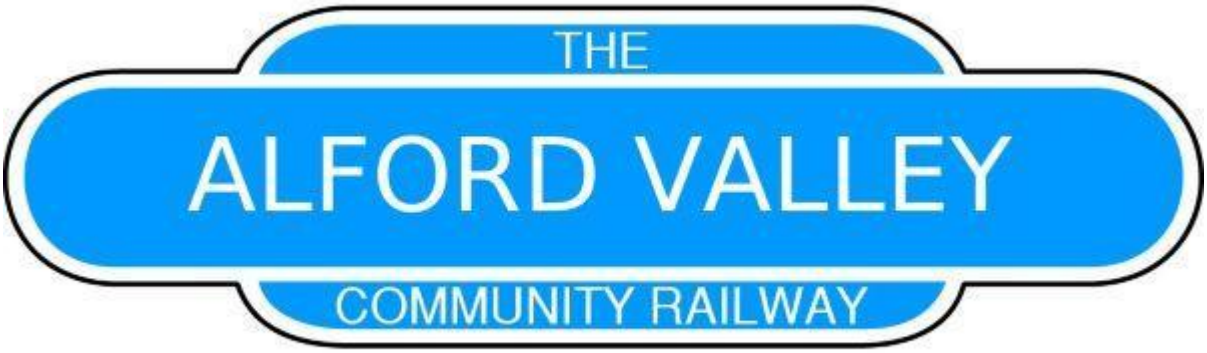


SAFETY MANAGEMENT SYSTEM

Alford Valley Community Railway Ltd.

CBS Number 8486. OSCR Registration Number SC051076

Mission Statement

To establish a community run attraction enabling local people and visitors to explore the rural and agricultural history of the Howe of Alford. Our visitors will be engaged, entertained and educated by the history of the original railway as well as future technological developments. This community run asset will support the economical sustainability of the village recognising the need to evolve toward a climate friendly operation embracing that message within all-inclusive volunteering and visitor opportunities.

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1. Introduction

Alford Valley Community Railway (AVCR) Ltd is a small size enterprise engaged in operating a heritage railway tourist attraction, together with associated workshops. As such AVCR Ltd is required to work within both railway and the general health and safety legislation. The latter derives from the Health and Safety at Work etc Act 1974 and its relevant statutory provisions, as supplemented by the Management of Health and Safety at Work Regulations 1999 and associated Codes of Practice and Guidance issued by HSE. The principal railway safety legislation applicable to AVCR Ltd are the "Railways and other Guided Transport Systems (Safety) Regulations 2006" (ROGS), under which AVCR is required to have a Safety Management System (SMS) by virtue of Regulation 4 and 6 (1). Within ROGS Part 1, AVCR is defined as an 'Other Transport Operator'.

To set the basis and scope of its SMS, the Board of AVCR Ltd resolved that AVCR Ltd is by definition a heritage railway, and that its maximum permitted speed will not exceed 8 kph (5 mph). Given this position, the SMS for the railway must:

a. Be adequate to ensure that the relevant statutory provisions in relation to safety will be complied with.
b. Meet the requirements set out in the above regulations, adapted to the character and extent of the operation of the AVCR Ltd.
c. Control all categories of risk associated with the AVCR Ltd operation including, the supply of maintenance and materials, the use of contractors and, the placing into service of new or altered vehicles or infrastructure.
d. Consider the risks arising as a result of the activities carried on by other persons and be documented.

As above, AVCR Ltd is a small, narrow gauge railway. It is run by a Board of Trustees under the legal form of charitable community benefit society and manned entirely by volunteers. As such, rather than departments AVCR has defined areas of responsibility and these are 'The Stations (Alford, Haughton and Lower Haughton)', 'The Engine Shed & Rolling Stock' and 'The Track'. All rolling stock and track maintained, refurbished and run by AVCR is owned by benefactors who wish to remain anonymous. This document comprises the lead document of the AVCR SMS, which is the overarching safety guidance for AVCR and is the responsibility of the Trustees.

Each area of responsibility may in turn have its own standards document which may be a much more specific reference document tailored for the needs and operation of that area of responsibility. All other safety documents associated with the SMS are available on request.

The SMS is a requirement in law. It is also a systematic approach to the control and management of safety in any organisation. It is a reference document that applies to the whole railway and is designed to become part of what we do. This document is

supported by general policy documents that set out the legislation and good practice that we abide by in our tasks and operation.

This SMS has been written using guidance from Office of Rail Regulation via (https://golive-orr.axis12.com/sites/default/files/2023-08/sms-guidance-guidance-for-minor-and-heritage-railways-v1.pdf and 'Wholly Volunteer Run Railways and The Law' (June 2021)

2. Type and Extent of Operation

Type and Extent of Operation

Name and Address of the Duty Holder under ROGS:

Alford Valley Community Railway Ltd
Main Street
Alford
AB33 8AD

What3words = smug.work.shipyards

Basis for Operation

AVCR Ltd operates a single-track line, running 2ft gauge passenger trains and maintenance trains. These heritage operations are conducted in accordance with all the legislative requirements identified below and also with guidance from certain regulatory organisations such as follows. The premises as a whole are also governed by certain legislation as listed below:

