



THE SWANAGE RAILWAY TRUST

Swanage Railway Policies

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General Manager

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Swanage Railway staff website (www.srstaff.co.uk)

Terminology (i.e. a glossary of terms)

SRT	Swanage Railway Trust
CoM	Council of Management
GM	General Manager
PMMMG	Purbeck Mineral and Mining Museum Group
SRC	Swanage Railway Company
SRT	Swanage Railway Trust
TOR	Terms of Reference

Version History

Version No.	Date	Reason
1.0	15 th January 1994	Approval of report submitted by Policy Review Committee
2.0	29 th October 1994	Annual review by CoM.
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21.0	25 th November 2006	Annual review by CoM.
22.0	3 rd November 2007	Annual review and update by CoM. Memorial Policy added.
23.0	26 th July 2008	Membership policy regarding ownership of work carried out on behalf of Railway added.
24.0	1 st November 2008	Annual review and update by CoM. Appendix XIV added.
25.0	6 th June 2009	Appendix XV (CoM Observer to SRC Board meetings) added

26.0	5 th January 2010	Annual review by CoM. Appendix XVI and XVII added plus SRT/SRC Chairman policy updated (split role (2.3.7 bullet 1)). Memorial policy updated. Policy 2.2.17 added.
27.0	25 th June 2011	Updated following annual review by CoM (30/10/10). Various changes and Appendix XVIII (Media Management Policy) added. Revised Returning Officer policy added (Appendix II).
28.0	17 th March 2012	Annual review and update of FRC TOR
29.0	11 Feb 2013	Annual review by CoM.

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1. **INTRODUCTION**

This document details the various policies and terms of reference as agreed by the Swanage Railway Trust (SRT) Council of Management (CoM). An initial set of policies were formally agreed by the CoM following the conclusion of a Policy Review Committee in early 1994. Subsequent to this all policies are reviewed by the CoM at their first meeting after each Annual General Meeting (AGM) and as required during the intervening months.

1.1 **Scope**

The scope of this document is limited to a) policies that affect the management and running of the SRT and b) benefits and facilities that are applicable to members of the Trust.

1.2 **Out of Scope**

This document covers only the scope specified in Section 1.1 above. Without limiting the foregoing, the following items are specifically outside the scope of work:

- Requirements that are determined by statute, e.g. the Charities Acts and Companies Acts.
- Aims, objectives and other regulations that are already detailed in the SRT's Memorandum and Articles of Association.
- Detailed rules and regulations that apply to the operation of the Swanage Railway. These are the responsibility of the Swanage Railway Company Board. Examples include health & safety, paid staff welfare/benefits and train operations.

2. POLICIES OF THE SWANAGE RAILWAY TRUST

2.1 General Statement

The fundamental aims of The Swanage Railway Trust (SRT) are:

- 2.1.1 to restore the rail link between Swanage and Wareham so as to bring the Isle of Purbeck into rail contact with the rest of the country.
- 2.1.2 to preserve and restore for the public benefit items of historical, architectural, engineering or scientific value in connection with railways.
- 2.1.3 to advance the education of the public in the history and development of railway transportation.
- 2.1.4 to study, compile records on and acquire, restore, preserve and maintain railway lines, locomotives, rolling stock and other items of railway interest, and to provide training and instruction in such activities and in particular but without prejudice to the generality of the foregoing those associated with the Isle of Purbeck, the former London and South Western Railway, other Railways which were in existence in Southern England during and before the year of nineteen hundred and twenty-three, the Southern Railway, and the Southern Region of British Railways, and to enter into such agreements and to take all such steps as may be necessary for these purposes, and to organise, sponsor and support displays and such other shows and events for the provision and stimulation of information, education and interest in such vehicles and other items of railway interest.

Full details of all SRT objectives are to be found in the Memorandum and Articles of Association dated 18th February 2001.

2.2 Council of Management administration policies

In addition to the procedures and powers of the Council of Management detailed in sections 37 to 48 of the Articles of Association of the Trust, the following shall apply:

- 2.2.1 The Council of Management shall elect a Chairman, Deputy Chairman, Secretary and Treasurer annually at the first Council meeting after the AGM. Assistants may be appointed by the Trust Council as and when required.
- 2.2.2 All Council of Management members accept, by virtue of election, that they hold collective responsibility for the Trust and that they are prepared to undertake specific tasks and responsibilities allocated to them by the trustees and must attend meetings on a regular basis.
- 2.2.3 A Council of Management member may at any time resign his office by giving written notice to the Secretary of the Council.
- 2.2.4 Voting shall normally be by a show of hands. However, the Chairman shall, if a majority of Council members present decide such on a show of hands, direct that a secret ballot occur. All Council of Management members shall be bound by majority decisions. All Council of Management members are under an obligation to respect personal and commercial confidentiality of matters discussed at meetings.
- 2.2.5 A Council of Management meeting shall be held at least every six weeks with additional meetings being called as required. Meetings are not normally held in December.
- 2.2.6 The Council of Management shall appoint sub-committees and functional groups as it deems appropriate and shall set their terms of reference.

- 2.2.7 Any SRT member may submit a resolution or agenda item for inclusion at a meeting of the Council Management providing notice is given in writing to the Secretary of the Council not later than ten days before the meeting of the Council at which the item is intended to be considered.
- 2.2.8 A Council of Management member who has a pecuniary interest in any matter shall forthwith disclose that interest but may remain, speak and vote at the discretion of the meeting.
- 2.2.9 The SRT objectives include restoration and refurbishment of heritage rolling stock consistent with aims 2.1.2, 2.1.3 and 2.1.4 above.
- 2.2.10 A paid employee of the SRT or SRCL shall not be eligible for election, appointment or co-option to the SRT Council or SRCL Board.
- 2.2.11 These policies are subject to addition, change, deletion or suspension by: a majority decision by the Council of Management at any of its meetings or a majority decision by the membership at any AGM or EGM.
- 2.2.12 These policies shall, as a matter of course, be reviewed annually at the first Council meeting following all SRT AGMs.
- 2.2.13 All printed matter intended for issue to the Trust membership or the general public shall be printed approved by the Council of Management or, at least one of its officers, prior to being printed.
- 2.2.14 Any committee or group operating in the name of the Swanage Railway Trust must be approved by the Council of Management and shall comply with terms of reference approved by the Council of Management. Compliance with financial procedures set by the Treasurer must also take place.
- 2.2.15 The following unpaid positions will be appointed by the CoM as required: Membership Secretary, Returning Officer (see Appendix II), Volunteer Liaison Officer, Editor of SRM, Official Photographer\Press Officer, Youth Protection Officers and Sygnet Leaders. The latter two positions will also maintain a reporting line to the General Manager\SRC Board.
- 2.2.16 All sanctioned capital budgets will expire at the end of each calendar year and be reviewed by the CoM.
- 2.2.17 All Council of Management meetings will be recorded and approved minutes published.
- 2.2.18 The Council of Management will set annual objectives for the Council and routinely monitor progress.
- 2.2.19 The Council of Management and the Board of SRCL will meet jointly at least twice a year.

2.3 Policies relating to the Swanage Railway Company and operational matters

2.3.1 Charity legislation prohibits the SRT from trading outside the precise terms of its Declaration of Trust\Memorandum of Association. Since 1988 all the issued voting shares in the Swanage Railway Company Ltd. (SRCL) have been held by the Trust. Therefore the SRCL is a subsidiary of the SRT with the SRCL:

- holding the Light Railway Order and operating the Swanage Railway
- undertaking a wider range of trading activities to generate additional income for the SRT

The use of a trading subsidiary also protects those SRT assets used by the SRCL.

No formal agreement exists between the SRT and SRCL with regard to the disposal of profits from SRCL activities. It is recognised that the SRCL is a separate legal entity from the SRT with its directors subject to the terms of the Companies Act and therefore the SRT Council of Management do not wish to issue strict directives on how profits should be distributed. Notwithstanding this, it should be remembered that the SRT is responsible for the development of the Railway and to this end has provided volunteer members of staff and made significant capital expenditure. The Council of Management therefore requires that, when viable, the SRCL should covenant an agreed percentage of its profits to the SRT.

The relationship with Swanage Railway Company Ltd will be based on the following principles.

2.3.2 The SRT has a controlling interest in the SRCL via its shareholding but the two bodies must at all times remain clearly distinguishable from each other in areas such as financial structure, public identity and governance.

2.3.3 The SRT Council of Management must not involve itself in the day to day management and decision making of the SRCL (thus avoiding becoming 'Shadow Directors'), but the SRT Council of Management are required by charity legislation to routinely satisfy itself of:

- the continuing financial viability of the SRCL
- its effectiveness in making profits for the benefit of the SRT
- its adherence to Trust policies

2.3.4 In accordance with Charity Commission guidance, the review of SRCL financial performance should cover the SRCL:

- business plan
- cash flow forecasts
- profit projections
- risk analysis
- and other available information

The SRT Council of Management also monitors the SRCL through the attendance of non-participating observers at SRCL Board meetings. In addition, to support this activity, the SRT will issue annually, approved performance objectives, to the SRCL which will, during the relevant year, be subject to quarterly review.

2.3.5 SRT Council of Management meetings formally record the review of the SRCL through the following business items:

- reviewing the SRCL Finance Directors report.
- receiving copies of written reports from the SRCL General Manager.
- receiving a verbal report of the business conducted at the most recent SRCL Board meeting.
- asking those Trust Directors on the SRCL Board about any matters arising from the verbal report.
- providing an opinion to the SRCL Board on any policy questions which the SRCL Board has referred to the SRT.
- Having sight of approved SRCL Board minutes.

