

On-Track Plant Operations Scheme Rules (POS Rules)

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Purpose and Scope

The purpose of the POS Rules is to define the compulsory mechanisms and minimum means of compliance for an organisation undertaking the provision and operation of On-Track Plant (OTP), whether they are engaged in contracts directly with Network Rail or as a sub-contractor for a Principal Contractor (PC) on Network Rail Managed Infrastructure (NRMI). The POS Rules describe the means of achieving and maintaining approval for OTP operations providers, including Principal Contractors where they undertake OTP operations. Network Rail departments are also required to fully comply with the POS Rules when acting as a POS provider in their own right.

The scope of the POS Rules extends to all organisations carrying out contracted OTP operations on NRMI for Investment Projects (IP), Network Operations (Maintenance), National Delivery Service (NDS) or for a PC. The POS Rules extend to Network Rail as the scheme owners and are mandatory for all parties involved in the process. The POS Rules are not designed to detail the following requirements however these will be pre-requisites to compliance with the POS Rules:

- The safe use of plant for infrastructure work, as set out in the Infrastructure Plant Manual NR/PLANT/0200.
- Product Introduction and Change as set out in NR/L2/RSE/100/05.
- Engineering acceptance as set out in RIS-1530-PLT and RIS-1701-PLT.
- Specific rules controlled through the Sentinel Scheme.
- The provision and use of non-rail mounted general construction plant and equipment used on NRMI.

Arrangements for the operation of On-Track Machines (OTM) and/or machines certified against GM/RT 2400 whether operating inside or outside of a possession are out of scope of the POS Rules.

The Network Rail Workforce Safety Team will act as the independent custodian of the POS Rules to ensure fair and compliant application both when Network Rail is undertaking OTP operations and for its contractors.

On-Track Plant Operations Scheme Rules (POS Rules)

I. The On-Track Plant Operations Scheme Rules

- I.1** A POS provider must be approved and must maintain approval through the assurance arrangements. Only an approved POS provider may carry out OTP operations on NRMI.
- I.2** A POS provider shall have an adequate and fully documented management system and framework for the safe delivery of OTP operations.
- I.3** A POS provider shall have a suitable Competence Management System and arrangements in place for assuring the competence and fitness of their employees and hired-in staff involved in the operation, maintenance and supervision of OTP operations in accordance with the Sentinel Scheme Rules.
- I.4** A POS provider shall have adequate processes in place to enable effective communication and co-ordination within all worksites.
- I.5** A POS provider shall have a POS Representative present on each site to act as the single point of contact whenever the POS provider is carrying out OTP activities on NRMI. The POS Representative must be a direct employee of the POS provider.
- I.6** A POS provider shall have suitable arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers.
- I.7** A POS provider shall have suitable arrangements in place to respond to emergencies while undertaking OTP operations on NRMI.
- I.8** A POS provider shall have adequate insurance cover for the work being undertaken as specified in the contract arrangements.
- I.9** A POS provider must be an owner of operational OTP and have an adequate and fully documented process in place for the approval, acceptance, operation and maintenance of the OTP they use on NMRI.
- I.10** A POS provider shall have adequate arrangements in place for the selection and use of suitable suppliers, including safety critical goods, products or services. Suppliers used to provide OTP must be Network Rail approved through the Achilles Link-Up Scheme.
- I.11** A POS provider shall have adequate arrangements for the operational control, preparation, development, communication and implementation of the safe system of work for OTP operations on NRMI.
- I.12** A POS provider shall have identified and maintained in a documented system, information relating to the scope of the OTP operations they undertake.

On-Track Plant Operations Scheme Rules (POS Rules)

2. Roles and Responsibilities

2.1 On-Track Plant Operations

The POS provider shall establish a post with ultimate responsibility for OTP operations and establish arrangements for ensuring the continued competence and fitness for work of those individuals. Any individual fulfilling the post shall meet the following criteria as a minimum:

- The post holder shall be a Competent Person with suitable and sufficient experience managing the planning, operation and maintenance of OTP operations.
- Responsible for assigning competent OTP Personnel including POS Representatives.
- Where this role is sourced from an external organisation, the internal post responsible for liaising with the external organisation shall be identified.

2.2 On-Track Plant Engineering

The POS provider shall establish a post with the ultimate responsibility for OTP engineering and establish such arrangements for ensuring the continued competence and fitness for work of those individuals. Any individual fulfilling the post shall meet the following criteria as a minimum:

- The post holder shall be a Competent Person with suitable and sufficient experience in the design, manufacture, maintenance and engineering change aspects of OTP engineering.
- The post holder shall have specific knowledge of the safety systems used on items of OTP that could be either owned directly by their employing company or may be reasonably expected to be used in OTP operations.
- Responsible for ensuring the Product Approval and Engineering Acceptance of OTP including responsibility for the engineering change function.
- Where this role is sourced from an external organisation, the internal post responsible for liaising with the external organisation shall be identified.

2.3 On-Track Plant Operations Scheme Representative

The POS Provider is required to have a competent person nominated and present on each site where OTP is being utilised. This post will be referred to as the POS Representative and shall include the following:

- Shall be formally nominated, fully trained, and assessed as competent in the POS provider's management systems for delivery of the OTP plan and arrangements.
- Be the single point of contact on site in respect of communications with the PC.
- Be responsible for assisting in the planning of OTP operations and the documenting of these in the OTP Plan.
- Be a direct employee of the POS provider.
- Shall not be engaged in, or responsible for, any other site safety critical duties.
- Shall have access to appropriate and competent resources in relation to OTP operations including lift planning and adjacent line open (ALO) working.

