- Performance of a internal audits in collaboration with the QA Manager

### 3.3 The Quality Assurance Manager

The Quality Assurance Manager shall be responsible for the following:

- The assignment and distribution of the QMS Document.
- Maintenance of all Quality Assurance records from both internal and external audits.
- Monitoring of the company QA system and performance of periodic reviews of the project QA files. The timing of the reviews will be agreed in consultation with the Project Manager.

### 3.43 The Project Manager

The Project Manager shall be responsible for the following:

- Ensure project work is completed to the requirements of the specified contract and to the company QA system (if applicable).
- Selection of Project Engineers, subject to the approval of the Managing Director.
- Initiation and maintenance of the project QA file. The Project Manager may delegate this task to a Project Engineer working on the project if required.
- Formulation of the Project Quality Plan for each project.
- Supervision and, if necessary, the training of Project Engineers assigned to their project.
- Make provisions for and co-operate with the QA Manager in performance of any project reviews.



- Report non-conformances to the QA Manager and implement corrective action if necessary.
- Monitor project progress and provide periodic status feedback to the Managing Director at agreed intervals.

### **3.54 The Project Engineers**

Project Engineers shall be responsible for the following:

- Implementation of the practises and procedures described in this manual and seeking guidance from the Project Manager, Quality Manager and Managing Director if necessary.
- Reporting of all potential non-conformances to the Project and QA Managers.

### **3.65 The Company Administrator**

- The Company Administrator shall be responsible for the following:
- Ensuring that all necessary resources for the implementation of the Quality Management System is available. This may include, but not be limited to: ensuring there are adequate stationary supplies, the issue of timesheet templates to staff and subcontractors, the photocopying of record of conversation sheets etc.
- Dealing with Incoming Correspondence ensuring that the appropriate members are notified.
- Archiving of Company File and Project Information as Required.
- Backing-Up the electronic files in the office and reminding individuals to back up their own lap top computer files on the central back up facility provided in the office.
- Maintenance of current catalogues for the purchase of any PPE required by company staff or subcontractors required to go onto site or 'controlled infrastructure'.
- Maintaining accurate and current information on the company databases.

### **3.76 Delegation of The Authority ~~of the QA/HSE Advisor~~**

- The QA Manager shall have the delegated authority of the Managing Director to undertake whatever activities are considered necessary in order to ensure that the practises and procedures stated in this manual are performed satisfactorily. In particular the QA Manager shall:
- Periodically review the Quality Management System and all related documents.

- Hold interviews with project staff to ensure procedures are being followed
- Provide periodic feedback to the Managing Director to ensure that the QA policy for the company is being properly implemented.
- Periodically review the occupational safety issues affecting staff and subcontractors



#### 4. QUALITY PROCESSES

This section identifies the activities, which take place within the company. In order to ensure standardisation and Quality a procedure has been developed for each activity.

The main activities are as follows:

- **Incoming and Outgoing Correspondence;** (Appendix A) Includes a description of our Company File System, receipt of timesheets, incoming invoices, other incoming post, incoming emails.
- **Maintaining Proposal Control Records;** (Appendix B) Arrangements for maintaining proposal specific records on the proposal filing systems.
- **Maintaining Project ControlRecords;** (Appendix C)Arrangements for maintaining project specific records on the project filing systems and an explanation of how to use the Project Quality Assurance Proformas.
- **Maintaining Personnel Files;** (Appendix D) Arrangements for maintaining personnel specific records on the personnel filing system and an explanation of how to use the Personnel Quality Assurance Proformas.
- **Maintaining Limited Company Sub-contractor Files;** (Appendix E) Arrangements for maintaining Limited Company Sub-contractor specific records on the Limited Company filing system and an explanation of how to use the Limited Company Sub-contractor Proformas.
- **Technical Control;** (Appendix F) Arrangements for the production of Technical Reports
- **Audits and Dealing with Non-Conformances;** (Appendix G) Arrangements for audit notification and implementation
- **Management of Supplier Invoices;** (Appendix H) Arrangements for payment procedure and policy.
- **Archiving Documents;** (Appendix I) Arrangements for storing information that is no longer current, also includes record retention requirements.
- **Continual Improvement of Quality Management Systems;** (Appendix J) Arrangements for review and issue of the QMS.
- ~~Document Control; Process for issue, review and approval of non-technical documents.~~
- **Assuring the Competence of Staff/Sub-Contractors;** (Appendix K) Arrangements for assurance of competence and interviews.

- **Assuring Customer Satisfaction;** (Appendix L) Arrangements for ensuring that customers are aware of the online Customer Satisfaction Questionnaire.
  - **Using the Company File;** (Appendix M) Details on how to use the Company File
  - **Producing and issuing outgoing Correspondence;** (Appendix N) Details on how to issue letters and faxes.
  - **Formatting Company CVs;** (Appendix O) Arrangements for the production of company CVs to a specified template.
  - **Filing Documents;** (Appendix P) Arrangements for using the company Filing System
  - **Filing Electronic Documents;** (Appendix Q) Arrangements for using the company Electronic Filing System
  - **Using the Company Database;** (Appendix R) Arrangements for using the company database and details on how to enter information.
  - **Backing-Up Electronic Information;** (Appendix S) Arrangements for ensuring that electronic data is not lost.
  - **Recording Conversations and Taking Messages;** (Appendix T) Arrangements for ensuring that verbal conversations are properly recorded.
- ~~– Ensuring Available Resources; Arrangements for ensuring that all resources necessary for all company related tasks are available on request.~~

PMSC has developed procedures for the implementation of all the above. The procedures to be followed are presented in the various appendices to this manual.





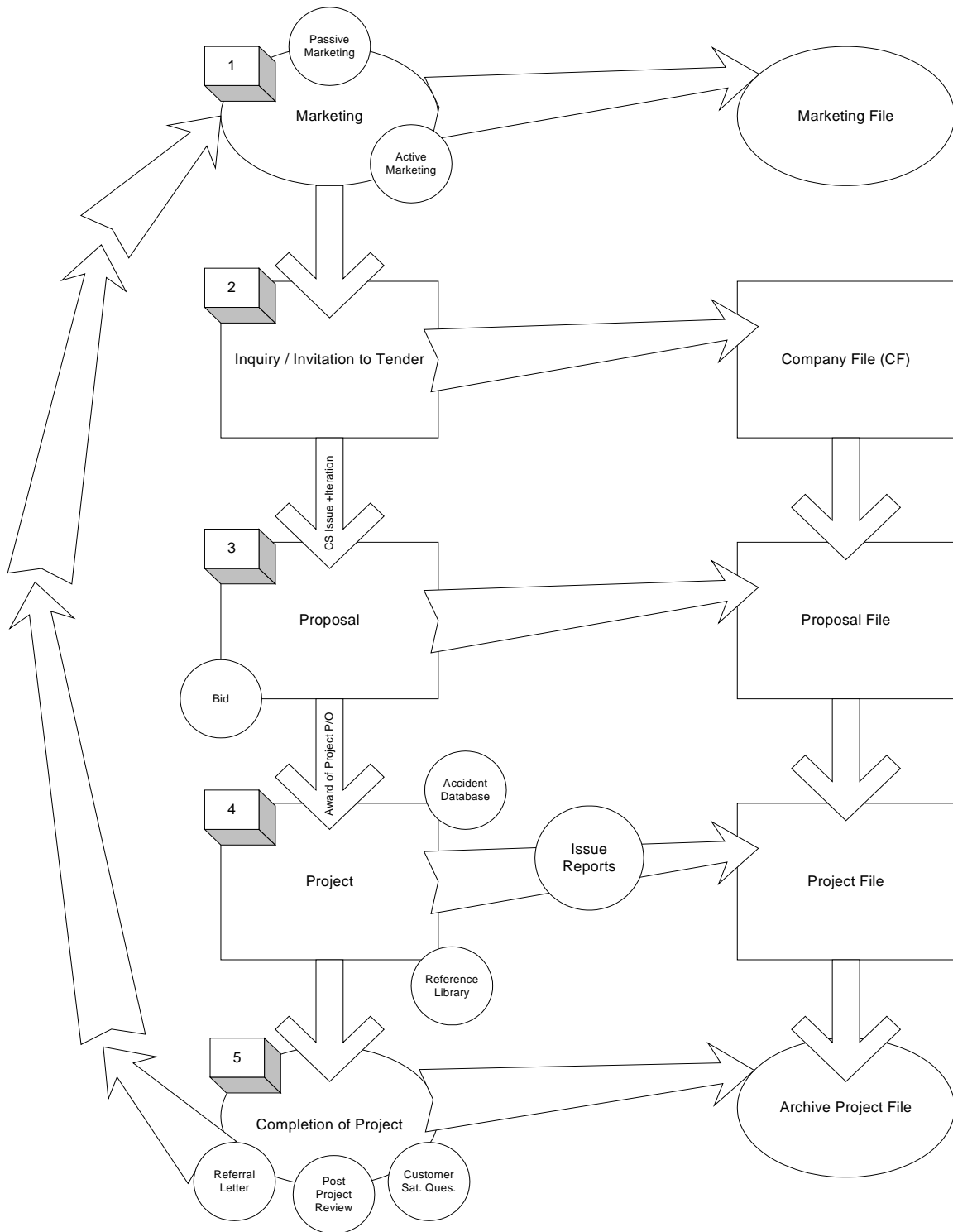


Figure 3: Company Functional Flow Chart



## 5. SAFETY, HEALTH AND ENVIRONMENTAL ARRANGEMENTS

This Section provides the scope of Safety and Health issues affecting the company's employees and subcontractors during the normal course of business, together with the scope of the company's activities that have an affect upon the Safety of plant and equipment and the Safety and Health of others outside the company. The Section also encompasses the control measures in place to reduce the risk of injury to the company's staff, subcontractors and other third parties. Additionally, the Section also considers the Environmental affects of the company's activities, together with the measures to reduce any long term affect upon a sustainable environment. The Section is divided into the following seven sub-sections relating to Safety, Health and the Environment:

- **PMSC and its Safety Related Activities;** including the scope of work carried out by PMSC, the management controls, and document security
- **PMSC Staff (and subcontractor) Competencies;** including on-going training, and the requirement for continuous professional development (CPD)
- **Risk Assessment and Controls;** including office and site-based risk assessments, control measures and arrangements communicated to all personnel, and project planning incorporating any requirement on site for the use of personal protective equipment (PPE)
- **Accidents and Emergencies;** including first aid, investigation and the reporting of accidents, and the need to co-operate with any site emergency and contingency planning arrangements
- **Equipment and Services;** including the approval of services to the client
- **Environment;** including the control measures to reduce any affect that the company may have upon a sustainable environment
- **Travelling;** including the travel arrangement of PMSC team members to client's premises or site

Definitions of wording in text:

- (1) PMSC Staff – means an employee of PMSC permanently based in the offices in Nuneaton, but from time to time required to work at the client's premises, with very occasional visits to site.
- (2) Subcontractor – means a consultant with his or her own consultancy, approved by PMSC for the purposes of carrying out consultancy work for and on behalf of PMSC, either in the offices in Nuneaton, or at the client's premises, and with very occasional visits to site.
- (3) PMSC Team Member – means either an employee of PMSC, or a consultant, or a combination of both, working on a consultancy contract.



It should be noted that references to the Product Group Module and Core Module have been included to facilitate auditing the Quality Management System against the requirements of the Link-up Modules.

## **5.1 PMSC and its Safety Related Activities**

### **5.1.1 PMSC's Scope of Activities in the context of Safety and Health Requirements (Ref: 2.1 – Product Group Module)**

PMSC is a firm of Safety and Reliability Consultants, and Consulting Engineers, specialising predominantly on Reliability, Availability, Maintainability and Safety (RAMS) studies of Engineering Designs. This includes a safety consultancy service to the Railway Industry, providing Safety Analysis during conceptual, preliminary and detailed design phases, from Hazard Identification, Risk Assessment, through to the development of the Safety Case. Other consultancy project work includes the Verification and Validation Auditing of RAMS Project Management Planning, Procedures and Controls; and the consultancy is currently involved with the Development and Auditing of Safety Management Systems as part of the Control of Contractors under Railtrack's (Network Rail's) Contractor's Assurance Case requirements.

PMSC has gained an international reputation in its field, having carried out consultancy work for the Railway Industry, both in the United Kingdom and in many countries abroad, along with the Nuclear, Oil and Gas, and Marine industries.

PMSC's consultancy projects and the role of such projects is almost entirely office based, with occasional visits to the client's premises and very occasional visits to site. A typical profile of PMSC's employee activities over the past five years is in the order of 90% PMSC office based, 9% working on (including visits for the purposes of meetings etc) the client's premises, and 1% visiting site (including a very small percentage of visits to railway 'controlled infrastructure' in the United Kingdom). With respect to PMSC's subcontractors, their consultancy work is based predominantly working, or attending meetings, on the client's premises; again with a very small percentage of time visiting site.