2.3.6 The Charity Commission require the SRT directors to exercise the rights of the SRT as shareholders in the SRCL to promote the SRT's interests. The directors of the SRCL are responsible for its management, but other major decisions are for the SRT directors, as representatives of the SRT. For example, the SRT directors are responsible for:

- the appointment or removal of the directors of the SRCL
- the directors' terms of service, including any remuneration
- the continuation, or dissolution, of the SRCL
- setting and monitoring performance objectives for SRCL.

2.3.7 The SRT policy regarding appointment of directors of the SRCL is:

- The Chairman for the time being of the Swanage Railway Trust shall be appointed as a Director of the Swanage Railway Company but not necessarily as its Chairman, who shall be appointed by the Company Directors in accordance with its Mem and Arts.

- the SRT will nominate sufficient other directors from its own Board so as to retain a majority (including making reasonable provision for any absence) of the voting members on the SRCL Board
- to require the SRCL to appoint a minority of other directors with relevant skills and expertise to provide an un-conflicted opinion. Such directors must be or become members of SRT.
- to require the SRCL to seek the prior approval of the SRT Council of Management for the co-option of any additional directors

2.3.8 The SRCL Directors must ensure that they and the SRCL operate at all times in accordance with Charity and Companies Act legislation whilst:

- managing the SRCL in the interests of and in conformity with the policies of the SRT
- returning a profit from the SRCL to the SRT
- providing sufficient information to enable the SRT Council of Management to review the performance of the SRCL.

2.3.9 The full SRT Council of Management remain responsible for the performance and monitoring of the SRCL. The Charity Commission stipulate that the appointment of a subset of SRT Directors to the SRCL Board does not relieve the other SRT Directors of this responsibility.

2.3.10 SRCL Directors who are not Directors of the SRT have a reciprocal invitation to attend SRT Council of Management meetings as non-participating observers.

2.3.11 In addition the following general directives will be adhered to by the SRCL:

- 2 Priority should be given to the hire of ex LSWR, Southern Railway and BR Southern Region locomotives.
- 3 Steam shall be the primary traction on the Swanage Railway.
- 4 Alterations to normal fares and time-tables must always be notified in writing to the public on station platforms.

2.3.12 If the SRCL launches a share issue (e.g. as a public limited company) the SRT (or its successor) shall maintain a controlling interest in the Company.

2.3.13 All locomotives, coaches and wagons that are located on the Swanage Railway shall be subject to a running agreement with the SRCL.

2.3.14 Rolling stock livery policy:

- In recognition of its unique character, the general ambience of the Swanage Railway shall be to portray the branch as near as possible to that of the 1950s and early 1960s, i.e. prior to the corporate blue/blue & grey design regime applied post 1965. The purpose is to present a unified cohesive and authentic appearance to the public and, by conveying a convincing period recreation, add to the educational and heritage value of the visitor experience.
- The line's buildings, structures and equipment shall as far as possible exhibit the liveries and decorative styles of the 1950s/early 1960s period.
- All passenger coaches in general service except Pullman cars shall be painted British Railways Southern Region style green, with lettering in appropriate style, size and position on the vehicle. Pullman Cars shall be painted, and carry insignia, in the style consistent with the 1950s/early 60s period.

- In the case of the non-passenger vehicles, vans and wagons shall exhibit the liveries carried by them in the 1950s/early 60s period, but vehicles dating prior to 1948 may, by exception, exhibit authentic liveries carried earlier in their history (e.g. LSWR).
 - Locomotives and rolling stock dating from a later period (i.e. post 1965), which have an operational or historic association with the line and which are ‘resident’ on the Railway, should exhibit the livery most closely associated with their period of operation on the branch, e.g. blue liveried push-pull fitted Class 33 diesels and blue or blue & grey TC sets. However, diesel locomotives dating from the 1950s should carry the livery appropriate to them prior to the 1965 livery changes or such other liveries required to comply with relevant Network Rail regulations for rolling stock passed for operation on Network Rail controlled infrastructure.
 - Locomotives and rolling stock visiting for events such as galas or charters are exempt from the requirements of this policy.
 - Any proposed exceptions to this policy as to ‘resident’ locomotives and rolling stock shall be referred to the Assets Group for recommendation to the CoM, which shall take note of any special circumstances which may lead to an exemption being granted.
- 2.3.15 Shareholders of locomotives shall have access to the footplate whenever practicable, subject to the rules of the Swanage Railway Company Ltd. and provided that Railway Inspectorate/Health and Safety legislation is not compromised.
- 2.3.16 Additional rolling stock may only be delivered to the Railway in accordance with the rolling stock approval policy as detailed in Appendix IX.

2.4 Environmental policies (see also Appendix IV)

- 2.4.1 During re-construction of the railway line all necessary works will be carried out in such a way as to cause the minimum damage to local wildlife, flora and fauna. Consistent with the operational requirements of the Railway, wildlife will be encouraged.
- 2.4.2 As far as is practicable, all civil engineering structures shall reflect Southern Region practice of the 1950s as applied to routes of LSWR origin owned by the Southern Railway.
- 2.4.3 Swanage and Corfe Castle stations shall be maintained in the same architectural design and décor as existed in the 1950s.

2.5 Membership policies

- 2.5.1 Members of the SRT shall be permitted access to all the Railway’s installations and be able to volunteer for work on the Railway provided that they comply with SRT and SRCL rules and that Railway Inspectorate and Health and Safety legislation is in no way compromised. Additionally, preference will be given to volunteers in the rostering of all operational duties.
- 2.5.2 Alterations to Members’ privileges must be agreed by the Council of Management in advance and advertised. There shall be no retrospective alteration of rights for Members.
- 2.5.3 No Member who has joined within three months of an Annual or Extraordinary General Meeting shall be entitled to vote at that AGM or EGM. No member with less than three months membership of the SRT at the time when nominations are due may stand for election to the Council of Management.
- 2.5.4 All staff on the Railway (paid or volunteer) should be members of The Swanage Railway Trust.
- 2.5.5 Unless unavoidable, master membership department records shall be located on Railway premises with backups being held at an off-site location.
- 2.5.6 No Member shall be co-opted as an officer of the Council of Management or appointed as a SRCL director unless they have a proven record of at least six months voluntary service to the Railway.

- 2.5.7 No membership record or records shall be disclosed or released to any person (SRT Member or otherwise) without the express written permission of the Council of Management.
- 2.5.8 Any paid position shall be advertised to at least the membership of the Swanage Railway Trust prior to any appointment being made.
- 2.5.9 If the number of nominations received for a Council of Management election is below or equal to the number of vacancies arising then all nominees shall be declared duly elected to the Council of Management provided that a) they have been correctly nominated and seconded by two Trust members entitled to vote at a General Meeting and b) that they are legally eligible to be a trustee and company director - exceptions being listed in Article 55 or the Trust's Articles of Association.
- 2.5.10 Further to Article 40 of the Trust's Articles Of Association, Trust Members who are interested in being elected to the Council of Management will be invited, via a notice in the Spring edition of 'Swanage Railway Magazine', to apply for a nomination pack from the Trust Secretary. This will contain a summary of the structure of the Swanage Railway, details of the legal responsibilities of a charity trustee and company director and a nomination form.
- 2.5.11 The principal form of written communication with Swanage Railway Trust Members will be 'Swanage Railway Magazine'. The Magazine will be published at least three times a year at dates to be agreed by the Council of Management and forwarded to all paid up Trust members. The Editor of 'Swanage Railway Magazine' will be appointed by the Council and will be granted editorial independence in respect of the content of the Magazine, in accordance with the overall policies of the Trust. Interim mailings will also be supplied – where possible electronically.
- 2.5.12 The Swanage Railway Trust's official internet website shall be located at **www.swanagerailwaytrust.org.uk**. An additional official website shall be hosted at **www.swanagerailway.co.uk** which will be used primarily for disseminating details of Swanage Railway Company commercial and operational activities. All other websites dealing with Swanage Railway business shall be regarded as unofficial and without sanction from either the SRT Council of Management or SRC Board of Directors.
- 2.5.13 A nomination pack will be sent by the Secretary to Trust Members that express an interest in selection election to the CoM. The pack will contain copies of the following documents: a summary of the roles and responsibilities of The Swanage Railway Trust and Swanage Railway Company, the Memorandum and Articles of Association of The Swanage Railway Trust, the Trust's up-to-date policies document, the Strategic Plan, the duties and responsibilities of a company director, the duties and responsibilities of a charity trustee, CoM procedures and a nomination form. All nominees will be asked to supply a passport sized photograph of them and agree to its publication on the SRT website. Successful candidates will be provided with appropriate induction training.
- 2.5.14 Candidates for election to the Council of Management will be asked to provide a written election address not exceeding 150 words. The Returning Officer is empowered to require that this limit is maintained in conjunction with the Candidate. The SRT will provide during the AGM time to brief Candidates on the outcome of the election before making a public announcement of the outcome.
- 2.5.15 All Trust Members will be bound by the disciplinary and grievance procedures as issued by the Swanage Railway Company.
- 2.5.16 All Trust Members will be bound by the health and safety policies and procedures as issued by the Swanage Railway Company. This will include a requirement to undertake a risk assessment prior to the start of SRT lead events.
- 2.5.17 The SRT has a volunteer Sygnets group comprising young persons aged between 11 and 16 years of age overseen by approved leaders in accordance with the SRC Youth Protection Policy and reporting to the SRC General Manager. To support this the SRT has endorsed the SRC appointment of Youth Protection Officers of both sexes together with other specifically nominated members of staff to operate in areas involving these and other young persons involved in Railway business. These persons all being appropriately selected, including necessary vetting as laid down by primary legislation and/or HRA guidance.
- 2.5.18 SRC employees (fitting the criteria laid down by GM/Co Sec) and qualifying Sygnets group members (as endorsed by group leader) will receive complimentary annual membership to the SRT for the

duration of their employment or membership of said group, unless they already subscribe to Trust membership in their own right. The Membership Department will take responsibility for maintaining up to date records and distribution of relevant materials using, where possible, the Railway's internal postal system.