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2.4 Network Rail Workforce Safety Team

The Network Rail Workforce Safety Team is the owner of the POS Rules and is responsible for maintaining the POS Rules including the following responsibilities:

- Keeping the scheme rules up to date and making them freely available to the industry.
- Making suitable arrangements for the monitoring (proactive and reactive) of the POS Rules.
- Undertake a Formal Review following any alleged breach of the POS Rules.
- Permitting the POS provider the opportunity to submit an evidence statement for consideration before the Formal Review is concluded.
- Determining whether a Scheme Outcome of a POS provider is appropriate, dependent on the causation identified during the Formal Review process.
- Concluding any Scheme Outcome against a POS provider following the Formal Review on an alleged breach of the POS Rules.
- Hearing Formal Review appeals lodged by the POS provider when a Scheme Outcome has been applied and when new information or evidence that was not available at the Formal Review stage is submitted.

2.5 On-Track Plant Operations Scheme Administrator

Achilles (Link-Up) will undertake the role of POS Administrator and will be responsible for the following:

- Processing applications from organisations wishing to become a POS provider.
- Providing POS provider applicants with information and guidance on the route to approved status.
- Maintaining records on behalf of Network Rail.
- Conducting the POS Rules management audit and arrangements.
- Providing and maintaining the POS Rules management audit protocol.
- Providing and administering a database of approved POS providers.
- Liaising with Network Rail Asset Management regarding the provision of the POS on-site and technical audit requirements.

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3. Management System Requirements

3.1 POS Provider Approval

Prior to being approved to carry out OTP operations a POS provider shall, as a minimum:

- Be registered with Achilles Link-Up and have passed the Industry Minimum Requirements Audit Module and Sentinel Scheme audit requirements.
- Have in place Achilles Link-Up auditable product code I7.01.01- SER & OPT and any other product or service codes relevant to the service(s) they are providing to maintain full compliance with Link-Up requirements for OTP operations.
- Fully comply with the POS Rules and have passed the assurance requirements described within the POS Rules.
- Be a Primary Sponsor as described in the Sentinel Scheme Rules.
- Obtain, or be in possession of, a licence, or licence exemption, issued by the Office of Rail Regulation under Section 6 of the Railways Act 1993.

3.2 Organisation

A POS provider shall have an adequate management system and framework for the safe delivery of OTP operations. This includes the embedded capability to understand the railway operating environment and the specific requirements of OTP operations. A POS provider shall have arrangements in place for the following:

- Documenting the organisational structure that shall be adequate for OTP operations and planning.
- Keeping the organisational structure current and relevant at all times.
- Obtaining the acceptance of responsibilities from post holders.
- Setting up a means of communication with the supplier where key health, safety, quality, environmental or technical expertise is procured from outside the organisation.
- Demonstrating their understanding of the roles and responsibilities of the PC in relation to the POS provider.
- Having arrangements in place for risk assessing, validating and briefing out material changes to the management system. Proposed material changes are to be notified to the POS Administrator in sufficient time for review and approval prior to the material changes being implemented.

3.3 Training and Information

The POS provider shall have operational and resource arrangements in place that are fully documented to demonstrate that:

- Adequate and appropriate training is delivered to employees and supplier's staff working (or about to work) on OTP operations as required under the Sentinel Scheme Rules.
- Adequate and appropriate training is provided to employees and suppliers in respect of the management of health & safety requirements appropriate to the activities being undertaken.
- Employees and supplier's staff have their rail related competencies maintained and developed (e.g. in line with standards changes and technological change).

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- Providing adequate and appropriate training including an assessment of competence for the POS Representative, resulting in an Authority to Work to carry out the role.
- Suitable arrangements for providing and signing off an Authority to Work for employees and supplier's staff. This should include the issue of an Authority to Work card detailing the specific assigned duties relating to OTP operations e.g. POS representative, fitter, lift planner, etc.
- A framework that enables feedback on content and effectiveness of safety training/briefings.

3.4 Communication and Co-ordination

A POS provider is required to demonstrate their processes for communication and co-ordination within PC controlled worksites. These processes shall be fully documented and include the following:

- A POS Representative acting as the single point of contact during the course of OTP operations.
- Accident / incident reporting arrangements which are consistent with the PC's arrangements, including directly reporting accidents/incidents to the Network Rail NDS 24/7 Control.
- Emergency planning/contingency planning arrangements which are consistent with the PC's arrangements.
- Arrangements for assessing information on risks etc. provided by the PC, Network Rail and from the POS provider's own site walk out and that the necessary information is provided for incorporation into the OTP Plan and the Method Statement.
- Demonstrating that essential communication and liaison between all those involved in the work takes place as planned.
- Where the POS Provider is also the PC, the nominated POS and PC Representatives will be separate to ensure the integrity of both roles is maintained.