As a consequence, the safety and health of staff (and subcontractors) is predominantly that concerning PMSC's office activities, working/ visiting the client's premises, the occasional visit to site, and any travel arrangements to and from the client's premises.

For the full scope of PMSC's consultancy services and past clients, refer to website: [www.pmsafety.co.uk](http://www.pmsafety.co.uk).

### **5.1.2 Safety Professional Associations (Ref: 1.1 – Product Group Module)**

PMSC is a member of the Safety and Reliability Society, along with a number of individuals in the company. Many of the members of staff (and subcontractors) hold degrees in engineering and related science subjects, and have the status of chartered engineers or are members of institutions relevant to their subject field eg Member of Ergonomics Society.

### **5.1.3 Safety Related Initiatives (Ref: 1.2 – Product Group Module)**

PMSC has recently instigated three initiatives to the rail sector, the first dealing with a training course on the requirements of EN50126, centred around the integration of RAMS into the design process; secondly an initiative dealing with the new concept of electronic safety cases; and thirdly, the verification and validation of Contractor's Assurance Cases for the railway industry.

In addition, one member of the PMSC team has lectured on the Construction Industry Training Board (CITB), two-day 'Safety Passport' courses for a number of high profile companies

#### **5.1.4 Safety Contact within PMSC** (Ref: 2.2 – Product Group Module) (Ref: 1.1 – Core Module)

Mr. Paul Mann, Managing Director of PMSC, is the main contact responsible for all safety and health issues, reference PMSC management structure (See Also Previous Section). The organisational management structure is reviewed at least annually. The review takes place in accordance with the current Safety requirements of the company. Each employee and subcontractor has a duty to abide by the arrangements put in place by PMSC management.

#### **5.1.5 Access to Safety Standards and Literature** (Ref: 9.1 – Product Group Module) (Ref: 3.1 – Core Module)

PMSC holds many British, European and Railway Standards and literature on safety and related subjects in the library/ registry. Whilst the company maintains the core standards applicable to the nature of the business, including the standards required for the Contractor Assurance Case auditing, the company is also a member of ILI Standards Group, providing the consultancy with almost instant access to standards from around the world.

Prior to any work commencing, a review of the current standards required is undertaken in order to ensure that the documents held have not been superseded and the most up to date standards are employed

The standards and literature are indexed on a computer database, and a signing-out procedure is adopted for the extended withdrawal of any document (See Also Previous Section).

#### **5.1.6 Assignment of Project Managers** (Ref: 2.3 – Product Group Module)

Mr. Paul Mann normally acts as the project manager. In the event that this role is delegated to another member of the team, a formal review process is undertaken to assess the expertise required and match the skill set necessary, to the competence of the individual being selected.

#### **5.1.7 Technical Support** (Ref: 1.2 – Core Module)

Technical resources, support, and deputised authority on any individual project is continuously monitored on an on-going basis by the Managing Director of PMSC.

#### **5.1.8 Assurance of Safety and Health Requirements** (Ref: 1.3 – Core Module)

All activities within PMSC are controlled via the Processes and Procedures incorporated in this Quality Management System, including all the relevant safety, health and environmental requirements, and audited periodically (See Also Previous Section).

#### **5.1.9 Control of Safety Documentation** (Ref: 4.1 – Core Module)

The Quality Management System, which incorporates the safety, health and environmental arrangements affecting the company's operations, is a controlled document, which incorporates the signatures of PMSC staff to the effect that they have read, understood and will comply with the requirements therein.

In addition to the above, all documentation relating to safety contracts and safety analysis, including proposals and projects, are controlled and indexed, along with the safety standards and safety related documents in the company's library/ registry.

#### **5.1.10 Compliance with Safety and Health Legislation** (Ref: 2.1 – Core Module)

PMSC will comply with all safety and health legislation, as it affects the operations of the company's business and its staff (including subcontractors, as appropriate). Due to the number of staff in the office, there is no requirement for the company to appoint an official Safety Advisor, or produce a written Risk Assessment document. However, in controlling the Safety and Health Arrangements, PMSC is assisted by one member of the team who is qualified in Occupational Safety and Health Management (eg Institution of Occupational Safety and Health and Registered Safety Practitioner).

#### **5.1.11 Substitution of Personnel on a Project** (Ref: 2.5 – Product Group Module)

It is the policy of PMSC to clear any proposed changes to be made to the original proposals, with the client, including the CVs of any new personnel. Repeat business constitutes 80% of PMSC's consultancy work, which has necessitated a close working relationship and understanding with the company's clients and their needs and requirements. Maintaining a dialogue with the client, and discussing proposed changes before they take place is an integral part of maintaining good communications with clients. A customer satisfaction questionnaire is also posted on our web site for customers to provide feedback to PMSC management at any time.

#### **5.1.12 Retention and Security of Records** (Ref: 9.5 – Product Group Module)

PMSC leases secure office premises and all project files are stored in project cupboards, and the client's financial accounts and records etc are held in a secure location (See Also Previous Section).

#### **5.1.13 Insurance** (Ref: 1.3 – Product Group Module) (Ref: 17.1 – Core Module)

PMSC carries Employers and Public Liability Insurance cover in line with Railtrack (now Network Rail) requirements. Insurance cover is organised via a reputable insurance broker. Policy certificates are available on request.

## **5.2 PMSC Staff (and Subcontractors) Safety Competencies**

### **5.2.1 Contract of Employment and Safety and Health (Ref: 18.1 – Core Module)**

PMSC's standard contract of employment is periodically reviewed for appropriate wording regarding safety and health responsibilities when carrying out the employee's duties, and up dated for new personnel as applicable.

### **5.2.2 Experience of Project Managers (Ref: 4.5 – Product Group Module)**

The Project Manager (normally Mr. Paul Mann) has many years experience in managing large scale projects. A prime requirement of any delegation of authority in this regard is a number of years experience on a similar project.

### **5.2.3 Competency Requirements of Staff and Subcontractors (Ref: 4.1, 4.2, 4.3 – Product Group Module) (Ref: 10.1, 10.2 – Core Module)**

PMSC has a series of suitability pro-formers for staff, with a modified version for subcontractors, covering all aspects of a person's academic and professional qualifications, training and experience, together with any references; including sight of degree certificates etc. Part of the interview and recruitment process entails a review of safety, health, environmental, and quality management competencies, along with any knowledge of railway safe systems of work, where applicable. The rigorous recruitment process seeks to identify all members of staff and subcontractors as being fit and competent for any aspect of the company's business.

There is no aspect of PMSC's business where there is any requirement for a PMSC team member to work on UK railway 'controlled infrastructure', but in the event of the requirement to visit 'controlled infrastructure' then the team member would be required to undertake Personal Track Safety (PTS) training as a minimum requirement.

Many of PMSC's team members have attended and passed the 'Yellow Book' course, and it is the company's intension for as many of the team members as possible to obtain the certificate in the near future.

The above competency database is up-dated with any continuous professional development course details for staff, subcontractors, and potential candidates where possible (See Also Previous Section).

The job descriptions of PMSC staff reflect the general responsibilities for personal safety and health, and adherence to the Quality Management System.

PMSC maintains a Skills Matrix to highlight the expertise of all staff and subcontractors, for the purposes of assigning staff and subcontractors to projects. This matrix is periodically updated and reviewed.

### **5.2.4 Safety Induction Training for Staff (Ref: 10.3 – Core Module)**

An induction programme for new staff is normally conducted by the Managing Director of PMSC, covering the Processes and Procedures of the Quality Management System, including

the: safety and health requirements; reduction of fire loading in the office (excessive combustibles); fire evacuation policy; first aid and accident record book; any lifting and manual handling required; use of display screen equipment; use of office equipment (where there is a potential hazard); electrical safety; and security. Receipt of the induction programme is recorded on the employee's file.

### **5.2.5 Continuous Professional Development** (Ref: 4.6, 4.7 – Product Group Module)

Membership of the Safety and Reliability Society, the Institution of Mechanical Engineers, and the Institution of Occupational Safety and Health allow for attendance at various seminars and specialist training courses in the field of safety and related topics. The above, along with specialist railway and other industry specific courses, help to maintain a level of continuous professional development amongst the staff, and to up-date their knowledge on current technologies and techniques. Subcontractors are also encouraged to attend continuous professional development seminars and courses, and for them to be recorded on file.

### **5.2.6 Training Profile for Staff** (Ref: 4.4 – Product Group Module)

Each member of staff is required to maintain a training record, which is reviewed each year by the Managing Director as part of the annual performance appraisal. At such times, and on-going periodically, the training needs are identified and planned for, and are budgeted for in the annual budget allocation and cash flow plans. The training plans become a part of a graduate training scheme and the above training record is held on the employee's file or subcontracting company file.

### **5.2.7 Controlled Infrastructure Training** (Ref: 12.4, 12.5, 13.1 – Core Module)

All PMSC's technical staff and approved listing of subcontractors are competent in the safety requirements of construction sites generally. However, where any of PMSC's staff and/ or subcontractor is required to visit any UK railway 'controlled infrastructure' it would be mandatory for the person to have attended the Personal Track Safety (PTS) 2-day training course, along with submitting the relevant medical examination records. This training would be logged on the employee's (or subcontractor's) record, along with the date, and would be 'diaried' to ensure refresher training was undertaken within the 3 year period, prior to the anniversary of the certificate date.

PTS training certificates are already held by certain members of the PMSC team, and it is a policy of the company that all persons attend the PTS training scheme, whether they are due to attend or visit any UK railway 'controlled infrastructure' or not

### **5.2.8 Medical Fitness of Staff** (Ref: 11.1, 11.2 – Core Module)

In the absence of any indication to the contrary, all staff and subcontractors are deemed fit to carry out the duties required of them by the company, which is mainly office based, with visits to the client's premises on occasion. Where a specific project required any member of PMSC staff, and/ or subcontractor, to visit any UK railway 'controlled infrastructure', it would be a requirement of the company that the person undertook a fitness medical prior to the 'controlled infrastructure' visit and where appropriate was Personal Track Safety (PTS) trained.

In addition to the above, all PMSC staff contracts of employment have a clause relating to the company's drugs and alcohol policy. Some employees of PMSC have undertaken screening tests for drugs and alcohol as part of a client's requirements for railway work (client retained records). Where there was a specific requirement for any PMSC staff member and/ or subcontractor to undertake any drugs and alcohol screening test, then this would be carried out prior to the 'controlled infrastructure' visit.

### **5.2.9 Compliance with PMSC's Quality Management System (including Safety and Health)** (Ref: 15.1 – Core Module)

The Managing Director advised by the Quality Assurance/Safety, Health and Environmental Advisor periodically monitor the PMSC QMS processes and systems for compliance. The company is of such a size and nature whereby continual communication with staff and monitoring on quality procedures is possible on almost a daily basis. The System is also officially audited bi-annually with an internal staff member.

It is the intention of the company to submit the Quality Management System to an annual audit by Link-up.

## **5.3 Risk Assessment and Controls**

### **5.3.1 Safety, Health and Environmental Policy Statement** Ref: 3.1 – Product Group Module)

There is a Company Safety, Health and Environmental Policy Statement displayed in the office, covering PMSC's intentions to control the hazards and comply with all relevant legislative requirements, signed by the Managing Director.

Also displayed is the Safety at Work poster, so complying with the legislative requirement in this regard.

### **5.3.2 Risk Assessment – Office** (Ref: 3.1 – Product Group Module)

PMSC has conducted a hazard review and a 'suitable and sufficient' risk assessment of the office workplace, and implemented various control measures to reduce the risks to a level that is adjudged to be tolerable eg. Use of extension cables with surge arrestors and the provision of warning notice labels around the office. The office staff fully participated in this review and a copy of the results distributed to individual members of staff, and will in future be distributed to every new member of staff with their contract of employment. The results are also distributed to any subcontractor who may be working in the office for a period of time. (Note: HAZOP style Assessment is Annexed at the end of this Section).

### **5.3.3 Risk Assessment – Client's Premises/ Site** (Ref: 3.2 – Product Group Module) (Ref: 5.1 – Core Module)

Under UK legislation, the owner/ occupier of client's premises, or the controller of a construction site, or those in 'possession of controlled infrastructure' must carry out a risk assessment, taking into account contractors and visitors to the premises or site. As a consequence all PMSC staff and subcontractors working or attending a client's premises or a construction site are instructed to follow all the risk control measures and emergency procedures, and if there appears to be a



hazard in the work area, to enquire as to the specific risk assessment control measures, or even to request sight of the appropriate risk assessment documentation.

PMSC does not carry out any work on site or 'controlled infrastructure', and as such does not take any form of plant, machinery or equipment onto the site. In the event of PMSC attending site, it would be purely to observe a process, or equipment actually on the site of operations. As such, PMSC staff and subcontractors would at no time import any risk to the site or 'controlled infrastructure' through any work activities.