- 2.5.19 Unless otherwise formally agreed in writing beforehand with the relevant authority of the Swanage Railway Trust or Company, ownership of any work carried out on behalf of the Swanage Railway by a Trust member or any person doing work on behalf of the Trust shall remain vested in the Trust or Company in perpetuity. This policy shall extend to the copyright and intellectual property rights of written material.
- 2.5.20 All Trust members who contribute a minimum of 25 years voluntary service on the Swanage Railway will be entitled to be awarded with a Long Service Certificate. This will normally be presented by the Trust Chairman at the following SRT AGM.

2.6 Finance policies

- 2.6.1 The auditors of the SRT and its subsidiary company (i.e. the SRCL) accounts shall be the same.
- 2.6.2 An exhibition coach or suitable alternative shall be permanently placed at a suitable location on the Railway for the public to visit and the opportunity taken to collect donations from the public.
- 2.6.3 All SRT projects will be funded with equity and/or interest free borrowings. Borrowing on commercial terms is allowed where it can be demonstrated that other sources of funds have been exhausted.
- 2.6.4 On train fundraising initiatives are only permitted during special events and are not allowed on routine passenger services.
- 2.6.5 All projects must receive prior approval from the SRCL Board and/or SRT CoM in accordance with the guidelines contained in Appendix X.

2.7 Museum and Archive policies (see also Appendix III)

- 2.7.1 As soon as possible a permanent museum shall be provided and maintained at Swanage and Corfe Castle stations.
- 2.7.2 Whenever books, magazines, paraphernalia, etc are donated to the Trust they shall always be passed to volunteers nominated by the Council of Management at Corfe Castle station. The Group will be responsible for fully reviewing all donations in order that any items which may be regarded as being of particular historical or instructional interest may be added to the Museum or Library collection. Any items which do not fit this criteria at the Curator's discretion shall be sold with the proceeds being credited to the SRT general fund.

2.8 External policies

- 2.8.1 The SRT will work closely and actively with other interested organisations in re-establishing regular passenger train services between Swanage and Wareham, mindful of the need to protect the SRCL's core business.
- 2.8.2 All talks and presentations to external organisations and the public shall be arranged by or through the nominated Council of Management member.

APPENDIX I - Policies Relating To The Preservation And Development Of Corfe Castle Station.

Statement of objective:

To re-create as a far as possible the atmosphere of Corfe Castle railway station as a Victorian branch line station as it existed in the 1950's.

Policies as approved by the SRT Council of Management on 28th September 1996:

1. All station buildings shall be restored and maintained to the same architectural design and decor as existed in the 1950s.
2. The Goods Shed shall be used as a public museum in accordance with the Trust's stated objectives.
3. The GUV vehicle shall be stabled on the siding adjacent to the goods shed in order to form an annex to the museum and house items deemed too delicate for exhibition within the Goods Shed.
4. The cattle dock shall be fully reinstated and form part of the museum.
5. Car parking will be strictly controlled in the area of the museum and cattle dock.
6. Only operational rolling stock shall be stabled in the sidings and platforms.
7. The concrete platform lamp posts and station name-board holders shall be retained.
8. Subject to the relocation of the coal merchant, former sidings within the area of land currently leased by the Swanage Railway Company shall be reinstated.
9. Negotiations shall be held with the local Councils to discuss the preservation of the wooden coal merchant buildings (formerly a corn store).
10. No works shall be carried out on the site which might compromise the 'Listed Building' status of the station buildings, or the 'Conservation Area' of the whole of the station and yard. To this end, all works proposed for the site must first be formally approved by the Council of Management or its nominee, before work is commenced.

Version III

1st November 2008

APPENDIX II - Duties and Responsibilities of the Swanage Railway Trust Returning Officer

1. The Returning Officer will be a member of The Swanage Railway Trust and shall be appointed by the Swanage Railway Trust Council of Management (CoM) annually at the first Council meeting after the AGM. His/her prime responsibility will be to conduct an annual secret postal ballot of all eligible Swanage Railway Trust members, in order that the members may vote for vacancies on the CoM, prompted by the required retirement of existing CoM members at the end of their two-year term.
2. To assist the Returning Officer in the discharge of his/her duties, the services of the Secretary and the Membership Secretary of the Trust will be made available.
3. The Trust Secretary will be responsible for:
 - Issuing due notice of the date of the Annual General Meeting (AGM) to all Trust members, inviting nominations for election to the CoM, and publishing the requirements and time deadlines for nominations.
 - Issuing blank nomination forms on request within the nomination period – to include the provisions for the identity of proposers and seconders.
4. The Membership Secretary will be responsible for liaising with the Trust's printers and distributors to ensure the following:
 - Provision of a full and up-to-date list of all eligible Trust members and their postal addresses.
 - That all material for the secure printing of ballot papers, election addresses and AGM papers are received by the printers in time to ensure that the printing and despatch of these items takes place within the deadline laid down in the Trust's Articles of Association.
5. The Returning Officer will be solely responsible for receiving completed nomination forms, election addresses and portrait photographs within the stated nomination period. He will check that that they have been properly completed and that all the necessary formalities have been completed within the laid down timeframe. Photographs may be submitted in electronic or hard copy format and must be included with the election addresses. The Returning Officer will then provide the Membership Secretary with the list of all candidates, proposers and seconders in order to allow for verification that they are paid up members of the Trust.
6. Once the nominations have been verified the Returning Officer will forward the list of candidates, elections addresses and accompanying photos to the Trust Secretary who will arrange printing with the Membership Secretary.
7. All ballot forms will be embossed with the Trust's seal, electronic watermark or similar by the authorised printers. Each eligible Trust member may vote for as many candidates as he or she wishes, as long as the total number of votes cast does not exceed the number of vacancies.
8. The Membership Secretary will provide the Returning Officer with a list of Trust members and confirmation of the number of ballots being despatched to each address.
9. The Returning Officer shall be the sole key-holder of the ballot box used for the ballot. The ballot box will be securely sited in the Trust's registered office – Station House, Swanage.
10. Any enquiries from Trust members relating to non-receipt of ballot forms shall be dealt with by the Returning Officer who will liaise with the Membership Department as required.

11. Two members of the Trust (not being existing CoM members, employees of the Swanage Railway Trust or Company, candidates for election, or proposers or seconders of those candidates), will be appointed by the Returning Officer as independent Election Observers.
12. Returned ballot papers will be counted and validated by the Returning Officer and checked by the two Election Observers at the opening, scrutiny and counting of the ballot papers, which will be conducted following the closure of the ballot 48 hours prior to the Annual General Meeting at a venue determined by the Returning Officer.
13. The announcement of the identity of the two Election Observers will be made at the Annual General Meeting by the Returning Officer, prior to the declaration of the results. The Chairman will seek verbal confirmation from both Election Observers that the electoral procedures have been properly followed, and that they are content as to the accuracy of the results. As soon as the necessary confirmations have been given, the results will be declared to the AGM by the Returning Officer. In the event of an Election Observer being unable to attend the AGM they shall submit a signed letter in the same terms to be opened by the Chairman immediately prior to the declaration of the result.
14. In the interests of democracy and secrecy, no discussions will be entered into by the Returning Officer or the two Election Observers as between them and the membership generally, or as between them and the CoM.
15. The Returning Officer will notify all candidates of the results of a CoM election after the Annual General Meeting - normally via e-mail.
16. The Returning Officer will ensure the destruction of all completed voting papers six months after the election has been formally concluded.
17. The Returning Officer shall be responsible for arranging collecting of any unused ballot forms from the Trust's printers.
18. The Returning Officer will normally liaise with the Trust Secretary regarding any disputes, requests for help or other concerns relating to the election process. Where the Trust Secretary is an election candidate then the Returning Officer will liaise with another specified member of the Council of Management who is not seeking election.