3.5 Monitoring of Effectiveness of OTP Planning

A POS provider shall have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers. These arrangements shall be fully documented and include the following:

- Obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident reports, etc.
- Analysing and reviewing performance data and other key performance indicators (KPIs), including OTP reliability and the identification of trends.
- Conducting an annual management review of the POS provider's processes and arrangements
- Obtaining and reviewing the results of own and their supplier's Achilles Link-up (e.g. Product Code I701) and technical audits.
- Reviewing and discussing supplier performance with their suppliers.
- Identifying and closing out corrective actions and concessions in a timely manner.

3.6 Emergency Preparedness

A POS provider shall have arrangements in place for responding to emergencies while undertaking work on NRMI. These arrangements shall be fully documented and include:

- Cooperating and coordinating with the PC in the preparation and distribution of emergency response plans for all personnel involved in the work.

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- Briefing personnel on the plans and testing the understanding and effectiveness of such plans.
- Production and distribution of an emergency contact list.
- Provision of equipment for use in the event of an emergency.
- Interfacing with, and assisting the PC, Network Rail, regulatory authorities, and the emergency services, etc.
- Review and revision of the plans, particularly after an accident/incident or an emergency.

3.7 Insurance Arrangements

A POS provider shall demonstrate the mechanism for identifying Network Rail's requirements to ensure that the right contract specific insurance arrangements are in place before commencement of works.

3.8 On-Track Plant Acceptance and Maintenance

A POS provider shall have arrangements in place for the approval, acceptance and maintenance of OTP. These arrangements shall be fully documented and are to include the following:

- Network Rail product approval.
- Engineering acceptance of OTP.
- A process for managing Engineering Change following OTP modification or upgrade.
- Development and implementation of maintenance plans for each type of OTP.
- Provision of suitable and sufficient maintenance facilities.
- Control of maintenance periodicity.
- Monitoring and reporting of maintenance performance.
- The regular review of maintenance plans and a process for amending or updating maintenance plans.
- Maintenance of Safety Critical systems (e.g. RCI calibration).
- Implementation of these requirements for hired in OTP through assurance and monitoring.
- Maintaining an up to date register of all OTP subject to these arrangements.

3.9 On-Track Plant Scope of Operation

A POS provider shall have identified and maintained, in a documented system subject to management review, information relating to the following:

- Number of items of OTP operated per week.
- Types and number of OTP owned, including their date of introduction.
- Types and number of OTP hired.
- Number of possessions operated in per year.
- Number of operating hours per year.
- Details of all maintenance facilities.
- Details of all accidents and close calls in the last 12 months.

3.10 Selection and Use of Suppliers of Plant, Products and Services

A POS provider shall have arrangements in place for the selection and use of suitable suppliers, including Safety Critical goods, products or services. These arrangements are to be fully documented and shall include:

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- OTP used on rail related contracts shall only be hired in from approved suppliers that have in place Achilles Link-Up auditable product code I7.01.01- SER & OPT.
- All hired in OTP, portable and transportable plant or attachments used on rail related contracts are to be Network Rail approved, and have a valid Engineering Acceptance Certificate.
- Where a POS provider hires in additional resources such as OTP or personnel they shall be subject to the same arrangements for the planning of OTP operations and shall be documented in the OTP Plan under the responsibility of the POS Representative.
- Where a POS provider hires in supporting services e.g. mobile cranes, general construction plant, etc, they shall be subject to the same arrangements for the planning of OTP operations and shall be documented in the OTP Plan under the responsibility of the POS Representative.
- Hired in supporting services and goods utilised on rail related contracts are fit for purpose and are properly maintained, in a serviceable condition that meets the required standard of performance and reliability accepted by Network Rail.
- All hired in plant, equipment and attachments are only operated by competent personnel.
- Plant, equipment and attachments must only be hired in from competent and approved suppliers able to deliver work in a timely manner, safely, without adverse impact to the environment and to the required quality.

3.1.1 Operational Arrangements and Requirements

A POS provider shall have arrangements in place for implementing operational requirements. These arrangements are to be fully documented and shall include:

- a. Operational Control:
 - Communications processes.
 - Exchange of information with Network Rail regarding diversions, speed restrictions, late notices and infrastructure failures.
 - Interface with Network Rail's National Control regarding Urgent Operating Advices (GO/RT3350) and Defect Reports (GE/RT8250).
 - Communicating conditions of low rail adhesion (GE/RT8040).
- b. Planning:
 - Involvement in possession planning including input to the method statement.
 - Selection of the OTP for the work to be carried out.
 - Selecting and controlling OTP personnel
 - Attending pre-possession meetings.
 - Attending site walkouts.
 - Selection and use of competent lift planners to plan lifting operations.
- c. Control and supervision of OTP:
 - Pre-use checks.
 - Setting up of OTP
 - OTP movements (as required by Rule Book Module GE/RT8000 – HB15)
 - Reports of OTP faults or defects.
 - Exclusion zones and Duplex communications

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3.12 On-Track Plant Planning

The Railway Interface Planning (RIP) provider or PC undertaking the planned works will prepare a method statement and provide this to the POS provider. The POS provider will develop an OTP Plan which will encompass all information relevant to the safe operation of the OTP. The OTP Plan will be provided to the RIP provider or PC for inclusion into the final method statement. The OTP Plan is to be fully communicated to the Machine Controller/Crane Controller by the POS Representative to enable them to implement the OTP plan on site. The documented OTP Plan will comply with NR/PLANT/0200 and include the following information as a minimum.