(a) The Light Railway Order May 1970.
(b) The Light Railway Order of 1984.
(c) The Carriage of Dangerous Goods by Rail Regulation 1994.
(d) The Railway Safety (Miscellaneous Amendments) Regulation 2001.
(e) The Railways and Other Guided Transport Systems (Safety) Regulation 2006 (ROGS).
(f) Office of the Rail Regulation (ORR)
(g) Heritage Rail Association (HRA)
(h) Health & Safety Executive (HSE)
(i) Building (Scotland) Regulations 2004 (Amended)
(j) Fire (Scotland) Act 2005
(k) Fire Safety (Scotland) Regulations 2006
(l) Aberdeenshire Council Guidance

Particulars of Infrastructure

(a) Gauge: Standard Gauge (2ft).
(b) Maximum gradient: 1 in 100.
(c) Maximum speed of operation: 5mph.
(d) Stations:
    a. Alford Station
    b. Haughton Park
(e) Track (General): Single track with loops.
    a. Entry line and passing loop at each end of the line
    b. Storage sidings
(f) The section between the engine shed and the start of the platform at Alford is defined as the "Yard".

Signaling and Control of Trains

Summary of working:

- There are no fixed signals. All signaling is carried out manually using flags and whistles.
- The railway is run in accordance with the rule book (in draft currently 030924) and all operational and safety critical staff will be trained and signed off according to the ‘AVCR Ltd Driver Guard Training Process’
- The Operations Manager, Engineering Services Manager – Rolling Stock and Engine Shed and the Permanent Way Team are responsible for ensuring that the railway and rolling stock are fit for purpose and safe for operation.

Interfaces

There is no connection to Network Rail or any other railway. In addition, AVCR Ltd does not as part of its normal operation, permit other transport undertakings to operate on its infrastructure. Should this position change then the SMS will be amended as appropriate at that point in time.

There is a private road crossing into the Grampian Transport Museum Trust. When this entrance is in use, the crossing will be operated as described in the Head of Terms Agreement between AVCR Ltd and GTMT.

The Track crosses Alford Golf Course. There is a Ground Lease and Risk Assessment in place between AVCR Ltd and Alford Golf Course that governs this relationship.

The railway also crosses the Lang Stracht private road. The procedure for operating this crossing is covered in the AVCR Ltd Driver/Guard Training Instruction.

Map of Route



History of Route

Alford Valley Railway was originally opened by Great North of Scotland Railway in 1859. As a branch line of the main Aberdeen to Inverness line, it ran between Alford and Kintore in Aberdeenshire. As with many other rural railways, cuts were implemented to the Alford line in 1949, with initially loss of its passenger service, followed in 1965 by demise of freight and total closure. Around 1979, a 2ft narrow-gauge railway opened, which was the brainchild of local railway enthusiast Mr James Gordon. The old original station platform came into operation in mid-1980. Known as the Alford Valley Railway, it ran between the centre of Alford to Haughton Country Park about a mile away.

Distances - Total distance of all track on site approx. 1.4km

Description of Operation

In total there are potentially 4 diesel locomotives in operation. The railway primarily runs for the benefit of the local community and visitors in conjunction with other separate community facilities in the Alford Station area and in Haughton Park. Trains run from Alford Station, through Alford Golf Course to the terminus at Haughton Park and returns thereafter. As well as the main Station (Alford), passengers can alight and board at Haughton Park.

Diesel Locomotives

AVCR Ltd runs 4 locomotives in the fleet as follows. As per Red diesel consultation - Rail Freight Group – red diesel is used onsite for all operations:

(a) Bra Lass - 2½ Tons

(b) James Gordon - 3½ Tons

(c) Wee Highlander (under refurbishment)

(d) Hamewith (under refurbishment)

Carriages

AVCR Ltd runs 3 carriages in the fleet as follows:

(a) Tram (under refurbishment)

(b) Keef Jubilee Coach - 3¼ Tons (estimate of empty weight)

(c) John C (under refurbishment)

Wagons

AVCR Ltd owns a fleet of wagons for maintenance purposes.

The identity and ownership of all rolling stock as above is listed in the AVCR Ltd Asset Register and is managed according to the Rolling Stock Agreement.

Plant Capable of Being on Track

None at this time.

Operational Movements

Ad hoc and planned movements are defined by the Operations Manager (OM) or the Duty Manager (DM). The Operations Manager has overall responsibility for the service. The Duty Manager has overall responsibility on a particular service day and this person may vary.

On a passenger operating day, the Duty Manager should check to ensure that the track is available as per the Track Inspection Record

The minimum crew for a passenger train is a Driver and Guard.

The minimum crew for a works train is a Driver and Guard.

All crew will be assessed as competent and have documented training records.

Passenger Service Trains are not permitted into the yard section.

When the line or section of the line is under maintenance the line is broken, the line will be closed and appropriate signage put in place. Train movements are under the control of the Permanent Way Team.

3. Objectives and Policies

General Objectives

Alford Valley Community Railway has core objectives these being:

(a) Operate a narrow-gauge railway and infrastructure.
(b) Maintain Station Building and ancillary buildings to house and preserve the rolling stock collection referenced above.
(c) Ensure the provision of educational and interpretive displays for any visitors.
(d) Ensure the provision of education and skills training used in the restoration, repair and operation of the railway to ensure its survival for the ongoing benefit of the community.
(e) Ensure that all other affiliated rolling stock, loco owning groups or individual groups will abide by the SMS and other safety documentation.
(f) Maintain a community resilience hub (future).