Version 6

June 2011

APPENDIX III - SRT Curator and Archivist Terms Of Reference

1. The position of SRT Curator/Archivist will be a volunteer one. He or she will be appointed by the SRT Council of Management and will report directly to the Council.
2. All exhibits displayed in the Museum and items held in the Trust's Library will be relevant to Clause A of the SRT's Memorandum of Association 18th February 2001.
3. The Library shall be known as the 'Montague-Jones Library'.
4. The Museum shall be known as the 'Purbeck Railway Museum'.
5. The Curator/Archivist will be responsible for maintaining an inventory of all items in the care of the Museum or Library.
6. The Curator/Archivist will be responsible for cataloguing all items held by the Museum or Library. The catalogue will include a description of the item, its ownership, origin, function and background. This should be cross referenced to the inventory.
7. The Curator/Archivist will be responsible for ensuring that any loans or donations to or from the Museum or Library are subject to a written agreement. This will include the owner or donor's signature, length and terms of loan (if relevant) and any other conditions under which the item(s) may be loaned and/or exhibited, including details of any anticipated restoration, repair and maintenance. In the case of a donor, information must include an acknowledgement of the right of the SRT to dispose of the item in a way the Trust's Council of Management sees fit.
8. The Museum will be open to the general public at times agreed by the SRT Council of Management.
9. The Library will be kept locked when unoccupied.
10. The Library shall be made available to all Members of the SRT. Members should whenever possible give prior notice to the Curator of their wish to use the facility. Members using the Library must sign their names in the provided register.
11. It will be the Curator/Archivist's responsibility to exhibit items as he/she sees fit. In the event of any dispute the Council of Management shall arbitrate and their decision shall be binding and final.

Version 1

26th October 1996

APPENDIX IV - Swanage Railway Environmental Policy

The Swanage Railway Company seeks to minimise any adverse impact on the environment of Purbeck and to be on good terms with its neighbours. The Company is mindful that steam locomotives, which are a fundamental feature of the Company's operation, have a noticeable impact on the environment to an extent that is occasionally unavoidable. The Company therefore strives to ensure that any such impacts are kept to an absolute minimum by adherence to the aims laid down in this statement. Being subject to extensive statutory environmental regulation, the Company intends at some future date to develop both Environmental and Health & Safety Management Systems to confirm its intent across all related matters of concern, effecting the wider community of Purbeck, railway staff, supporters and passengers alike.

The Swanage Railway Company shall:-

1. Endeavour to minimise smoke emissions through the use of improved solid and liquid fossil fuels, consistent with efficient and safe locomotive use, whilst taking advantage of improvements in combustion technology that will result in a net reduction in their overall environmental impact. Such improvements shall be within the resources available to and not prejudicial to the operational viability and general interests of the Railway.
2. Minimise smoke and spark emissions to BS2742M through the application of its Rules and Regulations and the Clean Air Act 1993, consistent with effective management, monitoring and training of loco crews, alongside the fitting and proper use of appropriate spark arrest equipment.
3. Endeavour to minimise smoke and noise emissions by the avoidance of initial locomotive lighting up and starting east of a point beneath Northbrook Road Bridge, Swanage.
4. Ensure that the use of steam locomotive whistles and horns are kept to an absolute minimum, in recognisance of Health & Safety legislation and the requirements of the Railway Inspectorate.
5. Take reasonable steps to prevent the escape of heat, noise and dust, to an extent that is practicable and with due regard to local planning and environmental legislation, in relation to those designated artefacts, areas or buildings of architectural heritage that are the responsibility of the Railway.
6. Endeavour to adopt and maintain a policy of "reduce, reuse & recycle" throughout its operation. Dispose of any waste materials or assets in a responsible manner with due regard to the "Duty of Care" for disposal of wastes in those areas of activity not covered by exemption or membership of a registered charity.
7. Develop and protect suitable lineside habitats and environments, including the native flora & fauna found therein, complimentary to lineside management required for the safe and effective operation of the railway and the prevention of fires.
8. Enhance the visual impact of the railway through high standards of maintenance and repair of the infrastructure, through sympathetic design and repair of existing or new structures built to protect and store items of rolling stock or motive power.
9. Take whatever action may be reasonably required to minimise all pollution and environmental impacts, consistent with the resources available to it and without prejudice to the right to operate and conduct its business in accordance with the published mission statement.

10. Seek to maintain a constructive relationship and dialogue with all Local Authorities, agencies, groups, or individuals with a common interest in the environment, in order that the Railway may honour its desire to develop and maintain an effective environmental policy.
11. This policy issued from the Board of the Swanage Railway is one of continuous improvement and will be subject to periodic review as and when found necessary by the Board and its duly elected members.

Swanage Railway Company Ltd.

Version 2.0

October 2004.

APPENDIX V - Agreement Between Swanage Railway Trust And Swanage Railway Company Ltd.

Agreement

This agreement is made between The Southern Steam Trust and/or the Swanage Railway Trust Limited (either/or 'the Trust') and the Swanage Railway Company Ltd (the Company) to document financial arrangements relating to trading and use of assets and facilities. The protocol shall be subject to amendment from time to time as circumstances require.

Background

1. The Company and the Trust are separate legal entities and are maintained as such to meet the requirements of Charity legislation that limits the ability of the Trust to trade. Except where charity legislation specifically permits, all trading activity shall be undertaken by the Company.
2. Any profit made by the Company is either reinvested in the Company, retained as reserves or paid through covenant to the Trust. For the avoidance of any doubt, the Company does not propose to distribute a dividend.
3. The Company shall use the assets of the Trust in return for an annual consideration equivalent to the previous financial year's depreciation charge incurred by the Trust on their assets. The Trust shall be charged by the Company for all costs incurred with significant repairs and renewals of these assets. The apportionment of costs shall be agreed between the Trust and the Company in advance of being incurred.
4. The Company shall have the right to make use of the Trust's Herston Works facility and other leased or owned property and to permit use by third parties as required by its business needs provided that such use does not convey any right of occupation or otherwise contradict any provision of the Trust's leases which shall prevail in the event of any such contradiction.
5. In consideration for its use of Herston Works and the payment by the Trust of utility costs, rent and rates, the Company shall pay the Trust the sum of £2,000 (two thousand pounds) per month plus VAT (if applicable) or such other sum as the parties shall agree in writing and shall undertake day to day management of the facility on behalf of the Trust. Payments for use of other leased or owned property shall be agreed as and when required.
6. The Company and the Trust shall invoice for goods and services as incurred on an 'arms length basis'. Payment shall be made within 30 days following the issue of a proper invoice.
7. The Company and the Trust shall minimise external borrowing costs by lending to the other from time to time as required and as balances shall permit. Interest shall be charged at a commercial rate between base and the external rate as agreed between the Finance Director of the Company and the Treasurer of the Trust. Borrowings shall be repaid on demand. But the rate of interest will never be less than 1% above the Barclays Bank plc Base rate from time to time prevailing.

8. The Trust may use the services of the Accounts Department staff of the Railway Company Ltd to assist in the maintenance of proper books of account. The Trust may be asked to contribute to the direct costs of such assistance. The Trust will adopt such financial procedures as may be recommended by the Board of Directors of the Company and accepted by the Council of Management of the Trust, this is in order to assist in compliance with companies law.

Trading Agreement Version 4

1st November 2008

(Note: original signed copy dated August 2001 held in Accounts Office, Swanage station).

APPENDIX VI - Purbeck Mineral & Mining Museum Group (PMMMG) Terms Of Reference

Objectives:

The PMMMG is a sub group of the Swanage Railway Trust. The group's remit is to create a museum associated with Ball clay mining in Dorset and other significant resources extracted in Purbeck, which were intimately connected with the growth and history of the Swanage Railway. These revised Terms of Reference were accepted and adopted by the Swanage Railway Council of Management on the 25th November 2006.

The main aims of the group are as follows:

- To enhance the visitor experience when visiting the Swanage Railway
- The creation of a permanent clay-mining museum and visitor centre.
- The relocation of an existing mine building to the Norden Park & Ride site
- The building of a narrow gauge demonstration track
- To permanently secure the future of *Secundus* in Dorset
- To repatriate relevant artefacts back to Dorset
- To manage and develop the land at Norden North and South
- To restore and enable the skew arch bridge to be used for a narrow gauge railway

These aims will be achieved through the following activities

Activities:

- Production of a scoping document to detail: aims and objectives, site survey, project feasibility, potential exhibits and artefacts, planning requirements, funding opportunities, group organisation and accountability.
- Ongoing liaison and consultation with statutory authorities and local organisations.
- Secure and relocate Imerys Norden No 7 Mine building to land behind Norden Station – this building will double up as a museum below.
- The creation of a heritage/nature trail around the Norden site.
- Production of educational information boards for visitors.
- Construction of a narrow gauge demonstration line from “The old engine Shed” to behind Norden Station, with a future extension across “Skew Arch” bridge.
- Manage and develop the ex clay works land at Norden North and South for the use of the PMMMG (purchased by PMMMG member donations)
- Record and catalogue all known artefacts from the clay railways of Purbeck.
- Generation of income – Initially through visitor donations, personal pledges (enhanced by gift-aid) – towards the management and upkeep of the Norden facility
- Capital funding via partnership financing, educational, EU and heritage grant applications.

The group will organise itself and be accountable in the following ways

Organisation and Accountability:

- The group will work under the auspices and legal framework of the Swanage Railway Trust, a registered charity

- The P MMMG will keep the SRT Council of Management informed and briefed on a regular basis.
- The group committee will be appointed from fully paid up supporters of the P MMMG. The Group Committee will appoint its own officers.
- The group committee is accountable, through its chairman, to the Council of Management of Swanage Railway Trust for the quality of its activities.
- The group committee will agree an overall program of activities, coordinate and liaise with statutory and local bodies and implement actions.
- If a sub committee is formed it will be chaired by a member of the main committee and will report to the group committee.
- All income will be banked into a nominated group account, all expenditure will be channelled through the Finance department of Swanage Railway Trust subject to agreement by its Treasurer.
- Anyone working for, or on behalf of the P MMMG must fully comply with Swanage Railway Company Health and Safety policy.
- All working volunteers must sign on and off in the registers provided.
- The P MMMG will operate an annual voluntary donation scheme, this will entitle all group supporters to receive regular newsletters and updates.