- Description of work to be undertaken and the use that will be made of the plant.
- Safe system for operations affecting any adjacent line open (ALO), overhead line equipment (OLE) or third and fourth rail areas including third party owned OLE.
- Limitations and obstructions to space and clearance such as gauge restrictions, bridges, platforms, buried cables and troughing etc.
- Identification of road-rail access point (RRAP) locations for on/off/cross tracking of OTP.
- The transportation of OTP to/from the site access point
- Worksite details and the movements involved, including to/from the worksite.
- Details of where different modes of operation are to be undertaken.
- Site briefing arrangements and responsibilities.
- Emergency information and the emergency plan applicable including contacts and recovery arrangements.
- Storage/stabling locations including security requirements on site.
- Communications including Duplex communications equipment.
- Cooperate and coordinate with the RIP provider or PC in traffic management planning, to include required exclusion zones and safe movement of personnel and OTP from the delivery point and throughout the site of work.
- Contingency planning arrangements in place for preventing the operation of defective OTP performing a Safety Critical function.

3.13 Competence of OTP Personnel

A POS provider shall have arrangements in place for assuring the competence and fitness of their employees and hired-in staff involved in the operation and maintenance of OTP. These arrangements shall be fully documented and are to include:

- a. Competence:
 - Determining the specific competence requirements for OTP personnel including maintainers and logistics staff.
 - Specific training for the POS Representative including an assessment of competence.
 - Selection of new OTP personnel including maintainers.
 - Provision of training on the operation and maintenance of OTP.
 - Training/briefing on the risks associated with OTP.
 - Training/briefing on avoiding points run through and incident awareness.
 - Re-assessing competence periodically and retraining following identification of poor performance.
 - Awareness of behaviour based safety for OTP personnel.

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- b. Managing directly employed personnel:
 - Checking of depots and sites.
 - Booking-on procedures.
 - Monitoring of fitness.
 - Managing notice boards/late notice cases (where applicable).
 - Distribution of operational information and briefings.

- c. Managing hired in personnel:
 - Assuring competence.
 - Assuring fitness.
 - Monitoring performance.
 - Sharing performance data.

- d. Monitoring performance of OTP personnel:
 - Compliance with operational arrangements.
 - Booking on arrangements.
 - Plant preparation.
 - Machine operating techniques.
 - Movement speeds of OTP.
 - Taking action when non-compliance is identified.
 - Frequency of monitoring.
 - Posts responsible for monitoring.

- e. Special monitoring of OTP personnel that are either newly qualified or poorly performing:
 - Criteria for instigating special monitoring.
 - Additional monitoring to be carried out.
 - Additional controls that may be required.
 - Criteria for ending any special monitoring.

3.14 Reliability of OTP

A POS provider shall have arrangements in place for monitoring the reliability of OTP. These arrangements shall be fully documented and are to include:

- A suitable reporting system in use to report faults accurately and timely.
- A reliability improvement plan to detail proactive efforts in overcoming reliability issues and show any actions planned or taken to overcome OTP reliability issues.
- Analysis of reliability data collected to support continuous improvement against performance criteria.
- Actions taken to minimise damage during transit to ensure OTP remains fit for purpose prior to the start of work.
- Actions taken to ensure that all attachments supplied are properly cared for when not in use, providing additional safe/clean stowage where necessary.
- An assessment as to whether there is a need for an on site fitter available through out the work and the provision of a contingency spares/tools pack of commonly used items.

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4. Investigation and Review of Breaches of the POS Rules

4.1 Reporting an Alleged Breach of the POS Rules

Anybody witnessing an alleged breach of the POS Rules such as the misuse of OTP or the failure of, or adherence to the OTP plan, should report this to either the POS provider or PC, and subsequently record this through the close call system, or anonymously through the whistle-blowing process. Where either a POS provider or PC is made aware of an alleged breach of the POS Rules they shall notify Network Rail, and each other, of the allegation. Where Network Rail receives notification of an alleged breach of the POS Rules they will make contact with the POS provider and PC in the first instance and request they conduct a Local Investigation.

4.2 Local Investigations by POS Provider

Whatever the source of the alleged breach of the POS Rules the POS provider shall commence a Local Investigation in accordance with their internal management system processes. The Local Investigation will be suitably independent to ensure that it considers and includes any process and/or management failures within the alleged breach of the POS Rules. As part of the Local Investigation the POS provider will produce an action plan to identify any necessary improvements or remedial actions they will undertake to prevent a reoccurrence.

4.3 Outside Party Investigations

Some alleged breaches of the POS Rules may be investigated by outside parties, for example damage or injuries may be investigated by the Rail Accident Investigation Branch (RAIB). Where an outside party has completed an investigation directly related to an alleged breach of the POS Rules, this outside party's investigation can be used as evidence within the Network Rail Formal Review.

4.4 Formal Review by Network Rail

Network Rail will request that any allegation made is investigated by the POS provider and the PC in the first instance. Network Rail may receive notification of an alleged breach of the POS Scheme Rules from a number of sources including:

- PC or POS provider reporting.
- Outside party investigation.
- Whistle-blowing process.
- Accident/Incident reporting.

Any such reports will be subject to Formal Review. As part of the Formal Review, and prior to reaching any conclusion, the POS provider will be given the opportunity to provide a statement to ensure fair process through the Formal Review stage. All evidence will be subject to Formal Review and will proceed to one of the following decisions:

- No further action required.
- Further Investigation by Network rail required.
- Evidence indicates a breach by the PC of the PC Licence; evidence is submitted to Network Rail Infrastructure Projects Licensing Team for consideration.