Safety Objectives

At the forefront of all AVCR Ltd operations is our unwavering commitment to providing a safe, healthy environment for all volunteers, passengers, and visitors. To this end, AVCR Ltd will apply the Plan, Do, Check and Act Principle as defined below. This commitment is also reflected in documents such as our Operating Rule Book (under review), mandatory annual Track Safety Briefings, Emergency Recovery Procedures for Rolling Stock and Lone Working Policy etc. In addition, the Board are also appointing a dedicated HSE Advisor.

However, we all have a personal responsibility for our own safety and this is emphasised at the beginning of every service or activity via mandatory Toolbox Talks.

Plan, Do, Check, Act system of safety management (from HSE Successful Health and Safety Management HSG65hsg65.pdf (hse.gov.uk)):

(a) **Plan**. Determine your policy and plan for implementation.
(b) **Do**. Profile risks, organise for health and safety and implement your plan.
(c) **Check**. Measure performance (monitor before events, investigate after events).
(d) **Act**. Review performance and act on lessons learned.

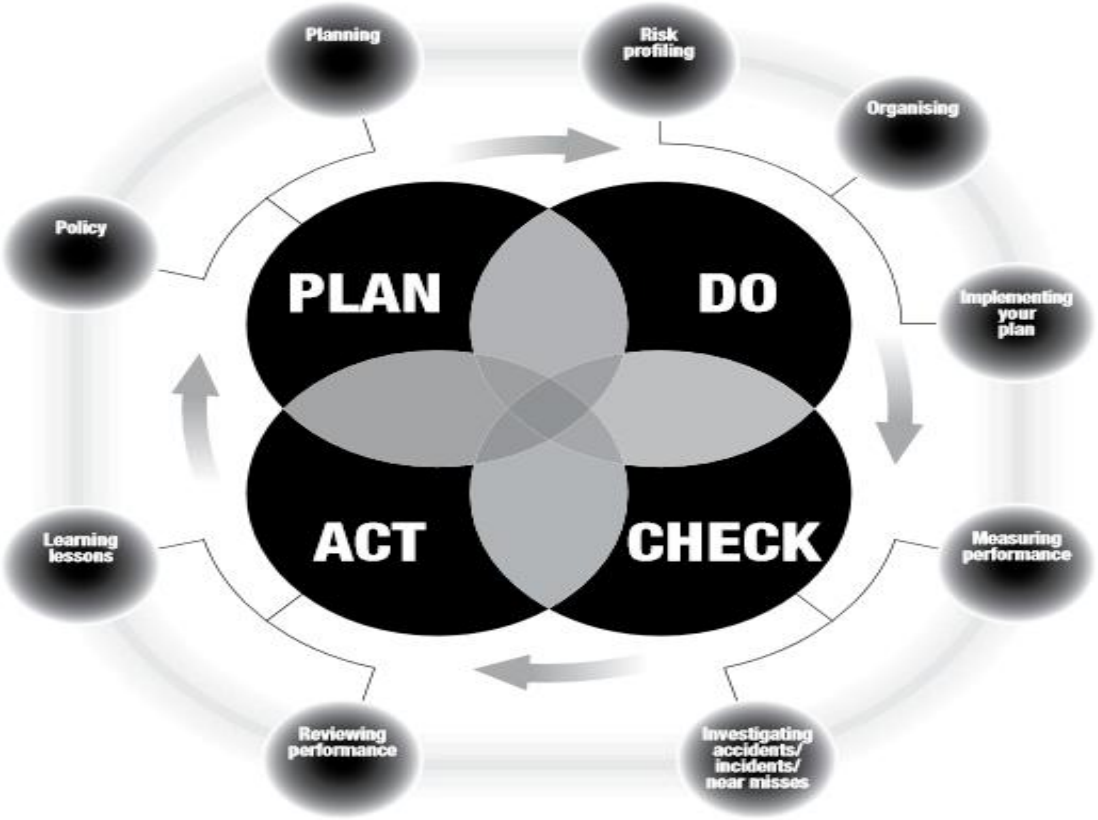


Diagram taken from 'Plan, Do, Check, Act – An Introduction to Managing for Health and Safety' (HSE).

With the above in mind the Board will:

- Regularly review and adhere to the AVCR Ltd Health & Safety (H&S) Policy which is approved by the Board and signed by the AVCR Ltd Chair

- Ensure a regular Agenda Item for Health & Safety at every Board Meeting.
- Ensure that all volunteers read and understand the SMS and H&S Policy and any safety notices – available online at AVCR Ltd's website (www.avcr.org.uk) and in the Ticket Office. With this in mind our regular activities are categorised and listed as follows:
- Rolling Stock and Permanent Way
    - Review operations on an ongoing basis proactively ie Permanent Way Team will actively check updates issued by RAIB and the ORR and make recommendations accordingly for consideration.
    - Ensure that the track is subject to an Independent Track Inspection prior to the beginning of any Season.
    - Ensure that the track is subject to regular track inspections – this will be weekly whilst service is open to the public and monthly on the off-season as per the Track Walking Guide. Any findings will be reported via the Track Patrol Record Sheet.
- Buildings
    - Ensure annual and ad hoc inspections are carried out as required and as documented in our Fire Risk Assessment Document which includes but is not limited to:
        - Review and update COSHH Register (including Engine Shed)
        - Carry out annual testing of all electrical circuitry
        - Check fire equipment and alarm on a weekly basis and update Records. Ensure that all fire equipment is serviced on a regular basis ie annually and also period discharge tests
        - Test Emergency lighting on a monthly basis and on an annual basis including discharge test.
        - Carry out Annual PAT Testing processes on all equipment featuring on the PAT Testing Register according to the document *'HSE recommendations – Maintaining Portable Electrical Equipment in low-risk environments*' including where appropriate personal portable appliance testing according to AVCR Ltd Personal Portable Equipment Policy.
- General
    - Receive any concerns or proposals on any safety matter from any volunteer or passenger or relevant source ie HSE, HMRI, Local Authority, Heritage Railway Association etc.

