

Category 2 Standard

S2454 Delivery Regulatory Notices

Rolling Stock, Track and Signals

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MAYOR OF LONDON

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1 Purpose

- 1.1 This standard defines the requirements for the structure, format, content, issue, control and withdrawal of Delivery Regulatory Notices (DRNs) for the rolling stock, track and signals asset areas and the management arrangements for any other related local systems which may be required.

2 Scope

- 2.1 This standard applies to LU's engineering assets, systems, processes and controls, these are;
- a) all engineering assets on LU property;
 - b) engineering assets provided for LU use on property owned by others;
 - c) the competence of persons who work on (a) and (b) above; and
 - d) the processes used to control work on (a) and (b) above.
- 2.2 The application of a DRN may cover operation of the railway, procurement of assets and management of projects.
- 2.3 DRNs have the status of category 2 standards.

3 Requirements

3.1 General requirements

- 3.1.1 A DRN shall be created in response to situations where immediate intervention is necessary.

Note: A DRN would normally be considered to control significantly increased safety, operational or environmental risk for one or more of the following purposes:-

- a) Enforcing a requirement in an existing standard controlling safety;
- b) Enforcing a matter perceived to constitute an emerging safety issue;
- c) Dealing with a non-compliance with a requirement of an existing standard;
- d) Providing an interim control (which subsequently may be developed into a new standard or incorporated into an existing standard);
- e) Producing a desired outcome which has not emerged due to a failure of a management system, or other cause;
- f) Dealing with working practices, technical information or other matters involving a person or organisation (including consultants) employed by LU.

- 3.1.2 LU shall keep a record of everything that supports a DRN.
- 3.1.3 A DRN shall contain, as a minimum:
- a) the date of issue, effectiveness, response, compliance and withdrawal;
 - b) any relevant standard or document;
 - c) the justification;
 - d) necessary action;
 - e) the withdrawal conditions; (except for Safety Alerts, see 3.1.4);



3.1.4 A DRN shall be one of the following:

- a) **Prohibition Notice (PN)** - to stop the use of assets or working practices where there is a risk of serious personal injury, or significant safety risk;
- b) **Safety Instruction (SI)** - to require additional controls to be put in place in response to unsatisfactory asset performance, or condition or a working practice that would likely result in an unsafe situation which, if not addressed, would lead to a Prohibition Notice;
- c) **Safety Alert (SA)** - to advise on safety implications that may result in an unsafe situation.

Note: A DRN provides a means of immediate intervention, which cannot be achieved by other management processes and procedures in order to deal with an unsafe, or potentially unsafe, condition.

3.1.6 A DRN shall be in the format as clause 5.2 and of type distinguished by coloured banners as follows:-

- a) Prohibition Notice **Red**;
- b) Safety Instruction **Yellow**;
- c) Safety Alert **Blue**.

3.1.7 DRN numbering shall be D (delivery) – the type (PN, SI, or SA) – the year – a sequentially issued four figure number (which shall be unique to that DRN) – the asset group (indicated by a maximum of five letters i.e. either RS, TRK or SIG).

Note: An example (*not issued*) of a serial number is: - D-PN-2011-0024-RS

3.2 Service and distribution of DRNs

3.2.1 The rolling stock, track or signals LMAE shall produce an original, signed (as authorised) paper copy of each DRN.

3.2.2 The relevant LMAE shall distribute electronic copies of the original DRN to: -

- a) the Notified Person;
- b) the Key Recipient;
- c) any other person or group within LU that is affected by the DRN;
- d) the relevant Professional Head

3.3 Safety assessment and change control

The Notified Person's formal response for dealing with the subject of a DRN shall show that any assessed risk remains ALARP.

Note: Reference should be made to 1-526.

4 Responsibilities

4.1 Document preparation, authorisation and approval

4.1.1 DRNs shall be created, authorised and issued with actions tracked by the LMAE.

4.1.2 Each DRN shall be prepared by, or on behalf of, the LMAE.

4.1.3 The LMAEs have delegated authority from the Professional Heads to issue DRNs where there is a business need for them.

4.1.4 Lower tier regulatory systems are allowed for in standard 1-003 Engineering Regulatory Notices issue A3 clause 4.1.3 if there is a business need to do so (e.g. under self