Meetings:

- The group committee will hold meetings when required.
- Minutes will be taken at every group committee meeting and forwarded to each committee member by email or post.
- A quorum exists when more than 50% of the committee are present.
- Regular on-site meetings will be held at the Norden Museum site, which any paid-up supporter of P MMMG may attend.

Version III

1st November 2008

Original version adopted by SRT Council of Management, November 2006

APPENDIX VII - Staff Code of Conduct

Purpose

The purpose of this code is to provide a clear framework within which **ALL** Swanage Railway members of staff – at all levels of seniority and whether they are a paid employee or a volunteer - are expected to conduct themselves.

The Railway strives to maintain a work environment for its staff in which honesty, integrity and respect for fellow staff and all persons present on the Railway are constantly reflected in personal behaviour and standards of conduct.

Principles

- This code covers some of the most important issues relating to personal conduct, and gives a framework of standards and behaviour guidelines, but it is not intended to be exhaustive.
- All staff, whether paid or voluntary, are expected to have regard for the impact of their personal behaviour on their, colleagues, customers, the environment, the community and the reputation of the Railway.
- This code applies to all levels and areas of the Railway's activities, both in respect of the Swanage Railway Trust and the Swanage Railway Company. It applies to all, and between all, levels of seniority and departmental grade.
- All staff, including managers and directors of the Railway, shall be treated equally by and have the same obligations to each other under this code.
- As an integral part of the Swanage Railway Trust's formal policy document this code will be reviewed at least annually but may be altered at any time by the Swanage Railway Trust Council of Management or the Board of Directors of the Swanage Railway Company provided such alterations are approved by both the Trust Council and Board.
- All Railway staff will be bound by the disciplinary and grievance procedures as issued by the Swanage Railway Company.

Standards of personal behaviour

Equality of opportunity

One of the Railway's core values is the promotion of inclusivity and the valuing of diversity. The Railway seeks to ensure that the work environment for all its staff is supportive, and one where individual respect is shown to all. All members of staff regardless of their gender, race, colour, ethnic background, culture, (dis)ability, sexual orientation, age, religion, nationality, socio-economic status or any other factor will be supported and encouraged to participate and perform to their potential.

Harassment, bullying and intimidation

To secure an environment in which members of staff are able to flourish and to achieve their full potential, the Railway is committed to ensuring that everyone is able to work and to participate in the life of the Railway without fear of harassment, bullying or intimidation. Everyone on the Railway has a part to play by ensuring that their own behaviour, whether intentional or unintentional, does not constitute such behaviour.

All staff are expected to treat their colleagues and visitors to the Railway with respect and not to engage in any behaviour that may lead to a potential complaint.

The Railway **will** take action against inappropriate behaviour which shows lack of respect for others or which leads to people feeling threatened. This policy will apply to verbal, written and electronic (including, for example, internet and social media) activity.

Health and safety

Due to the nature of its business and its operation, the Railway places a very high priority on providing a safe working and learning environment and will always act positively to minimise the incidence of all workplace risks as required by the Health and Safety at Work Etc. Act 1974 and other associated legislation.

All activities should be carried out with the highest regard for the health and safety of staff and all persons present on the Railway. Where relevant, the instructions and working policies and procedures documented in the Swanage Railway Company Safety Management System (SMS) must be followed at all times.

The aim of the Swanage Railway is excellence in health and safety by means of continuous monitoring and improvement of standards and the comprehensive use of risk assessments so as to systematically remove or to mitigate the causes of accidents/incidents and ill-health. This, together with more specific aims and objectives, reflects the Railway's commitment to promote staff well-being.

Relationships with other members of staff or other relevant persons

Members of staff who are relatives or who have a close personal relationship should not normally have a supervisory, assessing or authorising relationship with each other.

Members of staff must inform their line manager if they have a close personal relationship with another member of staff, an employee, a client, contractor or customer of the Railway which could be considered by colleagues or others as impacting on the way they conduct themselves at work.

Performance

The Railway expects individuals to follow all reasonable rules and instructions given by those supervising or managing their activities and/or work areas.

Misuse of drugs and alcohol

It is a disciplinary offence to be on Railway premises and/or carrying out official duties when under the influence of alcohol or non-medically prescribed drugs. Any person taking over the counter drugs or prescribed drugs/medicine which could affect their work activities should notify their line manager or the Personnel Director.

Gambling

Gambling activities must not be conducted on Railway premises. Discretion may be used in relation to small raffles for charitable purposes, national lottery syndicates, occasional sweepstakes etc.

Conduct outside work

The Railway does not seek to dictate how staff conduct themselves in their personal lives outside work. However, unlawful, anti-social or other conduct by staff which may jeopardise the Railway's reputation or position will be dealt with through the disciplinary procedure.

Dress code

The Railway does not operate a formal dress code for its staff, other than for those who are required to wear a uniform and/or protective clothing as part of their duties. All staff must ensure that their dress is appropriate for the

situation in which they are working and that they present a professional image and one that reflects sensitivity to public perceptions. This may reflect their ethnicity and lifestyle, but should not be provocative or cause offence to those with whom they have contact.

Party political activity

The Railway is strictly impartial and does not make party political contributions or formally support any political party. Whilst we respect the rights of our staff to have their own personal political views and be members of political parties, no activities of a party political nature will be permitted on Railway premises and the use of Railway resources (e.g. telephones or computers) for such ends is strictly prohibited.

Financial probity

Intellectual property

Unless otherwise formally agreed in writing beforehand with the relevant authority of the Swanage Railway Trust or Company, ownership of any work carried out on behalf of the Swanage Railway by a member of staff or any person doing work on behalf of the Railway shall remain vested in the Trust or Company in perpetuity. This policy shall extend to the copyright and intellectual property rights of written material.

Financial regulations

The Railway's financial regulations create a framework of financial controls within which the staff of the Railway must operate. These regulations are designed to protect the Railway and individual members of staff. Failure to comply with these regulations may lead to the loss of assets, significant delays in payments to employees and suppliers, and additional work for colleagues.

Conflicts of interest

Staff must not accept gifts or hospitality that could give rise to a suspicion that they have a conflict of interest or have been influenced in a decision. Breaches of the regulations are likely to result in disciplinary action. If anyone has any doubt about whether to accept a gift they should seek guidance from a director.

The highest standards of behaviour are expected in all areas of Railway life, especially where individuals are in positions to make decisions which may have significant impact on others. In all such cases it is important that decisions are taken in a fair and balanced way that can withstand external scrutiny. Conflicts of interest should be identified so that individuals are not involved in decisions where their actions could be seen as biased.

Access to confidential information

Although the Railway strives to conduct its business in an open fashion there will be times when individuals, through their positions as members of committees, line managers etc. become aware of confidential information, either about other individuals or in connection with the Railway's commercial activities. Individuals should be aware of the need to keep such matters confidential and to respect the proper channels of communication for such information.

Bribery Act 2010

Under the Bribery Act 2010, a bribe is described as a 'financial or other advantage' offered, promised or given to induce a person to perform a relevant function or activity improperly, or to reward them for doing so. The Act makes it a criminal offence to:

- offer, promise or give a bribe
- request, agree to receive or accept a bribe
- bribe a foreign public official to obtain or retain business or a business advantage

- (by an organisation) fail to prevent bribery by those acting on its behalf ('associated persons') to obtain or retain business or a business advantage for the organisation.

Small payments made to government officials or others to make something happen, or happen sooner, (commonly called facilitation payments) are likely to be bribes and unlawful under the Act.

Under the Bribery Act, individuals can be prosecuted for accepting bribes or offering bribes. In addition, the Railway can be prosecuted for failing to prevent bribery committed to obtain or retain business or a business advantage for the Railway by a member of staff or other individual or organisation performing services for the Railway.

Use of equipment for non-work purposes

All equipment on the Railway must be used in accordance with Health and Safety guidelines and appropriate line manager authorisation. Any use of equipment or facilities for non-Railway activity must be formally authorised by the appropriate line manager or Director. This must include whether any costs arising from this are to be met by the individuals concerned. Any such use must not interfere or conflict with the work of the Railway.

Private telephone calls

Members of staff may use Railway facilities to make private calls for essential or urgent matters.

Staff who have Railway provided mobile telephone may be required to reimburse the Railway for the use of these phones for private calls and texts etc.

Use of IT equipment, internet and social media

Users of the Railway's IT and the internet facilities must behave reasonably and appropriately towards other users and the facilities. Users who fail to do so may be subject to disciplinary action in accordance with relevant procedures.

In particular, staff must not use Railway facilities to create, display, produce, store, circulate or transmit obscene or pornographic material in any form or medium.

Staff may use Railway internet facilities for occasional personal matters.

Staff should observe care when posting materials to social networks and to other online media (including discussion forums etc.) to ensure that posted material does not damage the reputation of the railway or members of staff or cause offence to others. Staff should remember that there is no such thing as online privacy and that comments made may be copied or re-posted by others

Information security

The Railway recognises that information and the associated processes, systems and networks are valuable assets and that the management of personal data has important implications for individuals. Through its security policies, procedures and structures, the Railway will aim to facilitate the secure and uninterrupted flow of information, both within the Railway and in external communications.