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- Evidence indicates breach by the RIP provider of the RIP Scheme Rules, evidence submitted to the Network Rail Workforce Safety Team for consideration.
- Sufficient evidence is available to determine a Scheme Outcome.

The POS provider subject to the alleged breach of the POS Rules will be advised in writing of the outcome of the Formal Review.

4.5 Further Investigation by Network Rail

For those events determined by the Formal Review to require further investigation by Network Rail, Network Rail will appoint a lead investigator who will undertake the further investigation. The lead investigator will feedback the further investigation findings to the Formal Review panel for a Scheme Outcome to be reached. Where the statement submitted by the POS provider at Formal Review stage has not provided sufficient information, the further investigation by Network Rail may involve an investigatory hearing.

4.6 Conclusion and Notification of Scheme Outcomes

Where a Scheme Outcome is concluded from the Formal Review this will be applied in line with the Scheme Outcome Guidelines shown at paragraph 6.8 of these Scheme Rules. All decisions on Scheme Outcomes will be communicated in writing, along with the process for a POS provider to lodge an appeal against a Scheme Outcome.

4.7 Formal Review Appeals

Formal Review appeals will only be held when a Scheme Outcome has been applied and when new information or mitigating circumstances that were not available at the Formal Review stage is submitted. The POS provider will have the right of appeal providing the appeal is lodged within four weeks of the Scheme Outcome being communicated to the POS provider. Formal Review appeals will be heard by Network Rail, by persons independent of the Formal Review process.

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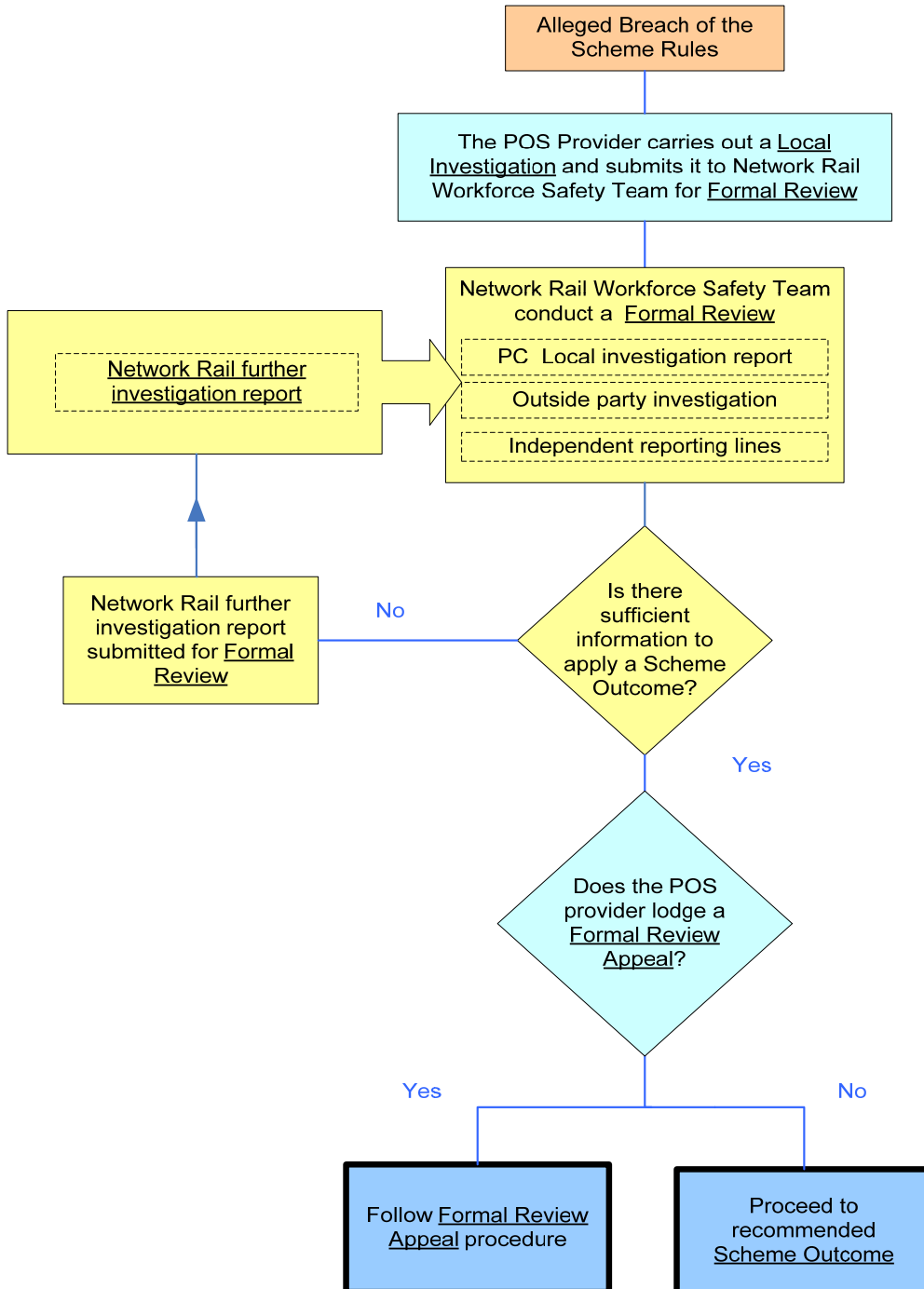
4.8 Scheme Outcome Guidelines