#### **5.3.4 Refusal to Work on Safety Grounds** (Ref: 8.2 – Core Module)

PMSC staff and subcontractors visiting any site are within their rights to refuse to enter any site on the grounds of any observed lack of safety or health provisions in evidence on the site. However, this would not be entered into lightly, and exercising their right to protect their personal safety and long term health would only be carried out after full consultation with the controller of the site.

#### **5.3.4 Control of Significant Risks** (Ref: 2.4, 3.3 – Product Group Module) (Ref: 5.2 – Core Module)

All the risks identified in the office are eliminated, reduced, controlled or mitigated to a tolerable level. In the case of project work on the client's premises or on site, a project plan is compiled prior to the work/ visit being undertaken which includes the working methods, level of training and experience and supervision required, working hours, travel arrangements, and any personal protective equipment (PPE) required. This project plan is part of the project Quality Pro-forma process. This project plan is then supplemented with more detailed programmes as required by the client.

#### **5.3.5 Communication of Controls** (Ref: 5.1 – Product Group Module) (Ref: 2.2, 14.1 – Core Module)

The Quality Management System (including safety, health and environmental arrangements) is readily available for all staff, and subcontractors when in the office, and all members of the PMSC team are required to sign a statement in so far as they have read, understood and will adhere to the requirements of the document.

All the relevant controls are communicated to PMSC's staff and subcontractors, including the requirements to wear the appropriate personal protective equipment (PPE) whilst on site, and also in cases of safe inter-working with others that may be affected by their – operations in the case of PMSC staff or subcontractors, and presence in the case of any third party when visiting site.

In the event of any member of the PMSC team visiting site or 'controlled infrastructure', they would be required and encouraged to attend any site briefings that were taking place.

#### **5.3.6 Selection of Personal Protective Equipment (PPE)** (Ref: 6.1 – Product Group Module)

All personal protective equipment (PPE) is approved to the relevant standards and appropriately CE marked.

**5.3.7 Personal Protective Equipment (PPE) Availability** (Ref: 3.4 – Product Group Module)  
(Ref: 6.1 – Core Module)

Core items of personal protective equipment (PPE) are available in the office for use on site. In the event of any other items of personal protective equipment (PPE) being required, these would be identified through a current trade catalogue and purchased via a trade account held with a local source. The items would be purchased with immediate delivery/ collection prior to, and in the event of, visiting any site or 'controlled infrastructure', then issued and signed for by the recipient. The wearing of any personal protective equipment (PPE) by any staff member would be monitored when and if the project manager was also on site. PMSC staff and subcontractors shall not be allowed to visit site by the PMSC management unless they have fully complied with the PPE requirements.

**5.3.8 Information on Use of Personal Protective Equipment (PPE)** (Ref: 6.2 – Product Group Module)

Full information and instructions would be provided to any staff required to wear personal protective equipment (PPE) prior to site or 'controlled infrastructure' visit.

**5.3.9 Contractors/ Associates and Personal Protective Equipment (PPE)** (Ref: 6.3 – Product Group Module)

It is a company requirement that all subcontractors wear the appropriate personal protective equipment (PPE) whilst on site or 'controlled infrastructure', to no less a standard than that required by the staff of PMSC. This will be written into all future contracts entered into with subcontractors carrying out consultancy work for PMSC.

**5.3.10 Significant Safety Problems Discovered on Controlled Infrastructure** (Ref: 5.3 – Product Group Module)

Whilst PMSC does not carry out any work on site or 'controlled infrastructure', where any significant safety problem was discovered or observed in the infrastructure design whilst carrying out a safety analysis of the design, as indeed with any consultancy work – full written submissions are communicated to the client on all results and findings during the course of the safety analysis.

**5.3.11 Recording of Times on Controlled Infrastructure** (Ref: 5.2 – Product Group Module)  
(Ref: 12.1, 12.2, 12.3 – Core Module)

PMSC will not be engaged on any 'safety critical work' on any UK railway 'controlled infrastructure', and so there is no specific requirement to log any times that the person concerned attended the 'controlled infrastructure'. However, all PMSC staff and subcontractors are required to accurately log their times on the contract, including any time spent on site or the 'controlled infrastructure', as per the Quality Management System Pro-formers and cost tracking requirements (See Also Previous Section).

## 5.4 Accidents and Emergencies

### 5.4.1 First Aid Arrangements (Ref: 9.1 – Core Module)

In the event of a minor injury sustained in the office, a first aid kit is available. The first aid kit is periodically checked for its adequacy by the company administrator.

Where any injury was sustained whilst on site or visiting any UK railway 'controlled infrastructure', then in view of the fact that this was purely in the nature of a visit and not a continuous working situation, then PMSC's team member would have to avail themselves of the site first aid provisions.

### 5.4.2 Reporting of Accidents (Ref: 7.1 – Core Module)

With respect to office activities an accident book is maintained and completed in the event of any minor injury.

It is a requirement of all PMSC staff and subcontractors, when visiting site or in the event of visiting any UK railway 'controlled infrastructure', that in the case of any injury being sustained, the site accident book is filled in. Where any injury sustained is reportable to the Health and Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR), then ~~athe~~ statutory form must be completed by the PMSC team member, with assistance from the site controller or Person In Charge Of Works (PICOW).

### 5.4.3 Emergency and Contingency Planning (Ref: 8.1 – Core Module)

Fire emergency evacuation plans are posted in the office with an assembly point well clear of the building. Evacuation practice drills are undertaken on a periodic basis, organised by the appointed site managers for Warwickshire County Council.

In the event of any PMSC staff member or subcontractor being on the client's premises or site during a practice emergency drill or actual emergency situation, then they would obviously be required to comply with the established emergency procedures. In this case, the PMSC team member would either be escorted out of the building or off site, or the evacuation procedures would be made known to the PMSC team member beforehand.

### 5.4.4 Investigation of Accidents (Ref: 11.3 – Core Module)

In the very unlikely event of an accident being caused whilst on any 'controlled infrastructure' by the negligence of any PMSC member of staff or subcontractor, then in accordance with any specific 'controlled infrastructure' site safety rules, the PMSC team member would be under an obligation to be subjected to drugs or alcohol screen testing

## 5.5 Equipment and Services

### 5.5.1 Safety of Office Equipment (Ref: 11.1, 11.2 – Product Group Module)

All the portable electrical equipment in the office is tested under the PAT safety testing requirements, and identified with its inspection status and date.

### **5.5.2 Safety of Equipment on Site etc** (Ref: 7.1, 7.2, 7.3, 7.4, 7.5, 9.2, 9.3, 9.4 – Product Group Module)

The only equipment taken onto a client's premises would be a laptop computer and other personal office equipment, and as such would not present a hazard or an imported safety risk onto the premises.

PMSC does not use 'safety critical equipment', nor would there be any reason to convey onto, or use any other type of equipment on, the site or 'controlled infrastructure'. This also includes any measuring equipment that would require calibration.

The only equipment taken onto any site or in the event of visiting any UK railway 'controlled infrastructure', would be personal protective equipment (PPE); which would be subject to correct hygienic storage in the office, monitoring of issue, and would be traceable to PMSC.

### **5.5.3 Approval of Goods and Services etc** (Ref: 16.1, 16.2 – Core Module)

The consultancy services provided by PMSC is tightly controlled, both technically and managerially, providing the highest standard of service within the field of expertise in the company.

PMSC does not provide any goods, material, equipment, machinery or plant onto any site of operations, or UK railway 'controlled infrastructure'.

### **5.5.4 Infrastructure Work** (Ref: 3.5 – Product Group Module)

PMSC does not carry out any work on any part of the 'controlled infrastructure', and as such there is no requirement for PMSC to update the 'Health and Safety File' mandated under the CDM Regulations. However, PMSC is fully conversant with construction site safety, health and environmental issues, together with all the legal requirements under the CDM Regulations, and PMSC has conducted work for customers acting as Planning Supervisor. In addition to this, PMSC has co-presented a training module on CDM as part of the Railtrack Course on '100 Safety Principles' in 1996. At least one member of the PMSC team has received training as a Planning Supervisor.

## **5.6 Environment**

### **5.6.1 Environmental Control**

PMSC takes a responsible attitude with respect sustainable environmental development and control. With respect to the office, staff and subcontractors working in the office have regard for energy conservation and switching off equipment and lighting when not required, together with the steady introduction of a paperless office and a managed reduction in the generation of unnecessary paper files wherever possible, along with the most economic means of travelling to and from the client's premises and site with respect to fuel consumption and economy.

In controlling the Environmental Impact Arrangements PMSC is assisted by one member of the team who is qualified in Environmental Management (~~Associate Certificate of the Institute of Environmental Management and Assessment)eg. Chartered Institution of Environmental Health~~).

## 5.7 Travelling

### 5.7.1 Safe Travel Arrangements

Wherever possible, PMSC makes provision for the safe travel of all staff and subcontractors on company business, both in the UK and abroad, by planning the safest and best means of travelling to and from the client's premises or site.



## 6. LIST OF ACRONYMS

Acronym	Definition
AC	Accounts Information
AD	Accident Database
ANP	Audit Notification Proforma
BA	Bachelor of Arts
BSc	Bachelor of Science
CAR	Corrective Action Report
CD	Other Company Documents
CF	Company File
CI	Company Information
CSQ	Customer Satisfaction Questionnaire
CV	Curriculum Vitae
EC	Electronic Copy
LIQAP	Limited Company Quality Assurance Proforma
MF	Main File
MSc	Master of Science
N/A	Not Applicable
NCR	Non-Conformance Report
NoK	Next of Kin
OCI	Official Company Information
PMSC	PM Safety Consultants
PPE	Personal Protective Equipment
PQAP	Project Quality Assurance Proforma
PSP	Personnel Suitability Proforma
PTS	Personal Track Safety
PT	Personnel and Timesheets
QA	Quality Assurance
QMS	Quality Management System
QMSRP	Quality Management System Record Proforma
SFF	Staff Feedback Forms
VAT	Value Added Taxation

## 7.0 REFERENCES

Title Of Reference	Reference BS Identifier
Quality Management Systems - Fundamentals and Vocabulary	BS EN ISO 9000:2000
Quality Management Systems – Requirements	BS EN ISO 9001:2000
Quality Management Systems - Guidelines for Performance Improvements	BS EN ISO 9004:2000



## APPENDIX A: PROCEDURE FOR DEALING WITH INCOMING CORRESPONDENCE

The objective of this procedure is to ensure that all incoming company correspondence is treated properly and efficiently. This procedure includes dealing with the following:-

- Incoming and Outgoing Correspondence and the use of the Company File
- Dealing with Incoming Timesheets and Supplier Invoices
- Dealing with Incoming Post
- Dealing with Incoming Faxes
- Dealing with Incoming Emails
- Dealing With Inquiries

**Incoming/Outgoing Correspondence:** Correspondence may enter or leave the company in any of the following ways by post/courier; by fax; by email or even just a verbal communication.

For each of those methods of correspondence the following process applies.

Any important information coming in to the business or going out of the business **(in any format)** shall be given a **Company File reference number (CF)**. The unique company file number must be logged onto the Company File Record Sheet for the appropriate month.

The **original** document with a successive CF reference number shall be put onto the company file accordingly.

Copies of the original (if necessary) shall be placed in all other relevant filing locations such as for example a specific project file.

The company file record sheet will be updated. All these locations have been given a Filing reference. These filing references shall be logged into the company file reference sheet.

The Company File shall be the definitive Company File. That is to say that whatever Company File documents are stored electronically they will also be printed out and stored in the company file folder. Unless this process is deemed to be environmentally wasteful or alternative storage locations are described on the Company File Record Sheet, for example confidential information may sometimes be held on the Accounts Files.

It should be noted that the Company File Process will rarely apply to email correspondence unless the email is deemed to be sufficiently important by the Project Manager or Managing Director. This is because email messages can be stored within Microsoft Outlook internal storage system.

**Dealing with Incoming Timesheets and Supplier Invoices:** When a timesheet arrives from a PMSC member of staff or sub-contractor **(in any format)** the following procedure shall be applied:



- Upon receiving the timesheet/invoice and associated items such as receipts and progress reports, an entry is to be made on the timesheet log sheet, located on the fax machine.
- If the timesheet is attached to an invoice, or contains details of business related expenses, then the **original** copies of the timesheet, receipts and/or invoice must be distributed to the accounts department.
- **ALL Invoices MUST be date stamped on the day they arrive at the office.**
- **ALL** timesheets and accompanying receipts and/or progress reports must be copied to the 'Timesheets' folder that pertains to the current year ensuring against duplications.
- **ALL** timesheets and accompanying receipts and/or progress reports must be copied to the 'Timesheets to be Invoiced' folder ensuring against duplications.

**Dealing with Incoming Post:** The post will be delivered to either the PMSC mailbox (located outside the PMSC unit) or to the reception desk in the Main Council reception building.

