

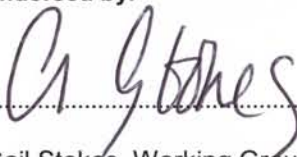
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Level 2

Specification for the Management of Safety Related Infrastructure Records

Endorsement and Authorisation

Endorsed by:



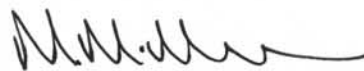
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Issue record

Issue	Date	Comments
02	April 2004	Change Format
03	June 2005	Change Format
04	April 2005	Rewritten to incorporate Issue 3 of NR/SP/INF/02019 (formerly RT/E/S/02019); expanding Signalling Records Centres to include arrangements for Telecoms, Electrification and Plant, and to adjust processes where variation or a change in technology have impacted.
05	August 2008	Amended to reflect the Phase 2A / Engineering Reorganisation and to update references. Restructured to the new company Standards Template
06	December 2010	Transfer of Source Records Update and reference to Standard NR/L2/INI/EDT/CP0091 (Computer Aided Design Drawing Specification) updated

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 5 March 2011.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 4 to continue to comply with the Issue of any relevant Network Rail Standards current when GRIP Stage 4 was reached and not to comply with requirements contained herein, unless the designated Standard Owner has stipulated otherwise in the accompanying Briefing Note.

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1 Purpose

This document describes the management of new and altered safety related records for which the National Records Group are custodians.

2 Scope

This specification is mandatory for Network Rail staff and Network Rail contractors involved in the production and alteration of safety related records.

This specification does not apply to GEOGIS and Ellipse information records, for which NR/L2/AIF/001, Asset Data Management, should be consulted.

3 Reference documentation

NR/L2/ELP/21070	Competence and Management and Assurance
NR/L2/AIF/001	<i>Asset Data Management</i>
NR/L2/INI/EDT/CP0091	<i>Computer Aided Design Drawing Specification</i>
NR/SP/INF/02202	<i>Records Management of Health and Safety Files</i>
NR/SP/SIG/11201	<i>Signalling Design – Production</i>
NR/L2/SIG/19607	<i>Management of Overlapping and Parallel Signalling Design</i>
NR/GN/SIG/11701 (TI146)	<i>Signalling Design: Production Guidance</i>
NR/L2/ELP/21120	<i>E&P Records Management Process</i>
NR/L3/INF/02236	<i>Scanning of Documentation</i>

4 Definitions

CAD

Computer Aided Design

Competence

The ability to perform activities to the standards expected within employment.

Deficiency

A non-conformity in the Infrastructure Records which renders the quality unacceptable, undetermined, or not according to specified requirements. e.g. Inadequacy, error, unsuitable media usage, duplication or gaps identified in the Infrastructure Records.

EDT

Engineering Design Technologies

Master Record

A fully signed copy showing the state of the current working infrastructure.

NRG

National Records Group

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Route Asset Manager

A nominated person within the Asset Route with the authority to manage assets including records and for the purpose of this document it also includes the HQ person with responsibility for standards and standard drawings.

Original Record

For the purpose of this standard, a record which is controlled and retained for making copies (prints / images or electronic) for distribution to users (it may not show the current state of the infrastructure).

Record

All information bearing media (including electronically stored data) created, received or modified in the course of carrying out the duties and functions of an undertaking, and subsequently retained by the undertaking or its successors as evidence, or as a reference source.

Records Custodian

The keeper of records on behalf of the Route Asset Manager or Standards Manager.

Safety Related Record

Details of the Infrastructure or Data which allow the Infrastructure to be managed safely.

Security Copy

Copy of the source record as issued, or copies of intermediate stages as retained by the Records Custodian. For electronic records, this may be a change in record status in the Electronic Records Management System.

Signalling, Telecoms and Electrification and Plant (STE&P) Record Centres

For the purpose of this standard, the term STE&P Record Centres means NRG Records Centre which holds records on behalf of the Signalling, Telecoms and Electrification and Plant disciplines.

Source Record

A record depicting the infrastructure which is used as the medium for change.

5 Roles and responsibilities (optional)

Network Rail Project Managers are responsible for

- Coordinating the listing of records required for projects to confirm that appropriate records are requested.
- Specifying which viewing and copying facilities the Contractor is to use in determining the Records needed to execute the design.
- Specifying that the Contractor shall be responsible for checking that design alterations are derived only from Records as issued by the Records Custodian.
- Specifying the document control system to be used by the Contractor for transmittal of documents.
- Specifying that records are produced using approved CAD software and media and format conventions to Network Rail EDT standards.