Event	POS Provider Action (Local Investigation)			Network Rail Workforce Safety Team Action (Formal Review)		
	Investigate and Report	Update Arrangements	Management Review	Approval Re-Audit	Restricted Scope of Works *	POS Provider Suspension
Breach of POS Rules	Unknown breach or mistake (first occurrence)			Multiple Occurrence		
Breach in maintaining the POS Rules approval requirements			Unknown breach	Single Occurrence	Multiple Occurrence	
Breach of Network Rail Approval or Engineering Acceptance limitations				Single Occurrence		
Breach of machine maintenance requirements and arrangements	First Occurrence			Single Occurrence	Multiple Occurrence	
Falsification of safety critical documentation, e.g. MC/CC Checklist				Single Occurrence /Deliberate Breach		
Infringement of Method Statement or OTP Plan	Unknown infringement or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Negligence by OTP personnel leading to damage or injury	Unknown negligence or mistake (first occurrence)			Multiple Occurrence/ Deliberate Breach		
Breach in providing the correct or competent personnel required	Unknown breach or mistake (first occurrence)			Single Occurrence	Multiple Occurrence	
Breach in reporting or investigating an alleged POS Rules breach			Unknown breach	Single Occurrence /Deliberate Breach		

* A Restricted Scope of Works may include specific machine(s) take-down

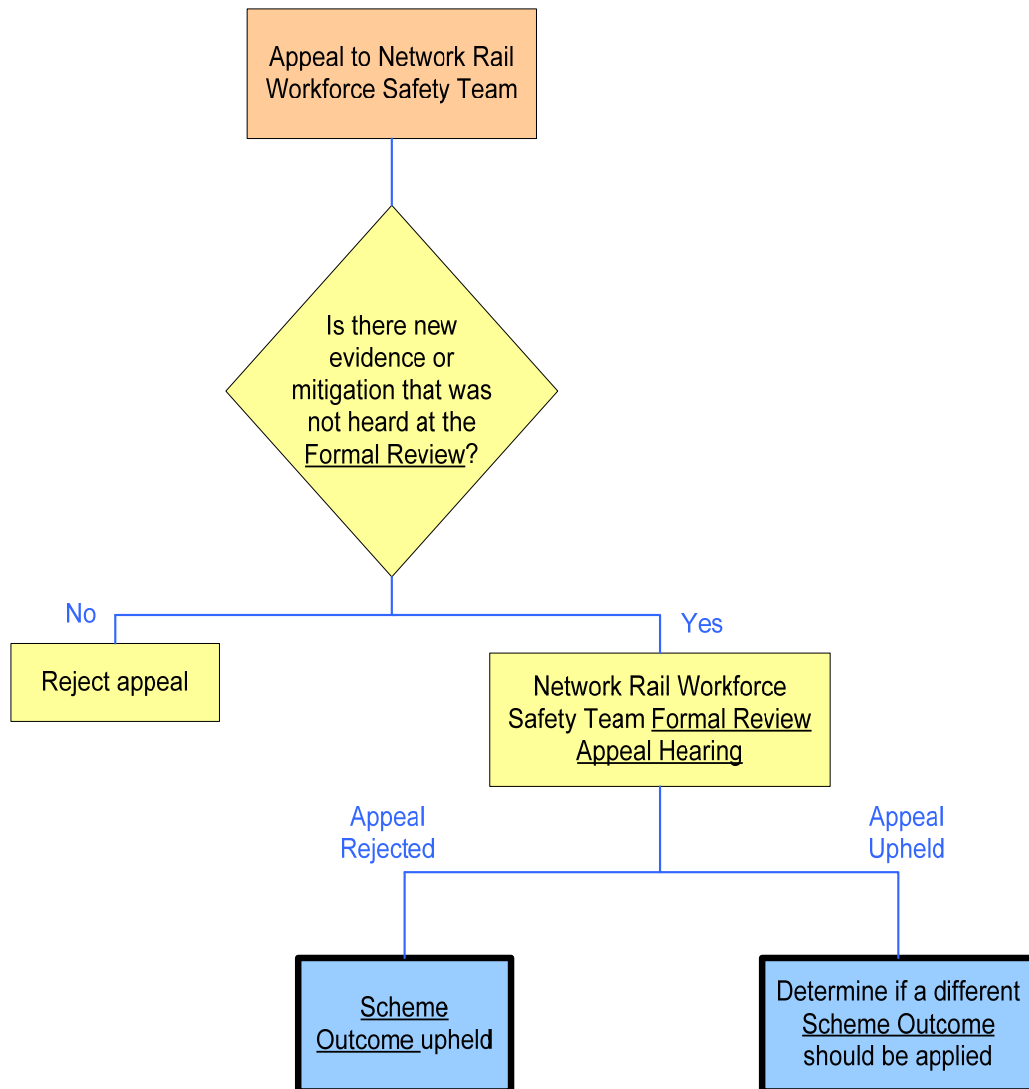
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4.9 Local Investigation and Formal Review Process



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4.10 Formal Review Appeals Process



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5. Scheme Assurance Arrangements

5.1 Scheme Administration

The POS Rules will be administered by Achilles Link-Up who will audit the scheme in conjunction with Network Rail. Where an organisation has applied to become a POS provider and registered with Achilles Link-Up to undertake OTP Operations they will be subject to an annual assurance process

5.2 Approval of a POS Provider

An organisation wishing to become a POS provider must make their application through Achilles Link-Up. For an organisation to be approved as a POS provider they must be registered with Achilles Link-Up and have passed the Industry Minimum Requirements Audit Module. All POS providers must also have Achilles Link-Up auditable product code 17.01.01 - SER & OPT and any other product or service codes relevant to the service(s) they are providing. A POS provider must fully comply with the POS Rules and have successfully passed the assurance requirements defined within the POS Rules.