It is the duty of the company administrator to collect the post every day and, after opening, distribute it and file it according to the nature of the content, on the day of arrival at the office.

All post must be **date stamped** on the day of arrival at the office unless the decision is taken that this action would deface an important document. For example, a testimonial letter from an existing client for use with potential clients.

If the post is marked 'Private and Confidential' it must be left unopened and distributed to the addressee.

A judgement must be made as to whether incoming post is of sufficient importance to be placed upon the Company File.

If the post pertains to an accounting issue then the items are to be distributed to the Accounts department.

All items pertaining to accounts are to be stored in locked cabinets or safes. Pending accounts documents are to be placed, as they arrive, in the lockable safe for review by the Accounts department.

Any accounts information important enough to be placed on the Company File will be placed on the Company File by the Accounts Department.

**Dealing with Incoming Faxes:** It is the duty of the Company Administrator to collect a fax from the fax machine and distribute it and file it according to the nature of the content.

**Dealing with Incoming Emails:** It is the duty of the company administrator to collect the office emails using the Reception computer and distribute them and file them according to the nature of the content.

All Emails will be stored within Microsoft Outlook on the Reception computer. They are to be filed in the subfolder associated with the month and year of receipt.

All Email attachments are to be saved into the relevant electronic folder within the 'PMSC Limited' electronic folder. Email attachments, which relate to a specific project must be filed electronically in a sub director bearing reference to the Unique project number which is allocated at the start of the project.

Check to see which email addresses the message has been sent/copied to. If the intended recipient of the email was not sent the email then forward it on to the intended recipient using the contacts listed in Microsoft Outlook or the PMSC Database.

**Dealing With Inquiries,** All Inquiries from potential clients regarding the possibility of future project work shall be logged into the company file. Should the Managing Director decide to submit a proposal to the inquirer then the inquiry shall be copied onto the ensuing Proposal File.



## **APPENDIX B: PROCEDURE FOR MAINTAINING PROPOSAL CONTROL**

The objective of this procedure is to ensure effective and efficient management of proposals by making centrally available all proposals related information, thus assuring competent production of high quality bids, which conform to a corporate identity.

A proposal is initiated upon the decision of the Managing Director and subject to a client requirement or invitation. At this point a proposal number is assigned by taking the next available number in the proposal number sequence. The Managing Director or his/her designee must now produce the Proposal File.

All hard copy material generated as a result of the proposal work should be stored on the proposal file.

Should the Proposal be eventually successful then all filed information will be transferred into the ensuing Project File, on award by the customer. See Appendix C.

Should the Proposal be unsuccessful then the Proposal File will be archived. If considered appropriate for future reference purposes the Managing Director may require the proposal or any reference material to be logged into the Company Library.



## APPENDIX C: PROCEDURE FOR MAINTAINING PROJECT CONTROL

The objective of this procedure is to ensure effective and efficient management of projects by making centrally available all project related information, and assuring that the Quality Process is implemented.

A project commences upon the decision of the Managing Director. At this point a unique project number is assigned by taking the next available number in the project number sequence.

Project Manager's are normally be appointed by the Managing Director. The Project Manager must now produce the Project Quality Assurance Proforma (PQAP), guidelines for this follow.

Once the PQAP is prepared the proposal file applicable to the project will be closed and all information transferred to the Project File .

**Project Quality Assurance Plan:** Once the PQAP has been prepared and the project number entered on the space available on the front page, the Project Quality Plan must be completed by the Project Manager. Completion of the Project Quality Plan has been explained further in the following section.

- **Project Title**, This section requires that a project title be assigned that is appropriate to the work to be conducted.
- **Job Number**, This section requires the entry of the previously assigned Company Project Number. A sequential log of all project numbers is to be kept by the company administrator.
- **Start Date**, This section requires the entry of the commencement date for the project work. This is assigned as the date of when the project commenced.
- **Name and Address of Client**, This section requires the entry of the name of the client and the address of the offices to which formal correspondence shall be sent unless specifically agreed to the contrary. The main telephone/fax numbers and email addresses shall also be entered into this section.
- **Client Contract Contact**, This section requires the name of the client contact person who is responsible for commercial decisions relating to the contract between the company and the client.
- **Client Project Contact**, This section requires the name of the client contact person who is responsible for technical decisions relating to the contract between the company and the client.
- **Project Quality Requirements**, This section determines the extent to which PMSC are obliged to maintain QA records. As a minimum the PMSC Project Quality Proformas will be completed subject to their applicability. Where technical work is being conducted under client specific QA procedures PMSC shall not necessarily maintain records of all technical work under the company QA system. Basic commercial information and any

key communications (at the discretion of the Project Manager) shall, however, be recorded in the company QA system.

- **Work Scope**, This section requires a brief description of the scope of work to be conducted. If the scope of work changes under variation during the course of the project the Project Manager shall be required to amend this section by reference to a further description of the variation to be added to the Project Quality Plan.
- **Scheduled Completion Date**, This section requires the entry of the date when the project work is scheduled to be completed. In certain situations this information may not be known, if this is the case then the section can be left blank until such a time as the information is known.
- **Quality Record Requirements**, This section determines the need for additional client specific requirements for quality records. If there are no additional client specific requirements then the Company shall only use the quality record system detailed in this manual. In this event the section shall record that only PMSC Project Proformas were required.
- **Project Manager**, This section requires the entry of the assigned Project Manager. The Company representative mentioned in this section shall normally be the single point of contact between the Company and the Client.
- **Project Record Structure**, This section shall record any additional filing structure required by the project. This shall be recorded in the separate sheet labelled **1.12**
- **Project Record Structure** as described in the subsections below. The Project Manager or his/her designee shall normally complete these sections.
- **Volume No.**, This section requires that a unique identifier be assigned to each separate volume. The Main File, i.e. the file that contains this project quality plan shall be labelled MF. Any other volume shall be given an identification number that ascends sequentially e.g. volume 1, volume 2 etc.
- **Volume Title**, This section requires the entry of the title assigned to the volume and shall be reflective of the actual contents of the volume.
- **Location**, This section requires the entry of the filing location of the volume; this is to promote easy and efficient retrieval of files by both project personnel and non-project personnel where applicable.
- **Description**, This section requires a brief description of the contents of the volume.
- **Other Project Contacts**, If there are no additional client contacts then this section can be left blank. If there are additional client contacts then 'see separate sheet' shall be entered into this section. The separate sheet is labelled **1.13 Other Project Contacts**. In this table the name, telephone number, fax number and email address shall be entered. Any additional information can also be entered into the email address section at the discretion of the Project Manager or his designee.

- **Project Personnel**, If the project is small enough to require only one assigned company member then 'Project Manager only' shall be entered into this section. If there are additional personnel then 'see separate sheet' shall be entered into this section. The separate sheet is labelled **1.14 Project Personnel**. In this table the Name, Grade, Charge Rate and Start Date shall be entered.

**The Project Quality Plan must then be signed and dated by both the QA Manager and the Project Manager. Signatories to the Project Quality Plan shall also print their names.**

**Project Instruction Log**, This section refers to specific technical instructions issued to Company members by the client. Any Project Instruction Documents should be filed after this log section in the project file.

- **Project Instruction**, This section requires that a unique identifier be provided for the instruction. Guidance for uniquely labelling any Project Instruction is provided on the sheets themselves.
- **Title**, This section requires the entry of the title of the Project Instruction.
- **Author**, This section requires the entry of the Author of the Project Instruction.
- **Issue**, This section requires the entry of the issue status of the project instruction. Initially all Project Instructions will be raised in draft form and shall only become approved once reviewed by the Project Manager at which time they will be raised to first formal issue 0 and issued to the project team members.
- **Date**, This section requires the entry of the date of issue of the project instruction.
- **Instruction Recipient**, This section requires the entry of the name of the Company member who is responsible for acting on the Project Instruction, this will normally be the project personnel named in the Project Quality Plan.
- **Applicability**, A decision will be made as to whether this section is applicable. If this section is deemed to not be applicable to a particular project (i.e. there are no Project Instructions to be issued) then the 'No' response will be circled and the details of the reason for this decision shall be entered.

**Correspondence**, This section refers to any important, but non-contractual, correspondence between the Company and the Client with regard to the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan. The judgement of, what constitutes 'important' correspondence shall be made by the assigned Project Manager in consultation with a director.

Any items of Correspondence should be filed after this log section in the project file.

- **Reference**, This section requires that a unique identifier be provided for the item of correspondence. Guidance for uniquely labelling any item of correspondence is provided on the sheets themselves.

- **From,** This section requires the entry of the name of the sender of the item of correspondence.
- **To,** This section requires the entry of the name of the recipient/addressee of the item of correspondence.
- **Title,** This section requires the entry of the title of the item of correspondence.
- **Date,** This section requires the entry of the date of the most recent item of correspondence filed under this reference.
- **Comments,** This section is to be used for any additional comments with regard to the item of correspondence. This section can also be used to cross-reference the item of correspondence with another filing location, for example, the Company File.

**Contractual Correspondence,** This section refers to any contractual correspondence between the Company and the Client with regard to the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

- Any items of Contractual Correspondence should be filed after this log section in the project file.
- All aspects with regard to the logging of Contractual Correspondence are the same as with regard to the logging of Correspondence.

**Calculations,** This section refers to any calculation carried out for the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan. Example Proformas are provided for the recording of any calculation.

Superseded calculation pages shall be marked 'Superseded' and copies retained. The calculation log shall be updated to reflect that the calculations have been superseded.

- **Reference,** This section requires that a unique identifier be provided the each calculation. Guidance for uniquely labelling any calculation is provided on the sheets themselves.
- **Subject,** This section requires the entry of a subject description for the calculation.
- **Date,** This section requires the entry of the date of the record.
- **Analyst,** This section requires the entry of the name of the person responsible for carrying out the calculation.
- **Checker,** This section requires the entry of the name of the person responsible for checking the calculation to minimise the possibility of errors.

- **Comments**, This section is to be used for any additional comments with regard to the calculation. This section can also be used to cross-reference the calculation with another filing location, for example, the Company File.
- **Calculation Approval Sheet**, All calculations shall be logged in the project files and shall have a calculation approval sheet attached. An example is provided in the PQAP.
- **Calculation Sheet**, All calculation shall be logged into the project files and shall be recorded on calculation sheets and continuation sheets. Examples of these are provided in the PQAP.

**Reference Documents**, This section refers to any reference material that may be pertinent to the project as either reference or background information. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

Any Reference Documents should be filed after this log section in the project file unless alternative locations are referred to.

- **Project Reference**, This section requires that a unique identifier be provided for the item of reference documentation. Guidance for uniquely labelling any reference document is provided on the sheets themselves.
- **Document Reference**, This section requires the entry of any original reference that may already pertain to the reference document (e.g. an alphanumeric code). If no reference is apparent from inspection of the document then the letters N/A may be entered, at the discretion of the Project Manager or his/her designee, in this section to indicate non-applicability.
- **Location**, This section requires the entry of the filing location of the reference document.
- **Title**, This section requires the entry of the title of the reference document.
- **Date Rec**, This section requires the entry of the date that the reference document was logged into the project file.
- **Comments**, This section is to be used for any additional comments with regard to the reference document. This section can also be used to cross-reference the reference document with another filing location, for example, the Company File where appropriate.

**Training Records**, This section refers to training records of personnel working on the project who were trained specifically to meet the competence requirements of the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

Any Certificates of training should be filed after this log section in the project file and shall also be transferred to the individuals training record held on the personnel files.



- **Training Officer**, This section requires the entry of the name of the training supervisor. This may be an individual or a company suitably qualified / certified to provide training.
- **PMSC Staff**, This section requires the entry of the name of the trainee.
- **Venue**, This section requires the entry of the place where the training took place.
- **Subject/Reading Assignment**, This section requires the entry of a brief description of the training.
- **Date**, This section requires the entry of the date of the training.
- **Signature of Completion**, This section requires the signature of the Project Manager as a witness to the completion of the training.

**Record of Conversation:** This section refers to any Conversation Records that are pertinent to the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

Any Records of Conversations should be filed after this log section in the project file. Only important conversations are required to be logged on the file at the discretion of the Project Manager or his designee.

- **Reference**, This section requires that a unique identifier be provided for the recorded conversation. Guidance for uniquely labelling any conversation record is provided on the sheets themselves.
- **PMSC Staff**, This section requires the entry of the member of PMSC staff responsible for participating in, and recording the conversation.
- **Contact/Company**, This section requires the entry of the name of the other person(s) involved in the conversation.
- **Topic**, This section requires the entry of a brief description of the topic of conversation.
- **Date**, This section requires the entry of the date of the record.
- **Comments**, This section is to be used for any additional comments with regard to the conversation record. This section can also be used to cross-reference the conversation with another filing location, for example, the Company File.