Data protection

The Railway holds and processes information about Trust members, staff, volunteers, employees and other data subjects for administrative and commercial purposes. When handling such information, the Railway, and all staff or others who process or use any personal information, must comply with the Data Protection Principles which are set out in the Data Protection Act 1998. Any doubts or queries about data protection issues should be referred for guidance to the General Manager.

Procedures

Raising matters of concern

Railway staff have a right and a duty to raise concerns which they may have about breaches of the law or propriety by the Railway. This should normally be through their Line Manager or a Company Director but in circumstances where this is not appropriate they may approach the Chairman of the Swanage Railway Trust. No individual who expresses their views in good faith and in line with this guidance will be penalised for doing so.

Breaches of this code

This code of conduct has been drawn up to provide a source of guidance to the Railway's staff. It is not a contractual document and can be amended at any time in accordance with the principles above. All staff must comply with both the provisions of this code and the Railway's various policies and procedures, breaches of which will be taken seriously and may result in disciplinary action.

Version approved SRT and SRCL September 2012.

APPENDIX VIII – FUNCTIONAL GROUP TERMS OF REFERENCE

The CoM has established four functional groups to consider specific areas of importance and responsibility and report back to the CoM on a regular basis. The four groups are: *Fundraising, Members & Volunteers, Asset Management and Museums & Education*. Membership of these will consist primarily, but not exclusively, of CoM members. The groups will, in normal circumstances, be expected to meet at least three times each year. Non CoM members are encouraged to join and support these functional groups.

1. Fundraising

a) To develop and implement plans and proposals for the generation of income to the Trust through the exploitation of programmes and contacts with external commercial organisations.

b) To develop and implement plans and proposals for the generation of income to the Trust through direct contact with members and the general public and the sourcing of grant aid from non-commercial organisations.

2. Membership and volunteers

To develop and implement plans and proposals for the recruitment and retention of members and volunteers who wish to support the work of the Trust either financially or with labour.

3. Asset Management

To develop and implement plans and proposals for the management of the non-financial assets of the Swanage Railway Trust.

Primary Purpose – to manage the assets of the SRT especially:

- Items of rolling stock owned by or loaned to the SRT
- Museums
- Signalling equipment

Secondary Purpose – to advise the SRC:

- on items to be acquired
- on items to be loaned to the SRC
- by recommending items for possible disposal

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4. Museums & Education

To co-ordinate all activities relating to the Trust's museums, archives and educational activities as outlined in the SRT Memorandum of Association.

Version 4

Jan 2013

APPENDIX IX - Rolling Stock Approval Policy

1. The General Manager (GM) shall have the sole authority to permit an item of rolling stock or motive power to be brought on to the SR if required for operational purposes and to enter into an appropriate running agreement. In selecting vehicles for such purposes, the GM shall have due regard for the heritage objectives of the Trust.
2. The GM shall automatically give permission for any item of rolling stock owned by the Trust to be brought on to the SR. In acquiring vehicles, or accepting donation of them, the Trust shall have due regard for space limitations on the SR and the requirement for vehicles to be kept in good condition.
3. Third party owned vehicles that are proposed to be brought to the SR but which are not required for operational purposes shall be considered by the CoM Asset Management Functional Group after which a recommendation may be made to the GM for approval. The GM's approval will depend on availability of space, current condition, proposed maintenance arrangements, potential use (if any) plus any other considerations.
4. The Assets Committee will be expected to reject vehicles that do not have heritage credentials.
5. Prior to delivery the rolling stock concerned shall be inspected by a suitably qualified or experienced person.
6. Any conflicts to be resolved between the Chairman and the GM. The Chairman to have the last word.

Version 2

Approved on 25th November 2006

APPENDIX X - Project Procedures and Guidance Notes

The notes below are intended to assist Departmental Managers and aspirant Project Managers to complete the necessary documentation required by the Railway before developmental projects can be undertaken or significant backlog maintenance is contemplated.

To clarify:

A Project is any undertaking which adds to the infrastructure of the railway or will enhance the way in which the railway conducts its business.

Major Maintenance is considered to be the repair or refurbishment of existing infrastructure which is going to cost in excess of £5,000.

Maintenance initiatives costing less than £5000 should be discussed with the General Manager and are likely to be included in departmental revenue budget planning¹

The First Stage of the Process

Those wishing to initiate a Project or a major maintenance initiative must, in the first instance, complete a "Outline Application" form². Basic information will be required which include an outline of what is being proposed, what the benefits will be to the railway and also what the consequences of not undertaking what is being proposed are. Positive revenue consequences should be emphasised.

Information requested on the application forms is mandatory and applications will be rejected if they are not completed in full.

This form, when complete, must be submitted to the General Manager (EMT). If approved by the GM the application will, if appropriate, be submitted to the SRC Directors for their consideration.

If approval is forthcoming, the applicant will normally be then requested to complete the more detailed, Stage 2, application.

Stage 2 – Detailed Application³

There will be some duplication of the information required. However, generally speaking much more detailed information will be required.

A detailed description of the works proposed will be required in which the exact scope of the works will need to be identified.

Directors will need to be satisfied that proper consultation has taken place with relevant internal and external parties. Also any consequences for the railway whilst works are being undertaken will need to be identified and again there must be evidence that all necessary consultation has taken place or is taking place.

A detailed method statement will be required together with evidence that appropriate risk assessment form having been undertaken. Details of any enabling works required must be specified.

Financial detail must be complete and comprehensive.

It is Railway policy that if contractors to be used or materials to be purchased are going to cost more than £1000 then three alternative quotes must be obtained. It is though, recognised that in some instances there is only one supplier or one contractor willing to tender, in which a note of this must be made.

The likely costs of materials must be accurately assessed which results in final cost for the whole initiative. This figure may be critical and will be used to judge the soundness of the application.

It will be necessary to consult with Departmental heads and they must sign the form to confirm that they are aware of the proposal and have offered any relevant advice to the promoters of the works.

¹ Use form Application for Small Development Projects and Minor Maintenance Initiatives Aug 2011

² Projects and Major Maintenance Works Outline Application. Aug 2011

³ Projects and Major Maintenance Works Part 2. Aug 2011.

Completed Stage 2 applications should be submitted to the Executive Management Team (General Manager)

Financial Monitoring

It will be mandatory that Project Managers submit a monthly report to the Company Finance Director detailing progress, any delays and above all what expenditure has been incurred. It will be necessary to identify whether or not expenditure is in line with the figures quoted on the Stage 2 application form.

The Financial Monitoring sheet must be made up to the last day of each month and submitted to the Finance Department within seven days of the month end.

If the works are not in line with the Budget, either over or under, then an appointment must be sought with the Finance Director in order to discuss and to consider any revision to the original application and whether additional funding will be required

The General Manager/EMT and or the Finance Director will advise further if required

Andrew Moore
Finance Director/Treasurer
August 2011

APPENDIX XI - Terms of Reference - Finance Review Committee (FRC) Objectives : The Finance Review Committee (FRC) is charged with:

- Providing an independent oversight of the draft financial accounting results of the Swanage Railway Trust and the Swanage Railway Company Limited.
- Making an informed assessment of the profitability and 'going concern' status of the Company and Trust.
- Carrying out detailed examination of elements of the Railway's operation as felt appropriate. For example, the financial viability of train operating and special events.
- Evaluating the Trust's and Company's requirements for repairs/renewals and capital work projects. Consequently to make recommendations on the degree of required funding which could be drawn from Company trading revenue and which will need to be obtained from external sources, e.g. donations, grants or the purchase of shares.
- Considering the appropriateness and application of internal accounting policies.
- Audit expenditure of capital projects.

Membership : By appointment of the SRT Council of Management and SRC Board of Directors. FRC members will be drawn from suitably qualified or experienced volunteer members of the Swanage Railway Trust. Membership of the FRC will normally be limited to five people and a quorum at meetings will be three people. The FRC shall elect a Chairman from its number at its first meeting. Other Trust members who have expressed an interest in joining the FRC will be encouraged to assist with the work of the FRC. The Trust Treasurer and Company Finance Director shall not be a member of the FRC. The Committee shall invite members of the

Trust\Company management, and in exceptional circumstances the external auditors, to attend its meetings as it sees fit. The FRC normal reporting line shall be via its Chairman to the SRT and SRC Chairman.

Appointments to the FRC will be refreshed every year at the first meeting of the CoM or Board after the AGM. The FRC may co-opt anyone they feel may add value to the process either permanently or for specific purposes. If members resign during the year then, the Board or the CoM may replace them.

Methodology: the Treasurer/Finance Director will provide the FRC with budgets and monthly reports and computer spread-sheets showing the financial results of both bodies. The FRC shall meet in order to discuss: -

- Trends year to date – against agreed budgets
- Comparisons with previous years
- Special Events results
- Any financial advice received from the external auditors
- Financial Controls in place or being considered.
- The schedule of capital projects together with details of whether the project is SRT or SRC funded, its sanctioned budget, cost to date, anticipated remaining cost and any associated funding implications.

Special Requirements: the Finance Review Committee, by majority opinion, may feel that a financial review of a specific area of the organisation might be required - for example, if results are considered to be disappointing or if there has been a significant overspend in a particular area. Such an audit will be conducted by any member(s) of the FRC so appointed and a report back must be made at the next Meeting of the FRC. In extreme cases, it may be that the external auditors are involved.