5.3 POS Audit Process

a. Management System Audit

An organisation applying to become a POS provider will be subject to a management system audit carried out by Achilles Link-Up to demonstrate that the organisation has documented processes for the key management system requirements needed to be a POS provider. The audit will check that the management systems and processes are suitable and sufficient to meet the minimum requirements of the POS Rules.

b. On-Site Audit

An annual on-site audit will be carried out to view the application of the management system processes and to verify they are being robustly applied in all scenarios. The on-site audit will be conducted upon award of the first contract where the company is discharging the role of a POS provider. The evidence required for this audit is that which the company would not be able to demonstrate at the initial management system audit. i.e. OTP Plans.

c. Technical Audit

A technical (condition monitoring) audit will be carried out annually in support of the management system and on-site audits. The audit protocol will be in compliance with the requirements of Network Rail's Professional Head of Plant and T&RS.

5.4 POS Monitoring Process

Proactive and reactive monitoring activities shall be carried out at POS provider's locations, or on site, by Network Rail or other agencies in support of the scheme assurance arrangements. Monitoring activities may be pre-planned or unannounced.

Proactive monitoring activities may be in the form of inspections, tours or sampling as appropriate. The POS provider will normally be advised of planned monitoring activities to agree the aspects to be monitored and to agree the date, time and composition of the monitoring team. Proactive monitoring

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will be carried out to check that the POS Rules continue to be implemented and that management controls are working, this will include identifying potential problems and taking action to prevent them becoming reality.

Reactive monitoring will be carried out to examine any unsafe OTP related events after they have occurred. This will include provision for learning from any mistakes whether they have resulted in injuries, damage, or are close calls.

5.5 Transfer of POS Provider Approval

Where a company is acquired by another company or group the POS Administrators and Network Rail Workforce Safety Team must be notified in advance of the acquisition. The acquiring organisation shall prepare a material change report to detail how the POS processes will be merged and the POS provider's approval transferred in practice.

This material change report will be reviewed by Network Rail, and if accepted will then enable the transfer of the POS provider approval. Acceptance of the material change report may be subject to an assurance audit within three months of acquisition to assure that the measures outlined within the material change report have been adequately implemented.

5.6 Verification of Auditors

All external assurance auditors will be subject to independent verification to ensure the standard and consistency of POS audits is maintained.

5.7 Validation Audits of Network Rail

Network Rail Internal Audit function will audit the POS Rules annually to ensure Network Rail remains compliant with the POS Rules. Results of annual verification audits will be made available to ensure the transparency of the POS Rules is maintained.

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Definitions

For the purpose of the POS Rules the following terms and definitions will apply:

Achilles Link-Up

Is the UK rail industry supplier qualification scheme that provides a registration, pre-qualification and audit process for suppliers that is shared by the UK rail industry.

Approved Suppliers List

A list of those suppliers that have demonstrated their ability to satisfy rigorous quality, cost, and delivery requirements to the procurement company's satisfaction.

Attachment

Means any equipment mechanically fixed to and/or powered or controlled from a compatible host vehicle, this could be an accessory for lifting.

Authority to Work

Internal company process for authorising employees to carry out specific tasks or work for, or on behalf of, the employer. This process includes the issuing of an authority to work card by the employer which identifies the tasks or work the employee is authorised to undertake.

Behaviour Based Safety

The use of a safety culture measurement tool, adopted for use as appropriate to the organisation. Examples include the Network Rail Dimensions of Safety, the HSE Safety Climate Tool or the Office of the Rail Regulator's Rail Management Maturity Model (RM3).

Close Call System

The Close Call System is an online, web-based system that allows Network Rail and its contractors to record and manage close call events. A close call is defined as any event that had the potential to cause injury or damage.

Engineering Acceptance Certificate

Document issued by a Vehicle Acceptance Body (VAB) to show that an item of OTP complies with Rail Industry Standard RIS-1530-PLT *Rail industry standard for engineering acceptance of on-track plant and associated equipment*

Engineering Change

Any change to plant or equipment, including software, in the area of design, construction or maintenance that affects conformance to existing standards and is subject to an engineering change process to control the risk. The engineering change process will include the need to determine if re-certification is required.

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Competent person

Person who has been assessed as being qualified and having required practical and theoretical knowledge, experience and skills to carry out a particular role with regard to relevant rules, regulations, instructions or procedures.

Crane Controller

Person competent to control single machine lifting operations and holding a valid National Machine and Crane Controller Competence Scheme OTP Competence Card and Secure Counterpart endorsed as Crane Controller for the specific crane/excavator crane type concerned.