**Computer File Index**, This section refers to any Computer Files that are pertinent to the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

- **Reference**, This section requires that a unique identifier be provided for the computer file. Guidance for uniquely labelling any computer file is provided on the sheets themselves.



- **Disc**, This section requires the entry of the location of the electronic document. This should specify the directory on the main reception computer where the file is stored for example; Reception Computer: **C/PMSC Limited/Projects/**
- **Program**, This section requires the entry of the application that was used to produce the electronic document for example Microsoft Word or Excel.
- **Title**, This section requires the entry of the title of the electronic document along with a brief description of its content.
- **Date**, This section requires the entry of the date that the record was logged onto the project file.
- **Comments**, This section is to be used for any additional comments with regard to the computer file. This section can also be used to cross-reference the computer file with another filing location, for example, the Company File.

**Report / Deliverables Log**, This section refers to any Report / Deliverables created for the project. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

Any Report / Deliverables should be filed after this log section in the project file.

- **Reference**, This section requires that a unique identifier be provided for the Report / Deliverable. Guidance for uniquely labelling any report is provided on the sheets themselves.
- **Title**, This section requires the entry of the title of the report along with the associated company file reference.
- **Issue**, This section requires the entry of the issue status of the report.
- **Date**, This section requires the date of the record.
- **Revisions**, The Report / Deliverable Log table allows for four revision issues of each document. If the document requires more than four issues then the report will be logged on a separate line in the log.
- **Report Approval Cover Sheet**, The report number, title and copy number should be entered in the spaces provided. The author should enter his/her name in the space provided along with the date and the revision status.
- **Document Comments Front Sheet**, The project number, project title and client should be entered into the spaces provided. The document number and issue number should be entered in the spaces provided. The title and author should enter their names into the spaces provided. The dates of issue for comment and the dates the comments are required by should be entered into the spaces provided. The reviewer should enter their name into the space provided. The sections to be reviewed should be entered into the space provided. If all sections are to be reviewed then 'all' should be entered. The

section, upon which the comments are made, the comment and the originator decision i.e. the author response, should be entered into the spaces provided.

**Project Cost Tracking**, This section refers to the cost tracking for the project. This table is the responsibility of the Managing Director only and is to be filled in at his/her discretion. The Managing Director may at his discretion delegate this task to either the Project Manager or his designee.

**Quality Audit Records**, This section refers to any audit carried out on the project quality records. The Project Number, Project Title and Client must be entered into the header part of the log table as they appear in the Project Quality Plan.

- **QA Audit No**, This section requires that a sequential identification number be assigned to the audit.
- **Date**, This section requires the entry of the date that the audit was carried out.
- **Deficiencies in the Project File**, This section requires a brief description of any deficiencies in the project file that were uncovered by the audit.
- **Action Taken**, This section requires the description of any action taken to rectify any deficiencies that were uncovered by the audit.
- **QA Manager Signature of Approval**, This section requires the signature of the QA Manager to indicate his approval and acceptance that the action taken has addressed the deficiencies that were uncovered by the audit.
- **Comments**, This section is to be used for any additional comments with regard to the audit record.
- **Audit Notification Proforma**, The Audit Notification Proforma (ANP) takes the form of a memorandum note. The name of the person the ANP is issued to (normally the Project Manager) and the originator (normally the Quality Assurance (QA) Manager) must be recorded. The project number, project title, audit date and audit time must also be recorded. The Audit Scope must be defined on the ANP. Deviation from the Audit Scope as defined on the ANP will not be permitted. All person's performing the audit must be listed on the ANP as the Audit Team.
- **Audit Report Status Log**, This section describes the procedure for logging the status of Audit Reports. All Audit Reports should be filed after this log section in the Project File.
- **Audit Report Number**, This section requires the entry of the Audit Report number. This is normally a sequential number beginning at 001 for each project.
- **Audit Type**, This section requires the entry of the audit type, either internal or external.
- **Audit Team Leader**, This section requires the entry of the person responsible for leading the audit team; this will normally be the QA Manager.

- **Audit Date**, This section requires the entry of the date on which the audit took place.
- **Company / Department Discipline Audited**, This section requires the entry of the company or department audited. It should be noted that due to the size of PMSC this proforma and audit process will normally be used for internal project audits the company name will normally be the only entry made.
- **Procedures Criteria Audited**, This section requires the entry of the procedures or criteria that the audit team has audited against.
- **Contract Purchase Order Number**, This section requires the entry of the applicable contract purchase order number.
- **Date Audit Report Issued**, This section requires the entry of the date the Audit Report was issued.
- **CARs Issued**, This section requires the entry of the amount of Corrective Action Requests that were issued.
- **Audit Report Proforma**, The Audit Report Proforma provides the structure that will normally be used for the production of Audit Reports. The Audit Report Number will be entered into the space provided along with the appropriate page numbers.
- **Allotted Organisation**, This section refers the organisation to be audited.
- **Project/Purchase Order Number**, This section requires the entry of the Project Number, in the case of an internal audit, and the Purchase Order Number, in the case of an external audit.
- **Address**, This section requires the entry of the address of the premises at which the audit has taken place.
- **Scope of Supply**, This section requires the entry of scope of supply.
- **Tel**, This requires the entry of the telephone number of the premises at which the audit has taken place.
- **Fax**, This requires the entry of the fax number of the premises at which the audit has taken place.
- **Date**, This requires the entry of the date on which the audit took place.
- **Persons Contacted**, This section requires the entry of the persons initially contacted to arrange the audit.
- **Audit Criteria**, This section requires the entry of the criteria that were audited against.

- **Audit Team**, This section requires the entry of the names of the team members responsible for performing the audit.
- **Previous Audit Date**, This section requires the entry of the date at which the most recent previous audit took place. If there have been no previous audits then N/A may be entered in this section to indicate non-applicability.
- **Previous Audit Reference**, This section requires the entry of the audit number that represents the most recent previous audit. If there have been no previous audits then N/A may be entered in this section to indicate non-applicability.
- **Summary of Audit**, This section requires the entry of a brief summary of the audit and any non-conformances found.
- **Signatures**, The Audit Team leader and QA Manager should sign and date the Audit Report in the space provided at the foot of the proforma.
- **Non-Conformance Report (NCR) Proforma**, Non-conformances should be identified in the form of a Non-Conformance Report (NCR). A NCR Number shall be assigned based on the project number and a number sequentially assigned starting at 001 for each project, for example 103\_004. The date, project title and project number shall also be entered in the space provided.
- **Finding/Non-Conformance**, This section requires the entry of a description of the non-conformance identified.
- **Reported By**, This section requires the entry of the name of the person reporting the non-conformance.
- **Acknowledged By**, This section requires the entry of the name of the person acknowledging the non-conformance.
- **Proposed Solution/Completion Date**, This section requires the entry of any solution proposed to rectify the non-conformance and the intended completion date. The proposer and reviewer of this proposed solution should then sign and date in the space provided.
- **Verification**, This section requires the entry of the measures taken to rectify the non-conformance. This should then be reviewed to ensure that the measures have been implemented as documented. The reviewer and verifier of the rectification measure should then sign and date in the space provided.
- **Corrective Action Request Status Log**, The Corrective Action Request Status Log shall maintain a record of all corrective action requests issued.
- **CAR Serial Number**, This section requires the entry of a Corrective Action Request (CAR) serial number assigned sequentially starting at 001 for each project.

- **CAR Issued To**, This section requires the entry of the name of the person to whom the CAR was issued.
- **Deficiency**, This section requires the entry of a description of the deficiency to which the CAR refers.
- **Audit Date**, This section requires the entry of the date on which the audit took place.
- **Initials of Auditor**, This section requires the entry of the initials of the Audit Team Leader.
- **Response Due Date**, This section requires the entry of the date by when a response to the CAR is due.
- **Date Reminder Sent**, This section requires the entry of the date when a reminder was sent to the person responsible for addressing the CAR. If no reminder was necessary then N/A may be entered in this section to indicate non-applicability.
- **Corrective Action Completion Date**, This section requires the entry of the date by when the corrective action was completed.
- **Action to Prevent Recurrence Completion Date**, This section requires the entry of the date any action taken to prevent recurrence of the non-conformance was completed. If none was taken then N/A should be entered in this section to indicate non-applicability.
- **Proposed Follow-up Date**, This section requires the entry of the date any follow-up activity was conducted to ensure that the non-conformance was not repeated. If none was performed then N/A should be entered in this section to indicate non-applicability.
- **Date CAR Closed**, This section requires the entry of the date that the CAR was deemed to be acceptably answered by the QA Manager.

## APPENDIX D: PROCEDURE FOR MAINTAINING PERSONNEL FILES

The objective of this procedure is to ensure effective and efficient management of personnel by making centrally available all information relating to individual members of staff. This process shall ensure the competence of personnel and allow for their continual development.

A personnel file is opened upon the decision of the Managing Director. At this point a personnel number is assigned by taking the next available number in the personnel number sequence. The Managing Director or his/her designee must now produce the Personnel Quality Assurance Proforma, guidelines for this follow.

- **Personnel Suitability Proforma**, The first section of the Personnel Quality Assurance Proforma is taken up by the Personnel Suitability Proforma (PSP). The PSP is a checklist designed to provide assurances of personnel competency. The PSP should be started as soon as possible and be complete by the time a personnel file is opened. Basic contact details should be entered into the grey-boxed section at the top of the PSP. Further details regarding completion of the PSP are described below.
- **Copy of Degree Certificate**, This section requires the entry of a yes/no response to indicate whether the company has copies of any certificates of qualification the prospective candidate may have.
- **Results of Qualifications Check**, Unless copies of certificates are present all claimed qualifications are required to be checked for validity. The results of such checks are to be entered into this section.
- **Original CV**, This section requires the entry of a yes/no response to indicate whether the company has a copy of the prospective candidate's CV. If the answer is yes then the filing location and type must be noted.
- **Interview Notes**, Should the candidate be invited for interview, any notes taken by the interviewer should be stored. This section requires the entry of the filing location for such notes.
- **Reference 1 & 2**, References are required to be provided to ensure that the prospective candidate has performed well in similar roles historically. The results of the checking of the named references must be entered into this section.
- **Copy of Memberships**, This section requires the entry of a yes/no response to indicate whether the company has copies of any certificates of professional membership the prospective candidate may have.
- **Results of Membership Checks**, Unless copies of certificates are present all claimed memberships are required to be checked for validity. The results of such checks are to be entered into this section.

- **Confidentiality Statement**, This section requires the entry of a yes/no response to indicate whether the prospective candidate has completed a Confidentiality Statement and returned it signed to the company.
- **Next of Kin Form**, This section requires the entry of a yes/no response to indicate whether the prospective candidate has completed a Next of Kin Form and returned it signed to the company.
- **Offer Letter and Contract**, This section requires the entry of a yes/no response to indicate whether the company have the returned original, signed contract and a copy of the offer letter (if applicable). Contracts and offer letters should be filed in section 6 of the applicable Personnel File.
- **Copy of PMSC CV**, This section requires the entry of a yes/no response to indicate whether the company has a copy of the prospective candidate's CV in company format. If the answer is yes then the filing location and type must be noted.
- **General Principles of Hazard Identification and Assessment**, This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of General Principles of Hazard Identification and Assessment. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Safety Management Systems**; This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of Safety Management Systems. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Principal Health and Safety Legislation**; This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of Principal Health and Safety Legislation. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Specialist Health and Safety Competencies**; This section requires the entry of a yes/no response to indicate whether the prospective candidate exhibits Specialist Health and Safety Competencies. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Principles of Quality Assurance**; This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of the Principles of Quality Assurance. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Principles of Good Environmental Practice**; This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of the Principles of Good Environmental Practice. Further details can also be added at the discretion of the Managing Director or his/her designee.
- **Rail Industry Safe Systems of Work**; This section requires the entry of a yes/no response to indicate whether the prospective candidate has knowledge of Rail Industry



Safe Systems of Work. Further details can also be added at the discretion of the Managing Director or his/her designee.

- **Competency Summary Sheet:** This section requires the entry of an assessed mark for the member of staff or sub-contractor for each of the selected areas of competence. Comments can also be entered in the space provided.
- **Signing Sheet:** The PSP must be signed and dated by the Managing Director or his/her appointed designee. The Signatory to the PSP shall also print his/her name.
- **Qualifications Log:** This section refers to any qualifications the member of staff may have. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP. Any copies of qualification certificates should be filed after this log section in the personnel file.
- **Reference:** This section requires that a unique identifier be provided for the qualification certificate. Guidance for uniquely labelling any qualification certificate is provided on the sheets themselves.
- **Level of Qualification:** This section requires the entry of the level of qualification attained, for example BA (Hons), A-Level, M.Sc. etc.
- **Seat of Learning:** This section requires the entry of the academic institution or training provider responsible for awarding the certificate.
- **Description of Qualification:** This section requires the entry the discipline to which the qualification pertains.
- **Date of Award:** This section requires the entry of the date that the award was conferred.
- **Comments:** This section is to be used for any additional comments with regard to the qualification certificate. This section can also be used to cross-reference the qualification certificate with another filing location, for example, the Company File.
- **CV Log:** This section refers to any CVs or career summaries pertaining to the member of staff. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP.
- Any copies of CVs should be filed after this log section in the personnel file **unless they are stored electronically and their location referenced in the comments field.**
- **Reference:** This section requires that a unique identifier be provided for the CV. Guidance for uniquely labelling any qualification certificate is provided on the sheets themselves.
- **Date of CV:** This section requires the entry of the date of issue for the CV.
- **Date of Record:** This section requires the entry of the date of the record.