- Receive, create and review all relevant risk assessment.
- Ensure that when carrying out tasks on behalf of AVCR Ltd, all individuals on site– regardless if they be Board, Members or Volunteers - will wear relevant and appropriate Personal Protection Equipment (PPE) such as gloves, eye protection, ear protection, protective footwear, hard hat etc.
- Document any incident as it occurs. Thereafter carryout a full investigation, which will include 'lessons learned' and the identification of any actions required to avoid repetition. We will complete an AVCR Ltd Incident Report Template (hard copy available in the Ticket Office) and complete an entry in the first aid book (Ticket Office) if required.
- Report any notifiable event as it occurs – to be recorded in the Incident Register as such a Notifiable Event but no incident report is required. Notifiable events will be categorised as such on a case-by-case basis.
- Review all of the above relevant documentation on an ongoing basis to ensure continuous improvement and alignment with all relevant legislative responsibilities.

By participating in the objectives above where appropriate, we will ensure a safe environment for all.

Statutory Notices

The general Health & Safety Executive Law Poster is displayed in the Station and Engine Shed.

The general Health & Safety First Aid at Work Guidance Poster is displayed in the Station and Engine Shed.

Particular notices will be present where specific risks are present eg when grinding wheel is in use, ie signage 'Eye Protection Must be Worn' will be present and when significant track maintenance ongoing, signage 'Track Closed' will be present, as appropriate.

Operational Objectives

- To operate a safe working environment for all volunteers.
- To ensure a safe environment for all visitors.
- To provide an enjoyable experience for everybody – volunteers and visitors alike.

4. Trustees &Volunteers

AVCR Ltd is currently run entirely by volunteers and does not employ any staff at the date of writing. All volunteers are managed according to the AVCR Ltd Volunteers Policy and AVCR Ltd Equal Opportunities Policy (available online www.avcr.org.uk).

AVCR Ltd recruits volunteers who assist in the operation of the railway from an active working register of approximately 150. The number of working volunteers on the railway at any one time will vary enormously dependent on the intensity of service. Working volunteers also hold positions on the Board of Trustees.

It should be noted that not all volunteers are members and not all members are volunteers. Respective registers are kept for Volunteers and Members and data is stored according to the AVCR Ltd Privacy Policy.

AVCR Ltd does have under 16's volunteering on the site and these individuals are covered by the AVCR Ltd Safeguarding Policy.

There are however 4 safety critical roles within AVCR Ltd and these are stated to be:

(a) Operations Manager (Duty Manager)
(b) Engineering Services Manager - Rolling Stock & Engine Shed
(c) Permanent Way Team
(d) Trained First Aiders (onsite at all times during operations where resources allow – identified on the First Aid Notice displayed at the Station)

The overall responsibility for the preparation, development and functioning of the AVCR Ltd's SMS rests with the Board of Trustees, who then cascade both management and action down through the organisation. The SMS must be read and followed by all volunteers regardless of their designation.

All volunteers report to the Operations Manager (Duty Manager) and/or Permanent Way Team Representative. Below is a brief description of the tiers of Board and their responsibilities in regard to safety and smooth running of the railway:

The Chair is responsible for the day-to-day accountability, compliance and application of the SMS and safety guidance on the AVCR Ltd.

The Secretary is responsible for the smooth running of the Board according to the governing documents.

The Treasurer(**Combined role)**is responsible for the financial security of the organisation including reporting to all governing bodies such as OSCR and FCA.

The Operations Manager(and Duty Manager) is responsible for the safe running of all activities at the station whether that be during volunteer working days or operational days or ad hoc events.

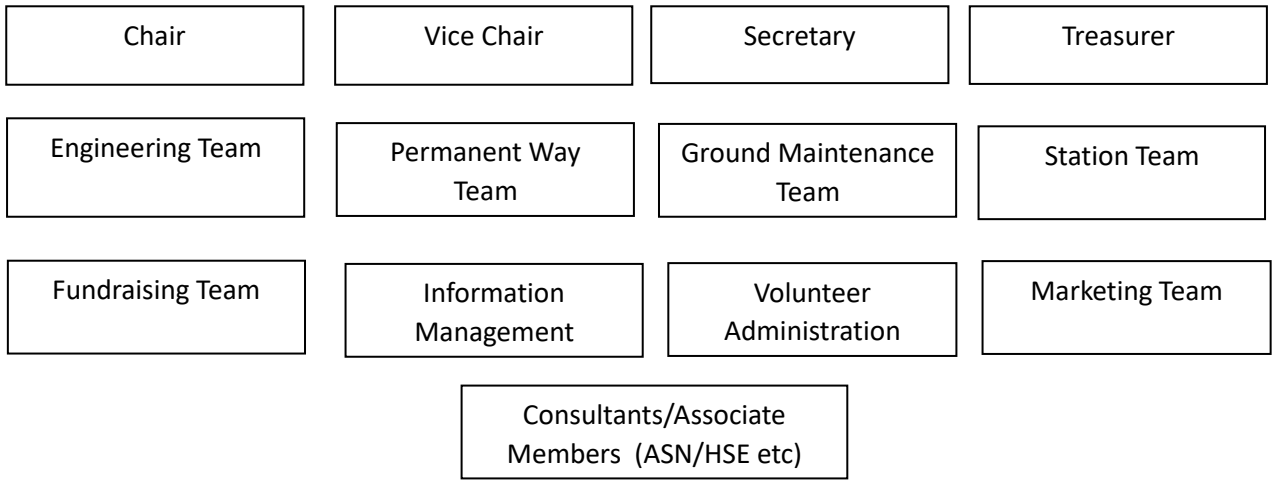
The Engineering Manager – is responsible for the safe maintenance and running of the Rolling Stock & Engine Shed