Infrastructure

Includes, but is not limited to, track, cables, troughing, lineside and under-track equipment, supporting structures, drainage and pipe work that form the railway.

Lift Planner

This is the Sentinel competency for the person fulfilling the role of Appointed Person (Lifting Operations) for OTP used on Network Rail managed infrastructure.

Lifting Operation

Any operation concerned with lifting or lowering a load.

Machine Controller

Person competent to control OTP and holding a valid National Machine or Crane Controller Competence Scheme OTP Competence Card and Secure Counterpart endorsed as Machine Controller for the specific OTP concerned.

Management System

The organisation, arrangements and methodology that would enable a business to meet its objectives.

Management Process

The practical application of the management system that would enable a business to meet its objectives.

Material Change

Includes changes to scope or work (including changes to Achilles Link-Up product codes); organisation structure, reporting lines related to OTP operations, posts related to OTP operations, significant changes to corporate policies or operating/HSQE procedures.

Method Statement

A practical and useful document detailing a suitable and sufficient plan of work and describing a safe working method for personnel to follow, e.g. Work Package Plan, Risk Control Manual, etc. It is an essential tool to show that significant risks have been considered and specific job instructions have been produced to address them.

On/Off/Cross Tracking

The process of placing OTP on and off the track, including the process for crossing between tracks.

On-Track Plant Operations Scheme Rules (POS Rules)

On-Track Machine (OTM)

A rail mounted vehicle capable of running on a railway track meeting the requirements of GM/RT2400 *Engineering design and construction of on-track machines*. Such machines may be permitted to operate, work or travel outside the limits of a possession.

On-Track Plant (OTP)

Vehicles fitted with rail wheels capable of running on a railway track meeting the requirements of Rail Industry Standard RIS-1530-PLT *Rail industry standard for engineering acceptance of on-track plant and associated equipment*. OTP includes Rail Mounted Maintenance Machines (RMMM), Road-Rail Vehicles (RRV), trailers and attachments. Such vehicles are not permitted to operate, work or travel outside the limits of a possession.

On-Track Plant Personnel

Term used to indicate the roles responsible for controlling the movement and function of OTP e.g. POS Representative, Machine Operator, Machine Controller, Crane Controller, Fitter, etc.

On-Track Plant Plan

A documented plan which encompasses all information relevant to the safe operation of OTP being used on site. The OTP Plan is to be provided for inclusion into the Method Statement.

Plant

Construction or maintenance type vehicles, plant or equipment including mobile cranes or other general construction machinery including road vehicles operated on or near the railway and used for infrastructure related activities.

Portable and Transportable Plant

Any plant or equipment used for the installation, renewal or maintenance of the infrastructure meeting the requirements of RIS-1701-PLT *Rail industry standard for portable and transportable plant used for infrastructure work*.

Principal Contractor

Corporate entity licensed by Network Rail as capable to operate as a Principal Contractor (PC) under Regulation 14(2) of *The Construction (Design and Management) Regulations 2007* (i.e. the main or managing contractor for a construction project appointed by the client to assume the duties of PC. The PC is responsible for the overall health and safety management of a site or sites.

Product Approval

A mandatory Network Rail product approval process that provides assurance that products, when accepted for use, are safe for use, fit for purpose and do not import unacceptable risks to the Network Rail Managed Infrastructure.

Rail Mounted Maintenance Machines (RMMM)

An OTP vehicle not able to travel on road, but able to travel on rail under its own power system. Such vehicles are not allowed to operate, work or travel outside possessions.

On-Track Plant Operations Scheme Rules (POS Rules)

Rail Vehicle

A rail mounted vehicle registered on the Rolling Stock Library (RSL). This includes locomotives, coaches, wagons, multiple units, on track machines (OTM) etc, but excludes OTP and portable and transportable plant.

Railway Interface Planning Provider

An organisation approved under the RIP Scheme Rules to plan and manage access to places described as “on or near the line” in The Rule Book (GE/RT8000) on Network Rail Managed Infrastructure (NRMI)

Rated capacity indicator (RCI)

A safety device which provides visible and/or audible indication that a lifting machine is approaching and/or exceeding its rated capacity.

Road Rail Access Point (RRAP)

A temporary or permanent location on the infrastructure suitable for the on/off and cross tracking of OTP. A RRAP is always expected to be available for use by OTP.

Road-Rail Vehicle (RRV)

An OTP vehicle that can travel under its own power on the road or can travel by rail under its own power by means of deploying a rail wheel guidance system. Such vehicles are not allowed to operate, work or travel outside the limits of a possession.

Safety Critical

An engineering product or service, delivered by a company or job role which is capable of importing risk onto the Network Rail Managed Infrastructure i.e. is capable of affecting the passage of trains.

Trailer

A non self-propelled, rail mounted vehicle capable of being towed or propelled. This includes attachments with more than two rail wheels.

Traffic Management Planning

Documented arrangements to minimise the interface between pedestrian and vehicle movements. The term ‘vehicles’ includes cars, vans, lorries, low-loaders, on-track plant, etc. The traffic management plan must identify the methods of avoiding hazards and controlling risks arising from the use of vehicles and this information must be provided for incorporation into the Method Statement.

Whistle-Blowing

An anonymous report received through a formal confidential reporting process, such as CIRAS, Speak Out or other method where the reporter’s identity is protected.