- **Purpose of CV:** This section requires the entry of the reason why the CV was submitted/prepared, for example; If this is the original CV then the word 'Original' can be entered. If this CV was modified in any way to make more suitable to a client then, then the reason for this modification should be entered here.
- **PMSC CV:** This section requires the circling of either the Yes or No response to indicate whether this CV is in PMSC format or not.
- **Comments:** This section is to be used for any additional comments with regard to the CV. This section can also be used to cross-reference the CV with another filing location, for example, the Company File.
- **Interview Notes:** This section refers to any Interview Notes pertaining to the member of staff. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP. Any Interview Notes, whatever form they take, should be filed after this log section in the personnel file.
- **Reference:** This section requires that a unique identifier be provided for the Interview Notes. Guidance for uniquely labelling any Interview Notes is provided on the sheets themselves.
- **Position Interviewed For:** This section requires the entry of the position to which the Interview notes pertain. This may be different from the position for which the person was eventually hired.
- **Date of Record:** This section requires the entry of the date of the record.
- **Interviewer:** This section requires the entry of the name and position of the person responsible for conducting the interview.
- **Comments:** This section is to be used for any additional comments with regard to the Interview Notes. This section can also be used to cross-reference the Interview Notes with another filing location, for example, the Company File.
- **Membership Log:** This section refers to any information with regard to any official bodies the member of staff may be a member of. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP. Any copies of membership information should be filed after this log section in the personnel file.
- **Reference:** This section requires that a unique identifier be provided for the membership information. Guidance for uniquely labelling any membership information is provided on the sheets themselves.
- **Official Body:** This section requires the entry of the body to which the membership information pertains, for example; The Safety and Reliability Society.
- **Date of Record:** This section requires the entry of the date of the record.

- **Status of Membership:** This section requires the entry of the status of the membership. This status needs to include: whether the membership is current; the level of membership i.e. associate, fellow etc.; and whether this membership enables a chartered status, for example: enter 'CEng' to indicate Chartered Engineer.
- **Comments:** This section is to be used for any additional comments with regard to the membership information. This section can also be used to cross-reference the membership information with another filing location, for example, the Company File.
- **Contracts Log:** This section refers to any contracts pertaining to the member of staff. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP.
- Any original and copies of contracts should be filed after this log section in the personnel file.
- **Reference:** This section requires that a unique identifier be provided for the contract. Guidance for uniquely labelling any contracts is provided on the sheets themselves.
- **Purpose of Contract:** This section requires a brief description of the specific roles referred to in the contract.
- **Date of Record:** This section requires the entry of the date of the record.
- **Original:** This section requires that a yes or no response be entered to indicate whether the contract is an original or a copy.
- **Signed:** This section requires that a yes or no response be entered to indicate whether the contract is signed or not. If a no response is entered then the reason for the lack of signature should be entered in the comments section.
- **Comments:** This section is to be used for any additional comments with regard to the contract. This section can also be used to cross-reference the contract with another filing location, for example, the Company File.
- **Confidentiality Statement:** To ensure that any information pertaining to clients is treated confidentially, the Company shall insist upon receipt of a signed confidentiality statement prior to a member of staff or sub-contractor commencing work on any project.
- **Next of Kin Forms:** To ensure that the company keep appropriate records of staff a next of kin/personal information form must be completed prior to commencing employment.
- **Training Records:** Competence of staff and sub-contractors is essential for the delivery of quality to clients. The training record acts as a monitor of competence and a process by which to continually improve the quality of service to clients by increasing existing personnel competencies and developing new ones. The name of the member of staff and personnel number should be entered in the space provided at the top of the training

record sheet as they appear in the PSP. Any certificates of training should be filed after this log section in the personnel file.

- **Date:** This section requires the entry of the date(s) on which the training took place.
- **Course Title:** This section requires the entry of the title of the course.
- **Course Provider:** This section requires the entry of the person or company who presented the training course.
- **Sponsoring Company:** This section requires the entry of the company responsible for sponsoring the training, i.e. who paid the course fee.
- **Comments:** This section is to be used for any additional comments with regard to the training. This section can also be used to cross-reference the training with another filing location, for example, the Company File. Additionally, any comments regarding the timing of any requirements for refresher training should be made here
- **Certified:** This section requires the entry of a yes/no response to indicate whether or not the course providers award a certificate on completion of the training course.
- **Correspondence:** This section refers to any important correspondence between the Company and the member of staff. The name of the member of staff and Personnel Number must be entered into the header part of the log table as they appear in the PSP. The Managing Director or his/her designee shall make the judgement of what constitutes 'important' correspondence. Any items of Correspondence should be filed after this log section in the project file.
- **Reference:** This section requires that a unique identifier be provided for the item of correspondence. Guidance for uniquely labelling any item of correspondence is provided on the sheets themselves.
- **From:** This section requires the entry of the name of the sender of the item of correspondence.
- **To:** This section requires the entry of the name of the recipient/addressee of the item of correspondence.
- **Title:** This section requires the entry of the title of the item of correspondence.
- **Date:** This section requires the entry of the date of the most recent item of correspondence filed under this reference.
- **Comments:** This section is to be used for any additional comments with regard to the item of correspondence. This section can also be used to cross-reference the item of correspondence with another filing location, for example, the Company File.



## APPENDIX E: PROCEDURE FOR MAINTAINING SUB-CONTRACTOR FILES

The objective of this procedure is to ensure effective and efficient management of limited company sub-contractors by making centrally available all information relating to each sub-contractor limited company. This process shall ensure the competence of personnel and allow for their continual development.

A Limited Company Sub-Contractor file is opened upon the decision of the Managing Director. At this point a Limited Company reference number is assigned by taking the next available number in the Limited Company reference number sequence. The Managing Director or his/her designee must now produce the Limited Company Sub-Contractor Quality Assurance Proforma (LIQAP), guidelines for this follow.

- **Limited Company Certificate:** This section refers to any limited company registration certificates pertaining to the sub-contracted limited company. Any copies of limited company certificates should be filed after this cover section in the limited company sub-contractor file.
- **Limited Company Name:** This section requires the entry of the name of the Sub-Contracted Limited Company.
- **Certificate Enclosed:** This section requires the entry of a yes/no response to indicate whether the certificate of incorporation is enclosed or not.
- **Company Address:** This section requires the entry of the main correspondence address for the sub-contracted limited company.
- **Main Telephone Number:** This section requires the entry of the main telephone contact number for the sub-contracted limited company.
- **Main Fax Number:** This section requires the entry of the main fax number for the sub-contracted limited company.
- **Main Email Address:** This section requires the entry of the main email address for the sub-contracted limited company.
- **VAT Registration Certificate:** This section refers to any VAT registration certificates pertaining to the sub-contracted limited company. Any copies of VAT registration certificates should be filed after this cover section in the limited company sub-contractor file.
- **Limited Company Name:** This section requires the entry of the name of the sub-contracted limited company.
- **VAT Certificate Enclosed:** –This section requires the entry of a yes/no response to indicate whether the VAT registration certificate is enclosed or not.

- **Applicable:** This section requires the entry of a yes/no response to indicate whether this section is applicable or not.
- **Contact List:** This section refers to any contacts within the sub-contracted limited company. The names, telephone number, fax number and email address should be entered in the appropriate sections. Additional information can also be entered in the email address section.
- **Contracts Log:** This section refers to any contracts pertaining to sub-contracted limited company. The limited company name and limited company number must be entered into the header part of the log table as they appear on the certificate of incorporation. Any original and copies of contracts should be filed after this log section in the limited company sub-contractor file.
- **Reference:** This section requires that a unique identifier be provided for the contract. Guidance for uniquely labelling any contracts is provided on the sheets themselves.
- **Purpose of Contract:** This section requires a brief description of the specific roles to be performed by the sub-contracted limited company as referred to in the contract.
- **Date of Record:** This section requires the entry of the date of the record.
- **Signatory:** This section requires the entry of the name of the person who signed the contract on behalf of the sub-contracted limited company.
- **Comments:** This section is to be used for any additional comments with regard to the contract. This section can also be used to cross-reference the contract with another filing location, for example, the Company File.
- **Applied Personnel List:** This section requires the entry of information with regard to the sub-contracted limited company personnel who are to be applied on work for the company.
- **Name:** This section requires the entry of the name of the sub-contracted limited company personnel.
- **Date Contracted:** This section requires the entry of the date that the sub-contracted limited company personnel was contracted to work for the company.
- **Proforma Enclosed:** This section requires the entry of a yes/no response as to whether a Personnel QA Proforma is included within the sub-contracted limited company file.
- **Assigned Task:** This section requires the entry of the task to which the sub-contracted limited company personnel has been assigned.
- **Personnel Suitability Proforma:** All details of Limited Company Personnel are to be filed on the Limited Company Sub-Contractors file.



## APPENDIX F: PROCEDURE FOR MAINTAINING TECHNICAL CONTROL

The objective of this procedure is to ensure that the technical content of project deliverables is accurate and adequate for its intended use and presented in a way that demonstrates quality.

This section of the Quality Management System details how control is maintained for the generation, transmittal and verification of information within projects undertaken by the company.

**Production of Technical Reports:** This section presents the procedure to follow when producing a Technical Report. The production of a Technical Report as an output from a project will be logged into the Project File. The report will, in general, present the results and findings of a specific project or part of a project. It will, where appropriate, present the assumptions, results of approved calculations, analysis, investigations and any other relevant technical studies.

This Process presents the approach followed for firstly preparing the report to a specified format and secondly its internal review and approval where appropriate.

**Report Preparation and Format:** The Project Engineer responsible for the production of the report as the author or co-author shall review the information to be presented in the report to ensure that the results are correct and are consistent with the project requirements.

The format of the reports shall normally be consistent with the following requirements, incorporating client specific changes where agreed as part of any specific contract requirements.

- a) Title Front Page.
- b) Executive Summary (if appropriate).
- c) Record of Revisions.
- d) Distribution List.
- e) Contents, including a list of Appendices, Tables and Figures.
- f) Introduction.
- g) Scope of Report.
- h) Main Body Text divided into appropriate chapters.
- i) Conclusions and Recommendations where appropriate.
- j) References.
- k) Tables and Figures.
- l) Appendices as required.

**Report Identification and Control:** All project reports will be given a unique identifier that will consist of a Company File reference number. The report will be logged into the Project File.

It is the responsibility of the author to ensure that the following items are clearly visible in either the header or footer section of each page.

- a) A statement of the report status, i.e. IN CONFIDENCE.
- b) The report number, as detailed above, as issued by the Project Manager.

- c) The issue status of the report
- d) The company name.
- e) The title of the report.

The page footer shall contain the unique page number for that page in the report.

**Report Review and Approval:** Each report shall be reviewed and approved before issue to the client.

The roles of the author, reviewer and approver are outlined below:

**The Author:** The author is responsible for the technical content of the report. He shall ensure the following before issuing the report to the reviewer:

- a) The report is consistent with the format requirements as specified above.
- b) A unique report number has been obtained and the headers and footers are completed on every page.
- c) Every effort has been made to assure the accuracy of the technical content.

Any appendices, tables and figures have been completed and the report has been checked for spelling and grammar.

**The Reviewer:** It will be the responsibility of the Project Manager or his designee to review all the project reports produced by persons working on the project. The role of the report reviewer will be to review both the format and the technical content of the report. In addition, the Project Manager must also ensure that the report is fit for its intended purpose.

In conference, the Author and Reviewer shall resolve any area of ambiguity or disagreement. In specific instances where agreement cannot be reached the Project Manager will arbitrate, to obtain agreement.

**The Approver:** The Managing Director or his designee shall be responsible for the approval of all project reports produced by the company. The role of the approver will be to take an overview of the report content and assess its adequacy for official release to client.

**Report Issue:** The issue status of the report shall be indicated by a number, for example; issue '03' would be more recent than issue '01'.

**Records:** With each issue of a report to a client a copy shall be placed in the Project File and the final issue is to be placed on the company library. While Project Files shall be maintained throughout the duration of the project and for a period of not less than 2 years following the completion of the project, the library shall be maintained throughout the existence of the Company.

**Calculations:** calculations are all performed by suitably qualified personnel. Calculations shall be checked for accuracy, adequacy and applicability of the methods used, by qualified personnel who did not originate the work.