The Permanent Way Team are responsible for track and associated infrastructure maintenance.

The HSE Advisor is responsible for safe and healthy environment for volunteers, passengers and visitors.

The ASN Advisor is responsible for identifying and understanding the individual needs of volunteers, passengers and visitors.

ORGANISATION CHART



5. Competencies of Board and Volunteers

All volunteers who work with the railway are subject to the Volunteers Framework as specified in the Process Flow Chart. In brief however, volunteers express their interest via the email account avcrvolunteering@gmail.com and by completing a volunteers form. On this form, potential volunteers identify which roles are of interest to them. Based on this information Role Descriptions are issued.

Once specific roles are confirmed then a competency framework and training plan are issued, training and mentoring is given and progress is monitored accordingly (which includes any requirement for medical examination (drivers) and first aid training).

6. Operational Requirements

Safe Design of the Infrastructure

AVCR Ltd infrastructure in terms of track, points, crossings etc has remained largely unchanged and intact for the passage of trains since AVR Ltd began operating trains in 1970. Major refurbishments or replacements of infrastructure items or other developments that may have an impact upon the infrastructure will be subject to design (or design scrutiny) of a qualified Civil and Structural engineer.

No significant changes or extensions to the infrastructure or changes to the fundamental method of operation of the railway (as described in ROGS) are envisaged at the time of writing.

Safe Maintenance of the Infrastructure

The safe maintenance of the infrastructure is the responsibility of the Permanent Way Team (PWT) who report to the Board. Maintenance of the infrastructure in a safe and operable condition is essential to the future of the AVCR Ltd.

Routine inspection of the infrastructure is carried out by the PWT and any concerns are reported to the Board. Issues with the infrastructure identified by drivers or guards are reported for action to the PWT. In an emergency such reports are made to the Duty Manager as referenced in AVCR Ltd Emergency Recovery Procedure. This may entail immediate stoppage of the train past the site of the incident until the extent of any damage and its consequences has been determined. The Duty Manager will be responsible for ensuring trains are not allowed past the site until the line is released back into service.

AVCR Ltd's Board has committed to an ongoing programme of track renewal (including sleepers, ballast etc.) to ensure that the line remains in a safe condition for the current level of operation. The Board has also committed to an ongoing programme of repairs and renewals generally (Stations, Rolling Stock, Track etc) to ensure that the railway can continue to operate at its current level of service.

Signing In and Out

AVCR Ltd is run by a mixture of volunteers and members, who are actively engaged in running the railway and its associated activities

All volunteers and members are required to sign in and out to identify who is working on the railway at any point in time. Signing In/Out Sheets are available for completion in the Ticket Office. Volunteers should sign in and out at any time that they are present on site regardless of the tasks that they are undertaking.

If a volunteer is working at the site alone – they must sign in and out and also follow the AVCR Ltd Lone Working Policy.

Personal Track Safety

Before undertaking any tasks or activity which involves walking on, or being adjacent to AVCR Ltd railway tracks, attendees at site are required to take a Personal Track Safety Course (PTS) bi-annually. AVCR Ltd does accept other Network Rail approved PTS on production of proof.

Safety of the Public

AVCR Ltd has a primary duty in law not to unduly expose its passengers, visitors or neighbours to risks which threaten their health and safety. This is a significant responsibility for AVCR Ltd, since by its very nature, the company wants to encourage many of these people to partake of our various facilities and activities. Volunteers need to be mindful at all times that AVCR Ltd rules and procedures have been developed to ensure safety with respect to both Volunteers and the Public.

These requirements are particularly relevant at special events when large numbers of visitors are present.

Such occasions may involve extra arrangements (eg visits to sheds/workshops etc) and are therefore carefully planned beforehand using the risk assessment process. Up to date Generic and Specific Risk Assessments are made available to volunteers via AVCR Ltd's Shared Drive, and in print as necessary in the Station. Volunteers must be mindful that visitors may not necessarily recognise 'at risk' situations on or about the railway, and should therefore be on the lookout to advise and guide visitors in those procedures, designed to protect them from harm.

Drugs and Alcohol

There are quite clear legal duties on AVCR Ltd and its volunteers to ensure that neither drugs nor alcohol adversely influence volunteers whilst on duty.

If any volunteer knows themselves to be under the influence of drugs or alcohol they must not present themselves for duty and inform the Duty Manager if appropriate. Signing in for duty signifies that they are 'sufficiently rested, fit for duty and free from the effects of alcohol and drugs'.

If any volunteer suspects another to be under influence of drugs or alcohol then this should be communicated to the Duty Manager in order that the volunteer in question can be removed from site.