Meetings: The FRC shall meet at least once every quarter and as and when required and/or convened by the FRC Chairman. Written notes of the meeting shall be recorded and circulated to members of the FRC and the Chairman of the Trust and Company. Between meetings FRC members will receive electronic copies of the monthly financial spread-sheets and are obliged to comment amongst themselves – via e-mail or telephone. The Treasurer/Finance Director is obliged to comment on the results of any meeting of the FRC in his/her next regular report to either Board. At such meetings the other members are free to make any relevant comment to their CoM\Board colleagues when that regular report is tabled.

Final

Version 2.0

17th March 2012 Mark Woolley

APPENDIX XII - Staff Benefits Policy

Purpose

The purpose of this policy is to outline the benefits that will be provided to staff employed on Swanage Railway. This policy is subject to change or withdrawal at any time and the benefits listed do not form part of any employee's contract of employment.

Scope

This policy applies to all staff working on SRCL but does not include the separate benefits that are provided by being a member of the Swanage Railway Trust (SRT)

Policy requirements

The following benefits will be routinely offered to staff whilst on duty:

- Free tea, coffee, hot chocolate and squash from the Birds Nest at Swanage or the Norden Nest at Norden.
- A 35% discount off all food products from the Birds Nest at Swanage or the Norden Nest at Norden.
- Free tea, coffee, hot chocolate and squash from the On-train buffet for train crew.
- In signal boxes, where there is no reasonable access to the above facilities, materials will be provided for staff to make their own drinks.
- A free meal for the driver, fireman, guard and signalmen operating a Wessex Belle evening dining train (supplies permitting). When operating a Travelling Tavern or private charter a free meal may be provided if there is enough remaining having provided for all paying passengers. Any staff other than those mentioned above may arrange separately for a meal at a reduced price by contacting the On-train Dining Manager in advance.
- Free travel to holders of a Working Members or Safety Critical Pass.

The following benefits will be available to staff whilst not on duty:

- Reciprocal travel arrangements on other railways as publicised from time to time.
- Eligibility for a HRA InterRail pass providing free or reduced travel on a wide range of other heritage railways subject to the HRA charge.
- Eligibility for an ATOC pass (for permanent, full time staff) subject to ATOC conditions.

In addition the following benefit will be available to Departmental Managers when organising an annual dinner:

- A £15 contribution per person to be deducted from the cost of any On-train Dining product to a maximum of 2 tickets per member of staff attending, once a year. This discount should be against the standard price for the service being provided.

Responsibilities

Managers and supervisors are responsible for ensuring that this policy is implemented in a fair way to all relevant staff.

The Directors are responsible for ensuring the benefits provided are recognised by making a payment from a central budget to the department providing the benefit.

April 2005

APPENDIX XIII – SRT Memorial Policy

- A memorial book will be established and will be located at Corfe Castle Station Museum. This will contain details of volunteers, members and Railway supporters from the inception of the Railway. A uniform style will be adopted that will include details of: name, age, residence, Railway department or role, date of joining and date of demise.
- In due course the memorial book will be displayed in an appropriate and secure manner in line with those to be found in formal places of worship or remembrance.
- To supplement the memorial book whilst it is under development, written details will be also be maintained separately by the Trust in a database. Details for entry in this will be sought from users of the Trust's website and the readership of Swanage Railway Magazine.
- Scattering of ashes may continue to take place and will be dealt with on an individual basis, normally taking the form of being added to the fire of a steam locomotive. Such requests should be made through the General Manager, appropriate Railway manager or Trust director. If a request is made to scatter ashes line-side this will only be authorised following written agreement by the appropriate Railway manager or director. Exact locations will not be noted and future visits to these sites will not be permitted. This practice will generally only be permissible in more remote areas of the Railway. A record of dates of all scatterings will be maintained centrally.
- Currently placed Memorial benches on Railway property bearing small plaques will remain in situ within the guidelines below however a moratorium is now in place with regard to any new benches. This will be reviewed at regularly periods. When lifted permitted benches will only be accepted on the previous conditions: that the bench is placed at a location agreed by the Railway, that the donor agrees to cover the full cost of the bench, that the design and construction of the bench is in accordance with the Railway's policy, that the plaque will only be used for the life span of the bench itself; after that time the plaque will be moved to an appropriate position within the Railway confines unless removed beforehand by the donor or requested returned to them.
- Other Memorials such as buildings, gardens, etc. may be considered by the Council of Management following a written request to it but will be looked at in the wider picture of the operation of a heritage steam railway as a community railway, tourist attraction and work place. Similarly a request to name a building or other property on the Railway in recognition of a person will require the same formal approach. The Council of Management reserves the right to instigate any of these types of memorial itself on behalf of the Railway as a whole.
- Any written application should give clear detail of why the memorial is thought appropriate and give full details of the individual(s) to be commemorated. Agreement will not automatically be given and the written approach must be made before any action is undertaken. In certain circumstances discussion will take place both at Trust and Company levels.
- An annual mark of remembrance in addition to a minute's silence will be held at the commencement of the Annual General Meeting.

Liz Sellen

Membership Secretary

The Swanage Railway Trust

November 2009

Version 2

APPENDIX XIV – PROCEDURE FOR THE ELECTION OF THE CHAIRMAN OF THE TRUST

1. Whenever a vacancy for Chairman of the Trust CoM occurs or, routinely at the first meeting of the CoM after the AGM, the outgoing Chairman (even if seeking re-election) shall relinquish the chair.
2. An Acting Chairman, providing he/she is not a candidate, shall be elected by the CoM members present to conduct the election and on taking the chair shall call for nominations.
3. In the event of only one candidate being proposed, the Acting Chairman shall repeat a call for any further nominations. There being none, the Acting Chairman shall declare the candidate duly elected and relinquish the chair.
4. If there are two or more candidates properly proposed and seconded, the Acting Chairman shall ask each in turn if they wish to make a short statement. After each candidate has spoken, the Acting Chairman shall ask Council members if they have any questions for any of the candidates in open session.
5. On conclusion of questions, the Acting Chairman shall ask if members wish to discuss the candidates in their absence. If there is a simple majority in favour of such a discussion, the candidates shall withdraw from the meeting.
6. On conclusion of the discussion, the candidates shall return and a secret ballot held, two tellers being appointed from those not seeking election. On completion of the ballot, the Acting Chairman shall declare the result.
7. Where more than two persons have been nominated and seconded for Chairman and of the votes given there is not an absolute majority in favour of one person, then the person with the least number of votes shall be excluded and a further secret ballot held until a majority of votes are given to one person; if necessary, the process being repeated. The Chairman, so elected, shall then assume the chair.
8. In the event of a tied vote, if no candidate withdraws, a re-ballot shall be held.
9. In the event of there still being a tie, a chairman for that meeting only, shall be elected to enable other business on the agenda for that meeting to be completed, and the election of Chairman shall be held over until the next CoM meeting, when the above procedure shall again be followed.

MAS/SRT/Final 11/08

Approved by SRT CoM 1st November 2008

APPENDIX XV – ROLES AND RESPONSIBILITIES OF SRT COM OBSERVER TO SRC BOARD MEETINGS

This policy defines the role and responsibilities of the Trust's observer to the Swanage Railway Company (SRC) board meetings.

1. The Trust Council at its ordinary meetings shall nominate one of its' number who shall not be a Director of the SRC to attend such meetings of the board as may take place prior to the next ordinary meeting of the Council in the role of observer.
2. The observer shall at all times place the best interest of the Trust ahead of all others.
3. The observer shall be responsible and accountable to the Council.
4. The observer shall not participate in the discussions of the board unless invited to do so by the Chairman. The observer may however indicate a desire to represent a Trust interest by indicating to the Chairman. Such interests are as defined in the Trust's constitutional documents, including inter alia its policies, the expectations of the membership, heritage assets and the strategic direction and development of the Swanage Railway Project.
5. The observer shall contribute to the report on Company business delivered to the Trust Council and ensure that all matters relevant to the interests of the Trust are duly reported.
6. The observer shall be bound by board rules of confidentiality provided that these relate to matters of concern for the SRC Board alone and do not compromise the interests of the Trust or the Council .

Version 1, SWD 10/04/2009

APPENDIX XVI – STATEMENT OF PRINCIPLES CONCERNING FUTURE WAREHAM – SWANAGE TRAIN SERVICES.

1. Statement of Principles Covering The Context Of Future Negotiations For The Provision Of Infrastructure Services By Swanage Railway Company Limited To The Purbeck Rail Partnership And All Train Operating Companies Running Services On Swanage Railway Infrastructure

Issue No. 6 dated 1st August 2009.

1. Swanage Railway (SR) needs at all times to be in a position whereby, whatever franchised or other Train Operating Company (TOC) services are operated on the Swanage Branch, or whatever physical changes are made to infrastructure or property, it can continue to function as a heritage steam/diesel railway operating under a Light Railway Order, with a similar level and pattern of service to that which exists prior to the commencement of PRP services.
2. SR needs at all times to be in a position whereby, whatever franchised or other TOC services are operated on the Swanage Branch, it is financially no worse off than it would have been in both revenue and capital terms, within each successive year, had TOC services not been contracted or run within that year.
3. SR needs to be in a position whereby, on cessation of franchised or other TOC services along the Swanage Branch whenever that may occur, its own operations can continue, and there would be no financial penalty arising therefrom.
4. The length of track bed between Swanage and Motala, owned by Dorset County Council and Swanage Town Council and leased by SR, is to remain outside Network Rail ownership. Guarantees of access will be given by SR on a matching basis with any access agreement involving Network Rail track leading to the Swanage branch, subject to agreement on terms and conditions in such access agreement, which are to be in accordance with this Statement of Principles.
5. SR train services are not to be incorporated into the rail franchising process. The continuity of non-SR train services is to be guaranteed by the Franchise Agreement of the TOC's concerned or other appropriate legal framework covering an agreed number of paths.
6. SR and Network Rail will need to reach prior agreement on all interface issues to produce a safe and seamless infrastructure between Swanage and Wareham.
7. In order to accommodate additional services on the branch and specifically in the bay platform at Swanage, the SR needs to be successful in its plans to acquire suitable locations for the provision of alternative berthing, storage and maintenance of heritage rolling stock at Furzebrook or elsewhere and for its catering facilities at Swanage.