Any calculations shall only be approved by the Project Manager or his/her designee.

The Calculations shall become part of the Project Files. A log of all calculations shall be maintained in the Project File.



## APPENDIX G: PROCEDURE FOR AUDITS

The objective of this procedure is to ensure that the Quality Management System has been implemented correctly.

All projects shall be periodically audited and non-conformances corrected to ensure that the requirements of the company Quality Management System are adequately implemented. The Quality Assurance (QA) Manager shall have the responsibility for maintaining quality and to this end shall have the authority to enquire about all aspects associated with quality.

- **Project Audits:** Project Audits shall be conducted at least once during a project. The QA manager shall be responsible for performing the audits and may select suitably qualified personnel to assist if required. Any deviations from the Quality Management System identified during the audit shall be designated as non-conformances.
- **Audit Notification:** The QA Manager shall notify the Project Manager in advance of an impending audit using the Audit Notification Proforma (ANP). If the suggested date or time is unacceptable the originator of the ANP must be informed as soon as possible so that a new date and time can be suggested.
- **Audit Reports:** Upon completion of the Audit an Audit report shall be issued. This shall detail all procedures audited and clearly identify any Non-conformances identified and any corrective action requests issued. The Audit Report Proforma shall normally be used to produce the report. Audit report status shall be logged.
- **Non-Conformances:** All personnel undertaking work to the requirements specified by the Quality Management System are responsible for identifying non-conformances and notifying them to the Project and QA Managers. Notification must occur within five working days following identification and should be reported in a Non-Conformance Report (NCR). The QA Manager shall evaluate all potential non-conformances for validity. If they are found to be in violation of procedures he shall signify this by signing, logging and returning the NCR to the originator.
- **Corrective Action Request:** The Project Manager shall be responsible for measures required to resolve a non-conformance. He shall assign the NCR to a responsible individual who will take the necessary corrective action; this is termed a Corrective Action Request (CAR). On completion of action the NCR will be returned to the Project Manager for verification and signing and then forwarded to the QA Manager for verification. All CARs shall be logged. It is the responsibility of the QA Manager to ensure that the Project Manager corrects all non-conformances.

## APPENDIX H: PROCEDURE FOR DEALING WITH SUPPLIER INVOICES

The objective of this procedure is to ensure that all suppliers are dealt with fairly and promptly thus ensuring continual supply.

- Unless the Supplier has an invoice payment policy to which the company has previously agreed then the following process shall be applied.
- On the day that original invoices are received by post at the office they are date stamped by the company administrator.
- After date stamping they are placed into the Accounts pending file by the company administrator.
- **Validation and Checking:** All invoices are subjected to the following validation/checking process: Arithmetic checks are carried out on the content of the invoice. Checks are made to ensure that the invoice is submitted on an original letter head with the supplier company name, address, contact points and company registration number and VAT number if applicable. Check that a director of the supplier company or someone authorised to issue invoices on behalf of the supplier company has signed off the invoice. Check to make sure that all timesheets, progress reports and expense receipts are attached to the invoice, if applicable.
- *NOTE: it is not allowed for sub-consultants to claim expenses for which there are no receipts.*
- If the submitted invoice fails any of these basic checks – then it will be returned to the issuer immediately with an explanation of the reason.
- **Payment Policy:** If the invoice passes these basic accounting audit checks which are required due to the UK auditing requirements, as a general principle the payment shall be issued from our office by cheque to the supplier company address 30 (Thirty) days from when the invoice is validated. If any problems are identified with any invoice these shall immediately be communicated to the issuing organisation representative.

## APPENDIX I: PROCEDURE FOR ARCHIVING DOCUMENTS

The objective of this procedure is to ensure that important information is stored for a period beyond the periods of obvious usefulness, assuring that no important information is lost. Documents will not be destroyed as soon as their obvious current usefulness has come to an end. Documents shall be archived in a manner that conserves space but allows access if necessary. Normally documents will be taken out of their original folder placed in envelopes and packed together in boxes that are clearly labelled for ease of retrieval.

- **Archived Projects:** Projects may be archived as soon as the project is completed. The record retention requirements for all projects are nominally set to two years from completion of the project where this does not conflict with the record retention requirements of specific clients.
- **Archived Company File:** The Company File shall be archived one year after the completion of the file. The record retention requirements for the Company File are set to five years.
- **Archived Personnel/Limited Company Sub-contractor (Human Resources) Files:** Any Human Resources file shall be archived upon termination of employment or Sub-contract. The record retention requirements of Human Resources Files are set to the lifetime of the company. Should the member of staff or sub-contractor be re-employed or contracted again then the file shall be reinstated as active.



## APPENDIX J: PROCESS FOR CONTINUAL IMPROVEMENT OF QUALITY MANAGEMENT SYSTEMS

The objective of this procedure is to ensure that the Quality Management System is improved in proportion to the changing needs of customers and the company.

This section details the process by which the Quality Management System (QMS) is Maintained and Reviewed to ensure the continual improvement of company Quality Systems and as such the continual improvement of the quality of service provided to customers.

**Maintenance of the QMS:** All QMS Documentation shall be stored in the QMS Record File such that it is accessible to all persons engaged in work for the company. The QA Manager or his/her designee must produce the Quality Management System Record Proforma (QMSRP), guidelines for this follow.

*NOTE: A template for the QMSRP can be found in the 'PMSC Limited' folder in the Administration/Standard Documents sub-folder on the Reception computer. An example is also included in Appendix C of this document.*

**QMS Document Log:** The QMS Document shall be logged into the QMS Record File.

**Issue No.:** This section requires the entry of the Issue/Revision status of the QMS document.

**Date Issued:** This section requires the entry of the date that the QMS was issued

**Reviewer Signed:** This section requires the entry of a Yes/No response to indicate whether the named reviewer(s) have signed the approval sheet of the QMS.

**Approver Signed:** This section requires the entry of a Yes/No response to indicate whether the named approver(s) have signed the approval sheet of the QMS.

**Comments:** This section is to be used for any additional comments with regard to the QMS Document. This section can also be used to cross-reference the QMS Document with another filing location, for example, the Company File.

**Distributing the QMS:** All copies of the QA manual issued, either controlled copies or informal information copies will be logged by the QA Manager or his appointed designee using the Distribution log and the method described below:

*NOTE: The distinction between an informal copy and a controlled copy is that informal copies will not necessarily be kept up to date and are intended to provide the recipient with information only. Formal controlled copies are issued to individuals or organisations. These copies are uniquely numbered and are **intended** to be kept up to date by the recipient when directed to do so by transmittals from the company QA Manager, or his appointed designee.*

**Issue Number:** This section requires the entry of the issue number of the distributed QMS document.

**Recipient:** This section requires the entry of the recipient of the distributed QMS document.

**Formal/Informal:** This section requires the entry of whether the document was informal or formal.

**Date:** This section requires the entry of the date that the QMS document was distributed.

**Transmittal Method:** This section requires the entry of the method by which the QMS document was transmitted to the recipient, for example; Post or email.

**Comments:** This section is to be used for any additional comments with regard to the distributed QMS Document. This section can also be used to cross-reference the QMS Document with another filing location, for example, the Company File.

**Customer Satisfaction Questionnaire Log:** In the interests of improving customer service quality the company file the results of the Customer Satisfaction Questionnaire (CSQ). Completed CSQs should be logged using the method described as follows. Any completed CSQs should be filed after this log section in the QMS Record File.

**QMS Ref:** This section requires that a unique identifier be provided for the CSQ. Guidance for uniquely labelling any CSQ is provided on the sheets themselves.

**Summary of Customer Comments:** This section requires the entry of a brief summary of the customers' comments on the CSQ.

**Date:** This section requires the entry of the date the CSQ was received and recorded.

**Comments:** This section is to be used for any additional comments with regard to the CSQ. This section can also be used to cross-reference the CSQ with another filing location, for example, the Company File.

**Customer Satisfaction Questionnaire Analysis Log:** In the interests of improving customer service quality the company analyse the results of the CSQ. CSQ analyses should be logged using the method described as follows.

Any CSQ analysis sheets should be filed after this log section in the QMS Record File.

**QMS Ref:** This section requires that a unique identifier be provided for the CSQ Analysis. Guidance for uniquely labelling any CSQ Analysis is provided on the sheets themselves.

**Replies:** This section requires the entry of the amount of customer replies that were analysed.

**Summary of Overall Results:** This section requires the entry of a brief summary of the overall results of the CSQs analysed.

**Comments:** This section is to be used for any additional comments with regard to the CSQ analysis. This section can also be used to cross-reference the CSQ analysis with another filing location, for example, the Company File.

## Minutes of Company Progress Meetings Log

This section refers to any minutes of Company Progress Meetings. Minutes should be logged using the method described as follows.

Any Minutes of Company Progress Meetings should be filed after this log section in the QMS Record File.

**QMS Ref:** This section requires that a unique identifier be provided for the Company Progress Meetings Minutes. Guidance for uniquely labelling any Company Progress Meetings Minutes is provided on the sheets themselves.

**Attendees Initials:** This section requires the entry of the initials of the persons attending the Company Progress Meeting.

**Summary of Actions:** This section requires the entry of a brief summary of any actions issued as a result of the Company Progress Meeting.

**Date:** This section requires the entry of the date of the meeting.

### Comments:

This section is to be used for any additional comments with regard to the Company Progress Meetings Minutes. This section can also be used to cross-reference the Company Progress Meetings Minutes with another filing location, for example, the Company File.

**Review Log:** This section refers to any Reviews performed on the QMS. Any documented review should be logged using the method described below.

Any Minutes of Company Progress Meetings should be filed after this log section in the QMS Record File.

**QMS Ref:** This section requires that a unique identifier be provided for the Review. Guidance for uniquely labelling any Review is provided on the sheets themselves.

**Reviewer(s):** This section requires the entry of the name of the person(s) responsible for conducting the QMS review.

**Summary of Findings:** This section requires a brief summary of the findings of the review.

**Date of Review:** This section requires the entry of the date of the review.

**Comments:** This section is to be used for any additional comments with regard to the Review. This section can also be used to cross-reference the Review with another filing location, for example, the Company File.

**Staff Feedback Forms Log:** In the interests of continual improvement of the QMS all problems and deficiencies encountered by members of staff should be recorded using the Staff Feedback Forms (SFF) and logged using the method described below.

Any SFF be filed after this log section in the QMS Record File.

**QMS Ref:** This section requires that a unique identifier be provided for the SFF. Guidance for uniquely labelling any SFF is provided on the sheets themselves.

**Name:** This section requires the entry of the name of the person responsible for completing the SFF.

**Description of Problem:** This section requires the entry of a brief description of the problem/deficiency encountered.

**Date of record:** This section requires the date of the record.

**Comments:** This section is to be used for any additional comments with regard to the SFF. This section can also be used to cross-reference the SFF with another filing location, for example, the Company File.

**Reviewing the QMS:** This section details the process of continual improvement employed by the company.

**Review Schedule:** The QMS shall undergo formal review every three months.

**Staff Feedback Forms:** It is the responsibility of **ALL** members of staff, upon encountering a problem or deficiency with the QMS, to complete a Staff Feedback Form and log this into the QMS Record File.

The Staff Feedback Form must be provided with a numerical reference assigned sequentially beginning at 001. This shall be entered into the space provided.

The problem/deficiency must be described in the space provided.

The intermediary action taken should be entered into the space provided if applicable.

A suggested improvement should be entered into the space provided.

Any further comments can be added in the space provided if desired.

The person responsible for completing the Staff Feedback Form should enter their name in the space provided. The person should also sign and date in the spaces provided.

**Review Procedure:** It is the responsibility of the QA Manager to conduct a review of the QMS according to the Review Schedule.

This review should take into account but not be limited to any Staff Feedback Forms that have been completed and logged; any relevant comments from clients via the Customer Satisfaction Questionnaire, any relevant project audit results; relevant suggestions made during company progress meetings.

The completed review documentation should be logged into the QMS Record File.





**Review Proforma Front Cover Sheet:** The reference from the Review Log sheet should be entered into the reference section.

The QMS clause numbers that are undergoing review should be entered into the spaces provided under 'Reviewed QMS Sections'.

The date that the review took place should be entered in the space provided.

The name(s) of the reviewer(s) should be entered into the space provided.

The date and reference of the most recent previous review should be entered in the space provided.

A brief summary of the review should be entered into the space provided. This should include any outstanding issues that have not been addressed as yet and the reasons for the lack of corrective action.

The sheet should then be signed and dated by the Lead Reviewer and the QA Manager in the spaces provided. If the Lead Reviewer is the QA Manager then the QA Manager should sign both sections.

**Review Proforma Main Body:** This section deals with the specific issues addressed during the review.

The reference assigned should take the reference from the Review log combined with a sequential number beginning at 001 for each review, for example; **RL\_QMS\_01\_001**.