Similarly, should any member of the public be suspected to be under the influence of drugs or alcohol, then this should be communicated to the Duty Manager in order that the member of the public in question can be removed from site.

AVCR Ltd site is a No-Smoking or Vaping Zone and as such no smoking or vaping is allowed and facilities are therefore not be provided.

Housekeeping

By their very nature, heritage railways involve dust, dirt and grease. However, although the work is dirty at times, the workplace should not be allowed to become untidy or neglected. AVCR Ltd has a responsibility to operate a safe and healthy workplace and

all volunteers are required to clean up after themselves and return tools and equipment to their storage point in good condition. Allowing junk and rubbish to accumulate is a danger to volunteers and visitors. It is important to remember that a tidier workplace is a safer workplace, wherever it is.

Environmental Concerns

In recent years much more emphasis has been placed on pollution issues, so that companies have both legal and moral obligations to keep these under control.

The possibilities for pollution of air, water and land are obvious for AVCR Ltd and therefore AVCR Ltd needs to have systems in place to keep these dangers to a minimum.

Air will be polluted by smoke and diesel fumes, and although both of these are necessary outcomes of working locomotives, a little care with operating procedures will keep such emissions within reasonable limits ie engine shed doors open, rolling stock maintenance outside.

Possible water pollutions are oil, grease, particulate matter such as dirt or ash, and chemical compounds or solvents. Areas such as loco yards are a prime cause of concern, and suitable catch pits and sumps will be required to intercept spills etc. before they can enter either foul or storm drains. Particular care needs to be taken to avoid contamination of ground water, especially on soils of high permeability (sand or gravel).

Land could be contaminated from spills, leaks or dumping of oils, grease, chemicals etc. Generally, such instances are easy to control or clean up, although loco yards will again be areas of potential concern.

Finally, 'noise pollution' can also be an issue, since excessive noise from locos or AVCR Ltd machinery can cause distress to members of the public and neighbours. If this becomes prolonged or too intrusive, complaints can be made to the Local Council, who have powers to take enforcement action. In this regard, only noise generating activities that are required are undertaken. For example, when rolling stock cross roads or in relation to any issue or obstruction.

7. Hazard Identification and Reporting Procedures

AVCR Ltd is committed to ensuring that all volunteers working on AVCR Ltd premises feel comfortable and able to report any issues that they perceive at any time. These issues could be (but are not confined to) track defects, equipment malfunctions, unsafe work practices.

Currently, there are processes in place to proactively identify hazards of certain types, such as Track Patrol Record Sheet and Track Walking Guide (weekly during operations or monthly outwith operations), Driver Checklists, Driver Safety Instruction, Fire Risk Assessment Check (monthly), Loco startup checklists etc. Outwith these pre-existing checks, volunteers are actively encouraged to report any issue no matter how small either via the Duty Manager or directly to the Board either verbally or in email etc - ideally using the AVCR Ltd Hazard Report template.

Major railway incidents should be reported to the ORR by a railway duty holder, emergency services or other organisation via https://dataportal.orr.gov.uk/riddor/submit-new-incident

8. Risk Management Schemes

Understanding the ROGS requirement for risk management in relation to Regulation 6 (1)(d) and how this applies to our defined position as an 'other transport operator', the Board of Trustees has overall control and responsibility for risk assessments as they relate to activities carried out by other persons. AVCR Ltd carries out risk assessments on an as-needed basis and regularly assesses risk dynamically. Proactively, AVCR Ltd holds certain activities to mitigate risk such as AVCR Ltd Group Safety Briefing, AVCR Ltd Annual Track Safety Briefing, regular Fire Risk Assessments and weekly mandatory Toolbox Talks. Currently, AVCR Ltd have recognised risks associated with group visits, volunteers onsite, ASN volunteers, the general public being onsite and, in relation to GDPR, the risk associated with loss of data or data breach. Existing identified risks are captured on the AVCR Ltd Risk Assessment Template along with mitigating actions. In terms of GDPR, all data and documents held electronically and onsite in the ticket office are held according to the AVCR Ltd Privacy Policy.

Volunteers must also be mindful that new volunteers and visitors may not necessarily recognise 'at risk' situations on or about the railway and should therefore be on the look out to advise and guide visitors in those procedures designed to protect them from harm.

9. Safety Performance Monitoring Procedures

Specific to the operation run by AVCR Ltd, simple Key Performance Indicators have been applied. These KPIs will be reviewed on an annual basis to ensure that they remain fit for purpose and scalable. These KPIs are as follows:

KPI 1 – Incident Rate - Measure the number of incidents (such as derailments, collisions, or equipment failures) per unit of exposure (eg, per 100,000 miles travelled or per 1,000 hours of operation).

- Formula:

  IR=Exposure (eg, miles traveled, hours of operation) Number of incidents ×100,000

KPI 2 Near Misses - Track near misses - events that could have resulted in an incident but were narrowly avoided. Reporting near misses helps identify potential hazards and prevent future incidents.

KPI 3 Safety Audits and Inspections - Regular safety audits and inspections are essential. The results of the audits will be analysed and corrective action taken on at least an annual basis. Regularity of these audits and inspections will be increased if necessary, according to the results of the audits.