M. Whitwam,

Chairman, Swanage Railway Company Limited.

2. Letter dated 11th July 2010 from Chairman SRT to Leader of Dorset County Council.

Angus Campbell, Esq.,
Leader of the Council
Dorset County Council
County Hall
Colliton Park
Dorchester
DT1 1XJ

Dear Angus,

I write further on the subject of the upgrading of Worgret Junction to propose a low-cost, low-risk strategy for delivering the amenity service to Wareham.

The DCC Cabinet has asked, I understand, for more information before taking a decision later this month. Specifically, details were requested of capital funding over and above that required for Worgret and also for revenue support (subsidy) that might be necessary. This information is I understand being assembled by the DCC and PCRCP team in support of the case as presented. The Swanage Railway (SR) team has however long held a minority view within the PCRCP that a lower cost and lower risk solution would deliver better value to the taxpayer, albeit at the expense of an extended implementation timescale. In view of the impending decision and the difficult economic situation today, we feel it is now important that Cabinet is aware of this alternative.

Essentially, the SR proposal is that in return for DCC funding of the Worgret Junction upgrade, it will take on responsibility for all other capital works between Norden and Worgret once operational control of the branch has been transferred from Network Rail. The only exception to this offer is the upgrade of the Norden level crossing where the obligation for that work lies with BP. Even there, we remain amenable as part of a wider discussion with BP, PDC and DCC regarding the future of the Furzebrook sidings, to undertake this upgrade at a significant discount to national contractor rates for such work. Clearly, the SR is not in a position to undertake all the capital work necessary to a defined timescale given its very limited resources. However, this is how the SR has very successfully been rebuilt so far, so there can surely be little doubt as to our resolve and ability to deliver in due course.

This proposition does not of course address the operation of the service once the infrastructure is in place. However, with the railway complete and ready, we believe that the opportunity will then exist for the Swanage Railway Company Ltd or other train operator, to undertake a trial operation to test the market. This would probably take place in summer, using leased rolling stock, to avoid capital expense prior to evidence of viability being forthcoming. The service would be extended in line with market demand, as have all existing SR services, hopefully to the desired daily service. It is the view of the SR team that such a service could be launched at no cost to the public purse. It is perhaps worth noting that the SR will this year provide service *without subsidy* on 262 days, including a daily service spanning eight months from 27th March to 31st October inclusive, with discounted fares available for local residents.

Thus in summary, if the critical enabling works to Worgret Junction are funded by DCC, the possibility of the amenity service being developed at no further cost to the taxpayer as I have outlined remains open. Of course, should additional public funds become available at a later date, there is nothing to prevent these being used to accelerate the completion of the works and start of the service. Equally clearly, if the works at Worgret are not funded now, then both options die, probably forever.

The SR team therefore view the cost of the Worgret works as offering the prospect of an amenity service for no more than this initial investment. While there can be no guarantees, the SR has a great track record in delivering

value to the Purbeck economy, with over 200,000 passengers carried last year and, with an annual turnover of over £2m, the SR is fast becoming a significant employer and source of direct and indirect income for many businesses in the area. Existing use of the SR's connection with Network Rail is already delivering thousands of additional visitors to Swanage and the upgrade of Worgret will ensure that this traffic continues. We hope that DCC will, in funding these essential works, both enable this process of growth to continue and keep the door open for the reintroduction of regular rail services between Swanage and Wareham.

The SR team are available for further discussion and consultation as required.

I would be most grateful if you would bring this letter to the attention of Cabinet and to such others as you may deem appropriate, in order to ensure that the SR's offer to help get this project off the ground is understood and appreciated as widely as possible.

Yours sincerely

Steve Doughty
Chairman, Swanage Railway Trust
Director, Swanage Railway Company Ltd

APPENDIX XVII – EXTERNAL MEDIA MANAGEMENT POLICY

Objective

The Swanage Railway engages with the media in two ways. Firstly, it does so proactively in order to promote the interests of the project. Secondly, it does so reactively in response to media requests for information which could range from minor matters of interest to enthusiasts to coverage of a major incident or accident of national interest.

Procedure

1. Proactive

Proactive engagement with the media is undertaken for our benefit and, as long as it is correctly managed, is controlled by us. However, it should be remembered that once news is released, we lose an element of control over what is actually used and where it appears. It is therefore essential that material issued is legal, decent, honest and truthful. Furthermore, we should avoid proactive discussion of subjects that could expose the railway to a negative or counter-productive reaction, including questions on subjects that it might not be in our interests to answer.

a) News releases

The Press Officer will have primary responsibility for drafting and distributing news releases. News releases will only be prepared on the instructions of a) the Chairman of the Swanage Railway Trust, b) the Deputy Chairman of the Swanage Railway Trust, c) the Chairman of the Swanage Railway Company Ltd, d) the General Manager of the Swanage Railway Company Ltd or e) the Commercial Manager of the Swanage Railway Company Ltd. Requests received by the Press Officer from other sources will be redirected to one of the above by the Press Officer according to the nature of the release and in the event of doubt, to the Chairman of the Trust. A news release may be agreed and authorised by a meeting of the Swanage Railway Trust Council of Management or Swanage Railway Company Board of Directors as required.

A request for a news release shall be accompanied where possible by written briefing notes confirming the key points to be covered. The request shall also indicate when it is required for release and any other relevant information, such as accompanying material (i.e. photographs), intended audience, media distribution, other persons to be contacted etc.

A request for a news release may be made verbally, but must be followed up by an email to ensure that the requirement and the timescales are clear.

Once a request for a news release has been received by the Press Officer in accordance with the above, it will be prepared. When ready, a draft will be submitted to the person who requested it and to the Chairman of the Swanage Railway Trust and the Chairman of the Swanage Railway Company Ltd. The draft should be available 48 hours prior to required release, unless otherwise agreed, to provide adequate time for review. The release can be issued when the content has been finalised with the person concerned and approved by either the Chairman of the Trust or the Chairman of the Company, as appropriate.

In the event that the Press Officer is unavailable or cannot meet the required timescales, responsibility for drafting and distributing urgent news releases shall pass the Commercial Manager who shall follow the above process.

All photographs used must be credited. All quotes used must be cleared with the person concerned, preferably by exchange of email.

b) Other proactive contact with the media

The Railway can secure valuable free publicity by engaging with the media on an informal basis to make them aware of developments, typically on minor matters where a news release is not appropriate. This is particularly true of the heritage railway press, who welcome monthly verbal updates on technical matters, locomotive movements, special workings and other similar matters. However, while valuable, such contacts need to be managed and controlled to ensure that information released is appropriate and

correct. Proactive engagement with the media on this basis shall be limited to the Chairman of the Trust, the Deputy Chairman of the Trust, the Chairman of the Swanage Railway Company Ltd, the General Manager and the Commercial Manager. Should any other party wish to engage with the media, approval to do so must be sought from the Chairman of the Trust, the Chairman of the Company or the General Manager.

Articles about the Swanage Railway for external publication written by railway staff must be cleared by the Chairman of the Trust, the Deputy Chairman of the Trust or the Chairman of the Company prior to submission. For the avoidance of doubt, this does not include material submitted to the Editor of Swanage Railway Magazine.

2. Reactive

Reactive engagement with the media is very different to proactive engagement. Firstly, the timing and subject matter of an approach will not be of our choice and as such we may be ill-prepared for it or, even if we are prepared, we may not welcome the approach. Such engagement is not necessarily in the interests of the Swanage Railway. However we may have little choice but to respond if we are to avoid negative sentiment by inference alone. This caution is not to suggest that all approaches from the media are unwelcome or hostile, but rather to ensure that the differences required in handling are understood.

All approaches from the media should be passed to either the Chairman of the Swanage Railway Trust, the Deputy Chairman of the Swanage Railway Trust, the Chairman of the Swanage Railway Company, the General Manager or the Commercial Manager, depending on the nature of the enquiry, for them to manage. Staff should decline to make any comment if approached by the media or by persons unknown to them and instead just take the caller's contact details and the nature of their enquiry and say that the appropriate person as above will call them back. They must then report the approach immediately, especially if the nature of the enquiry is in any way contentious or hostile to the interests of the Railway. Even 'no comment' must be avoided as this is still regarded by the media as a response and one that is viewed as evasive.

In the event of a serious incident or accident, the General Manager or in his absence the Responsible Officer shall deal with media enquiries until such time as either the Chairman of the Company, the Chairman of the Trust or other Company Director (in that order) as may be available on site to take charge of media handling. The Responsible Officer must notify all the above together with the Press Officer as soon as possible in such circumstances in order that they may be anticipate such media contact.

Media Procedure V4

Approved BY SRT CoM on 30/10/10