Whenever there is a correlation between the Review item and a Staff Feedback Form then a suffix shall be added consisting of SFF then the reference number of the applicable Staff Feedback Form, for example; **RL\_QMS\_01\_001\_SFF\_001**.

The description of the problem or deficiency should be entered into the space provided.

The Corrective Action taken should be entered into the space provided.

Any further comments can be added in the space provided.

**Re-issue of QMS Document:** Should any corrective action taken require changes to be made to the QMS document then a new issue should to be produced and distributed to every previous recipient of the formal previous issue.

## APPENDIX K: PROCESS FOR ASSURING THE COMPETENCE OF STAFF AND SUB CONSULTANTS

**Process Objective:** *To ensure that all persons engaged upon company business are competent for the role for which they are to be hired.*

The Managing Director shall be responsible for the selection of Company staff although he may, from time to time delegate this process to Project Managers. It is the Managing Director's responsibility to ensure that the staff have the required technical skills and experience to undertake the work for which they are hired. He shall also ensure that all company tasks are suitably staffed/sub-contracted.

**Personnel Suitability Proforma:** In assessing the suitability of staff and sub-contractors the company shall begin to complete the Personnel Suitability Proforma. This consideration of competence shall include, but not be limited to:

- a) Formal education qualifications.
- b) Past project/work experience.
- c) Specific knowledge of techniques applied by the company in their core business.

**Interview:** Once the Managing Director is satisfied of the suitability of a candidate's past experience and qualifications an interview shall be arranged.

**Personnel File:** Once the Personnel Suitability Proforma is complete and the Managing Director is satisfied of the competence of the candidate a contract may be issued and a personnel file opened.

## APPENDIX L: PROCESS FOR ASSURING CUSTOMER SATISFACTION

**Process Objective:** *To ensure that all clients are aware of the methods by which comments and criticism can be officially submitted to the company.*

The company use an Internet based Customer Satisfaction Questionnaire which can be accessed by any client/customer using the company website.

To ensure that all customers are aware of the Customer Satisfaction Questionnaire each customer shall be made aware of the existence of the customer satisfaction questionnaire at the end of each project. An example of how this might be achieved is presented below in the form of an email template to be used with a direct link to the Customer Satisfaction Questionnaire Page of the website.

An example template is displayed below:



**Tel: +44 24 76 356 388**

**Fax: +44 24 76 356 389**

**E-mail: [Matt@pmsafety.co.uk](mailto:Matt@pmsafety.co.uk)**

**Website: [www.pmsafety.co.uk](http://www.pmsafety.co.uk)**

***PMSC Limited***

*Suite 4, The Innovation Centre*

*St David's Way*

*Bermuda Business Park Industrial*

*Estate*

*Nuneaton*

*Warwickshire*

*CV10 7SD*

*United Kingdom*

### **Company Notice:**

The information contained in this e-mail and any attached files, may contain confidential and copyrighted information for the sole use of the intended recipient(s). If you are not the intended recipient, please inform the sender and delete all copies of this e-mail.

PMSC Limited take precautions against transmitting viruses by using up-to-date virus scanners with our e-mail clients, however we accept no liability for any damaged caused due to transmitted viruses so please ensure that you check any attachment(s) for viruses before opening them.

### **Company Policy:**

PMSC Limited are committed to customer satisfaction. We encourage our clients to complete our **online customer satisfaction questionnaire**. Your comments will be treated confidentially and acted upon in the interest of improved customer service.

This e-mail originates from PMSC Limited. Registered in England. No  
2687102  
Registered Office: Kings Business Centre, 90-92 King Edward Rd,  
Nuneaton. CV11 4BB

#### Figure 4: Sample Email Template

The Company also encourages customers to provide repeat business and as a matter of routine all clients are asked to provide a testimonial letter for the company after the second repeat project or contract renewal. Testimonial Letters are held on the official Company information file.



## **APPENDIX M: PROCESS FOR USING THE COMPANY FILING (CF) SYSTEM**

Any important information pertaining to the Company, either incoming or outgoing, shall be given a Company File reference number (CF) as follows:

### **YYYY-MM-CCC**

Where:

**YYYY** represents the year of record.

**MM** represents the month of record.

**CCC** represents a sequence number that begins at 001 at the start of every calendar month.

The document, either original or copy, shall then be placed on the Company File accordingly. Copies of the document may then be placed in other relevant filing locations usually only the appropriate project file to which the correspondence applies (if any). The Company File record sheet, which can be found on the Reception computer- ***PMSC Limited/ Administration/ Standard Documents***, will then be updated.

When referencing the company file from another location the abbreviation CF may be used.



## **APPENDIX N: PROCESS FOR OUTGOING CORRESPONDENCE**

All outgoing official company correspondence will be issued on company letter-headed paper.

For facsimile communication an agreed fax header template shall be provided, this can be found on the Reception computer- ***PMSC Limited/ Administration/ Standard Documents.***

All outgoing official company correspondence shall be given a Company File reference number.



## **APPENDIX O: PROCEDURE FOR FORMATTING COMPANY CVS**

The CVs of all members of staff or sub-contractors shall have their CV(s) converted into a specified company format by the company administrator.

All CVs of potential employees or sub-contractors that are issued to clients or potential clients shall have their CV(s) converted into a specified company format by the company administrator. This specified format shall always include personal information, a summary of experience and experience keywords on the first page of the CV. Company name and the name and titles of the candidate/member of staff/sub-contractor shall appear in the header section. A page number and the status of the CV i.e. Commercial in Confidence, -along with the Company name shall appear in the footer.

A Company CV template can be found on the Reception computer- ***PMSC Limited/ Administration/ Standard Documents.***



## APPENDIX P: PROCEDURE FOR FILING DOCUMENTS

Each of the following filing locations shall be used as appropriate. If they need to be referenced from another location the abbreviation codes (in brackets) may be used.

**Official Company Information (OCI):** Any information pertaining to official matters is to be stored in this section. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Company Information (CI):** Additional company information and reference material is to be stored in this section. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Personnel Information (PT):** Any and all information about company personnel and limited company sub-contractors should be stored in this section. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Curriculum Vitae File (CV):** Any recent and relevant CVs are to be stored in this section. There is CVs pending file and an alphabetical set of files.

The CVs Pending file shall maintain a record of all CVs that are being considered for either current or potential projects.

The alphabetical files shall store only CVs that are not duplicated by electronic copy files.

For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Other Company Information (CD):** Any information pertaining to other companies, for example; Brochures, files and reference documents are to be stored in this section. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Accident Database File (AD):** In an effort to provide an historical information resource, the Company keeps an Accident Database. In this section, the hard copy files, newspaper cuttings etc. are stored. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Electronic Copy (EC):** All electronically stored information pertaining to the company will be stored in the PMSC Limited folder.

**Accounts Files (AC):** All information pertaining to company accounts is to be stored in this section. The responsibility for filing all Accounts information lies with the Accounts Manager. For a more detailed description of the contents of this section, please refer to the Company Filing System.

**Marketing Files (MF):** All information pertaining to active or passive marketing shall be stored in this section. For a more detailed description of the contents of this section please refer to the Company Filing System.





## APPENDIX Q: PROCEDURE FOR FILING ELECTRONIC DOCUMENTS

This section details the procedures for storing electronic information.

All electronic information pertaining to the company will be stored in the PMSC Limited folder on the Reception Computer. The relevant subfolders are detailed below. This folder should be backed-up onto CD on the first day of every calendar month.

**Administration:** This section is used for the storing of all information and standard documents pertaining to the everyday running of the office e.g. Sticky label templates; Blank Company File record sheets, etc.

**Company File:** All electronic based in/out company information is to be stored in this section. Letters using fax front covers and letter templates are also to be found here.

**CVs and Information:** All CVs that were received electronically are to be stored in this section. Unedited/unformatted CVs with original contact details can be found in the 'Original CVs' Sub-folder.

**Marketing and Advertising:** All relevant information pertaining to advertising and marketing should be stored in this section.

**Pictures and Photographs:** All electronic pictures and photographs pertaining to the company are to be stored in this section.

**Projects:** All documents that relate to a particular project are to be stored in this section in the appropriate sub-folder.

**Scanned Images:** All scanned documents are to be stored in this section.

**Training Data:** All information pertaining to training courses either potential or previous/internal or external is to be stored in this section.

**Backup Info:** All copies of documents/folders made for the purposes of redundancy are to be stored and dated in this section.

**Contracts:** All Electronic Contracts both Internal and External are to be stored in this section.

**In Progress:** All work currently in progress should be stored in this section.

**Memberships and Affiliations:** All information pertaining to professional memberships and affiliations is to be stored in this section.

**Presentations and Exhibitions:** All information pertaining to presentations and exhibitions is to be stored in this section.

**Research Information:** Information concerning all directly or indirectly related firms or products is to be stored in this section.



**Website:** All information pertaining to the website, including the design, is to be stored in this section.

**Email Storage Within Microsoft Outlook:** All incoming and outgoing Emails are stored within Microsoft Outlook.



## APPENDIX R: PROCEDURE FOR USING THE COMPANY DATABASE

Using Microsoft Access the Company stores a variety of information to enable efficient retrieval of information. It is the responsibility of the company administrator to ensure that the database is complete and up to date.

**Clients/Contacts:** This database refers to the names and addresses of past/potential/current client Companies and the names, positions and telephone numbers of contacts within these companies. There is also the opportunity for storing limited information about client companies.

Every time a new contact is made they must be entered into the database. All fields should be completed where possible.

The company administrator must ensure that there is no duplication of entries, for example if a contact were to leave one company and move to another.

**Staff/Contractors:** This database stores the names and contact details of all staff and sub-contractors.

Every member of staff and sub-contractor should be entered into the database. All fields should be completed where possible.

**CVs:** This database stores the names, qualifications and contact details of all CVs on Company record. The database enables a faster search for suitable employment /sub-contract candidates.

Every CV that comes into the company should be entered into the database. All fields should be completed where possible.

**Accident Database:** In an effort to provide an historical information resource, the Company keeps an Accident Database. In this database accident details are stored.

It is the endeavour of the company to create an exhaustive database of accidents through history. All fields should be completed where possible.

**Library:** This database is a catalogue of the company library. The database enables a faster search for the desired document.

**Logging into the Library:** Every document that is entered into the library must be given a unique catalogue identifier for efficiency of retrieval. This shall take the form:

### CCC\_BB\_NNN

Where **CCC** refers to the category listing, for further details refer to the separate company filing system.

Where **BB** refers to the box number.

Where **NNN** refers to a number assigned sequentially starting at 001 for each box.

This shall then be entered into the database and a label bearing the unique identifier attached to the library document.

Each library box shall also be labelled with the full description of the category and the box number.

All database fields should then be completed where possible.

**Borrowing from the Library:** Any time a reference item is removed from the library with the intention of being taken off site then a sign out sheet must be completed. This shall include the date, item number, item title, intended return date, name and signature of the person who signed the document out.

**Project:** This database is a catalogue of information pertaining to major consultancy projects.

Every document that is entered into the project database must be given a unique catalogue identifier for efficiency of retrieval. This shall take the form:

#### **PP\_CCC\_BB\_NNN**

Where **PP** refers to the project number.

Where **CCC** refers to the category listing, for further details refer to the separate company filing system.

Where **BB** refers to the box number.

Where **NNN** refers to a number assigned sequentially starting at 001 for each box.

This shall then be entered into the database and a label bearing the unique identifier attached to the project document. Each library box shall also be labelled with the full description of the category and the box number.

All database fields should then be completed where possible.

**Hotels:** This database stores information pertaining to suitable temporary accommodation. All fields should be completed where possible. Employees are encouraged to make comments about the suitability of Hotels for future reference.

## **APPENDIX S: PROCEDURE FOR BACKING-UP ELECTRONIC INFORMATION**

All computers containing company information shall be backed-up at least once per month on to a separate hard drive which shall be stored in a location away from the office and protected from fire.

The separate hard-drive is partitioned to allow each member to store information in zones separate to each other.

It is the individual responsibility of personnel using lap-top computers to ensure that all important project and company related files are stored on the main reception computer and are backed up on a separate hard-drive.



## **APPENDIX T: PROCEDURE FOR RECORDING CONVERSATIONS AND TAKING MESSAGES**

Any important conversation should be recorded. This shall be achieved using the conversation record sheets provided.

**Names:** The names of the persons engaged in the conversation shall be entered into the spaces provided on the sheet. The telephone number should be entered into the space provided. The subject and the date of the conversation should be entered into the spaces provided.

**File Reference:** A Company File reference number may be assigned for conversations pertaining directly to company affairs.

**Summary:** The summary of the conversation shall then be entered into the space provided.

**Storage:** The record of conversation shall then be stored in an appropriate location. Usually this will be either the company file or if the conversation relates to an existing project in the Company File and the Project File.