KPI 4 - Training Completion Rate – It is recognised that regular training ensures awareness of safety protocols and best practices. Designated competencies for each role have been designed and all volunteers will be measured against the competencies and a training plan created as appropriate. In addition, all relevant volunteers are expected to undertake Track Safety Maintenance Training as identified and if necessary further training will be applied to a specific volunteer's training plan as required. As part of KPI 4, AVCR Ltd will monitor the percentage of volunteers who complete safety training programmes.

KPI 4 - Response Time to Safety Incidents – AVCR Ltd will record, review and measure how quickly volunteers respond to safety incidents as part of the Incident Reporting Process. Any issues associated with response times to safety incidents will be addressed as part of the lessons learned process.

KPI 5 - Equipment Maintenance and Inspection Compliance – AVCR Ltd has a specific process in regard to track maintenance. The Permanent Way Team are responsible for the track, signals and other associated infrastructure. This infrastructure is inspected once monthly whilst out of season and inspected weekly whilst in season and resulting reports are created and stored at the Station. Any identified issues as a result of these inspections are reported to the Board of Trustees. Actions to remediate these issues are added to the regular maintenance schedule for either immediate attention or scheduled maintenance. Rolling Stock is subject to a start-up and shut down maintenance procedure. Any faults identified are reported to the Board and added to the regular maintenance schedule for immediate attention or scheduled maintenance. Regular reviews of these inspections, reporting and actions will be recorded and trends analysed to identify areas for improvement. Similarly, in terms of the Station Building and the Engine Shed, regular equipment maintenance and inspection is carried out as per the annual Fire Risk Assessment.

KPI 6 – Policy and Procedure – AVCR Ltd will review all Policies and Procedures on an annual basis by the Board as appointed at the AGM and review of such Policies and Procedures will occur immediately after the AGM. AVCR Ltd will create and review new policies as and when identified by the Board, volunteers, members or the public (see Section 15 Document Control Procedures).

10. Incident Investigation and Reporting Procedures

AVCR Ltd has a clear process for incident investigation and reporting. On the occurrence of an incident or very shortly thereafter an Incident Report is created by the Operations Manager (Duty Manager) which clearly details what has happened. The Incident Report is reviewed immediately or at the next Board meeting depending on the urgency of the incident. The Board will review the Incident, discuss and agree remediation and lessons learned recognised and applied as document in the AVCR Ltd Incident Report Template.

11. Emergency Response Procedures

AVCR Ltd have created Emergency Response Procedures in relation to Fire Emergency and Medical Emergency as follows:

Fire Emergency in Buildings (Fire Extinguishers are located at the exit points in the Station Building and Engine Shed, in the Kitchen and on the Locos):

Activate the Fire Alarm: If you discover a fire, immediately activate the nearest fire alarm. This alerts others in the building and initiates the Fire Evacuation Procedure.

Evacuate Safely:

- **Get Out**: Exit the building promptly. Encourage others to do the same. Assemble at the assembly point opposite the main entrance gate (on the grass).
- **Close Doors**: As you leave, close doors behind you - this helps prevent the fire from spreading.
- **Follow Evacuation Routes**: Follow the Fire Evacuation Procedure. Visitors will be guided by volunteers (Fire Warden/Marshall).
- **Do not attempt to fight the fire or do so at your own risk**

Listen to Instructions: Pay attention to any instructions given by the Operation Manager (Duty Manager) or identified AVCR Ltd volunteer or emergency personnel.

Call Emergency Services: Dial 999/112 or your local emergency phone number to report the fire. Provide them with accurate information about the location and severity of the fire.

Assist Others: Help others evacuate safely. If you encounter closed doors or handles that are warm, use an alternative exit. If smoke blocks your primary escape route, find another way out. If you must escape through smoke, get low and crawl under it to reach the exit.

Do Not Re-enter: Once outside, do not re-enter the building until emergency services declare it safe to do so.

Fire alarms are tested weekly and emergency lighting is tested at each Board Meeting or monthly. Fire risk assessments are carried out annually.

Medical Emergencies (First Aid Kits are available in the Station Building, Engine Shed and on the Locos):

AVCR Ltd have trained Duty First Aiders onsite during operations who can be identified by a First Aid badge and as nominated on the duty roster. These First Aid individuals have been trained and hold a certificate with a minimum 3 year review date. However, if the immediate attendant at the emergency is trained and competent to do so – take the appropriate action (dial 111) and/or administer the required first aid. Thereafter, the person taking action should contact the duty First Aider to report the incident. Otherwise, volunteers or visitors should immediately contact the designated AVCR Ltd First Aider.

First aid kits are checked regularly to ensure all items are present and in date.

12. Procedures for Managing Contractors

Some work carried out on the AVCR Ltd requires the use of specialist contractors. Minor works and major civil engineering projects carried out on the railway are required to conform to all applicable statutory legislation and regulation in addition to the AVCR's own requirements. When necessary, the company's Civil and Structural Engineering Consultant will act in the role of CDM (Construction Design Management) co-ordinator.

Major projects may require the separation of the work site from the operating railway (this may necessitate closure of part of the railway for a period). The worksite will then come under the jurisdiction of the contractor and AVCR Ltd volunteers will be required to conform to the contractor's rules.

Minor works that may involve activity on or near the operating railway will require the workforce involved being briefed by designated AVCR Ltd volunteers (ie Operations Manager (Duty Manager), Engineering Manager, Permanent Way Team etc) with regard to safety procedures and requirements. Where possible the worksite will be segregated from the running lines to define a safe working area.

If necessary, contractors will be required to undergo an AVCR Ltd course on Personal Track Safety before they are allowed to commence work. Once this has been successfully completed, they will then be authorised for the duration of the work involved.

Any contractor that fails to satisfy the safety requirements specified by the AVCR Ltd will be asked to leave the site.

13. Safety Promotion and Communication Procedures

AVCR Ltd regularly communicates with its volunteers and members using a variety of mechanisms. Minor safety communication is carried out at the start of each volunteer day as part of AVCR Ltd mandatory Toolbox Talk. More significant communications occur via email and/or designated Whatsapp chat groups.

Volunteers and members are encouraged to feedback any safety issues they may have via avcrchair@gmail.com. In addition, there is volunteer/member representation on the Board of Trustees where any issue, safety or general, can be raised and addressed. As previously stated, however, all individuals are also responsible for their own safety and wellbeing and should act appropriately at all times.

14. Reviewing, Developing, and Improving the SMS:

The SMS will be subject to an ongoing protocol of continuous improvement in order to ensure its effectiveness and to adapt it to evolving needs as follows:

- The SMS will be reviewed at least annually after an AGM and this activity will be reflected in the Objectives for the following year.
- Subsequent to any occurrence of an incident and accompanying Incident Report, the SMS will be reviewed and any changes required will be made and submitted for review as per Section 15. Document Control Procedure
- Subsequent to changes to legislation or regulations, the SMS will be reviewed and any changes required will be made and submitted for review as per Section 15. Document Control Procedure

15. Document Control Procedures

The creation of all documents relating to safety and generally will follow the same protocol which is:

- Create and distribute to the Board
- Gather feedback and make necessary adjustments
- Distribute to any other parties as appropriate ie volunteers, industry experts
- Gather feedback and make necessary adjustment
- Add as an Agenda Item to the Board Meeting
- Review, discuss and approve as appropriate at a Board Meeting

All documents will be version controlled and stored centrally on the AVCR Ltd Shared Drive and will be available at the Station as appropriate. All documents will be printed and held in an identified location at the Station and Engine Shed as appropriate.

16. Glossary of Terms

Below is a definition of some of the most commonly used abbreviations in the Safety Management System:

Term	Definitions or Inclusions
AGM	Annual General Meeting
ASN	Additional Support Needs
AVCR	Alford Valley Community Railway Ltd
CDM	Construction Design Management
COSHH	Control of Substances Hazardous to Health
DM	Duty Manager
FCA	Financial Conduct Authority
GDPR	General Data Protection Regulations
HMRI	His Majesties Rail Inspectorate
HRA	Heritage Railway Association
HSE	Health and Safety Executive
IR	Incident Rate
KPI	Key Performance Indicators
OM	Operations Manager
ORR	Office of Rail Regulation
OSCR	Office of Scottish Charities Regulator
PAT	Portable Appliance Testing
PPE	Personal Protection Equipment
RAIB	Rail Accident Investigation Branch
PWT	Permanent Way Team
ROGS	Railways and Other Guided Transport Systems (Safety) Regulations 2006, requires the AVCR to hold its own Safety Management System
SMS	Safety Management System
WVRR	Wholly Volunteer Run Railways

Appendices Available on Request

(as follows – items in red currently under construction):

Alford Golf Club Ground Lease

Alford Golf Club Risk Assessment

AVCR Ltd Asset Register

AVCR Ltd COSSH Register

AVCR Ltd Driver Checklist

AVCR Driver Guard Training Process

AVCR Ltd Driver/Guard Training Instruction

AVCR Ltd Emergency Recovery Procedure

AVCR Ltd Equal Opportunities Policy

AVCR Fire Evacuation Procedure

AVCR Ltd Fire Risk Assessment Check (Monthly)

AVCR Ltd Hazard Report

Head of Terms Agreement between AVCR Ltd and GTMT

AVCR Ltd HSE Policy

AVCR Ltd Incident Report Template

AVCR Ltd Lone Working Policy

AVCR Ltd Operations Rule Book

AVCR Ltd PAT Testing Policy & Register

AVCR Ltd Personal Portable Equipment Policy

AVCR Ltd Risk Assessment Template

AVCR Ltd Rolling Stock Agreement

AVCR Ltd Safe Guarding Policy

AVCR Ltd Track Patrol Record Sheet

AVCR Ltd Track Walking Guide

AVCR Ltd Volunteers Policy

AVCR Ltd Volunteers Process Flow Chart

Document Control

Version	Author	Date	Changes
0.0	-	02/02/24	Review of original document authored by KS
1.0	Sub-Committee	02/02/24	New document created
6.0	YB/GMM	29/05/24	Significant Reconfiguration
7.0	YB/GMM	04/07/24	Minor Reconfiguration
8.0	YB/GMM	01/08/24	Amended after review by Jan & Guy Bewick
8.0	YB/GMM	08/08/24	Reviewed by Board – Minor changes made to reference to PWT
9.0	GMM	16/08/24	Final Review against ORR SMS Guidance for Mintor Heritage railways August 2023, ROGS and Wholly Volunteer Run Railways & the Law June 2021
10.0	GMM/YB	03/09/24	Updated after review by Jonathan Enright
11.0	GMM/YB	25/09/24	Updated after review by Board and Volunteers comments
12.0	GMM/YB	24/03/25	Adjustments made to correct AVCR typo, to add what3words, to update emergency number, the use of red diesel onsite, personal track safety updated to bi-annually