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- Specifying the control of movement of source records between contractors, contractor's locations and projects.
- Specifying that Network Rail may recall Source Records from the Contractor at any time.
- Specifying that Network Rail may audit contractors to verify compliance with this standard.
- Specifying the timescale for return to Network Rail by the Contractor of as-built final records.
- Specifying the inclusion of a statement that all appropriate maintenance copies of records have been supplied, when as-built records are returned to the Records Custodian at the completion of the contract.
- Confirming that relevant technical checks are carried out prior to the delivery of new/altered records to the Records Custodian.
- Confirming that records which are specified as a contract deliverable are delivered in full by contractors.

Records Custodians are responsible for

- Assessing the completeness of all records returned by the contractor.
- Advising Project Managers, Route Asset Managers and Contractors of the acceptance or rejection of returned records.
- Advising Project Managers and Route Asset Managers of records conflicts.
- Controlling the issue of records to authorised users.
- Providing guidance on the numbering of Alteration Summary Sheets.
- Maintaining a Records Deficiency List for the Telecoms and Electrification and Plant disciplines.
- Advising on records numbering, version control, and media.
- Advising on compatibility, format, and file numbering, CAD software as applicable to records management, and scanning watermarking issues.
- Issuing formal advice to design houses whenever changes to CAD software version is planned and implemented.
- Controlling and issuing on request, a CAD resource pack of standard borders and fonts.
- Advising on processes for the management of electronic systems data (York Data Records Centre).

Route Asset Managers are responsible for

- Managing asset records within an Asset Route.
- Authorising the viewing, copying, and release of records.
- Authorising the movement of Source Records outside the Contractor's organisation.
- Managing the resolution of records deficiencies for their discipline and assisting Project Managers in determining the most appropriate method of resolving such deficiencies.

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Professional Heads are responsible for

- Determining policy for the acceptance criteria for returned records and advising the Records Custodian accordingly.

Director Contracts and Procurement is responsible for

- Mandating the requirements of the standard on Network Rail Contractors through the contracting process.

6 Procedures

6.1 General

6.1.1 Records Collection

Any safety related records of the infrastructure which are gathered as a result of a records collection initiative shall be assessed by a suitable competent Engineer and approved by the Route Asset Manager before being forwarded to the NRG Record Centre for addition to the records collection.

The arrangements for the format and return of Health and Safety files supplied as a project deliverable are defined in NR/L2/INF/02202.

6.1.2 Competency

Holders of Safety Related Records of elements of the infrastructure shall confirm that only competent staff are employed in the management of such records. Where competence can not be assured suitable supervision shall be provided.

Staff who manage Safety Related Records of elements of the infrastructure are not deemed to be in Safety Critical Posts, for this reason the arrangements for competency detailed in NR/L2/ELP/21070, Competence and Management and Assurance, shall not apply to them. Therefore a record which shows that staff have received relevant process training, have an understanding of the requirements of this standard, and that their competence has been assessed and signed off by their manager shall be sufficient evidence of compliance for general records management (but not for alteration or design).

6.1.3 Use of Transmittals

Source Records, Master Records, Original Records and prints / images of such records shall be listed on a transmittal when distributed or temporary custodianship is transferred. Transmittals shall always be receipted to the originator so that an audit trail is maintained. Prints of records which are endorsed "Uncontrolled" or "Information Only" are exempt from the requirements of this paragraph.

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6.1.4 Records Status

Safety related records and copies of such records shall be endorsed in a manner that will confirm that their status is understood. (Examples of such endorsements are; Uncontrolled Copy, Information Only, Master Record, Maintenance Copy, CAD Correlation Copy, Testing Copy). Whenever such records are printed from electronic files, if they are not watermarked as part of the printing process the person carrying out the printing shall be responsible for endorsing the status on the print.

6.1.5 Records Planning

Project Managers shall prepare and maintain an up to date listing of their likely records requirements and submit this to the Records Custodian. When an investment proposal for an individual project is authorised, Project Managers shall advise the Records Custodian of the scheme proposal, timescale, and records which will be required.

The Records Custodian shall assess the listings of records requirements and advise the Project Manager and Route Asset Manager of any known records deficiencies (but see the next paragraph) or known scheme conflicts, as well as the current media of the records. Form QF 1401, Notice of Media Type and Availability of Records (or a computer generated printout), shall be used for this purpose.

For the Telecoms and Electrification and Plant disciplines, the Records Custodian shall submit a listing of deficiencies and send this to the Project Manager within 10 working days of receipt of their requirements. For the signalling discipline the Project Manager shall contact the relevant Route Signalling Design Group Manager for advice on deficiencies.

The Project Manager shall determine how the deficiencies, as listed by the Records Custodian, shall be resolved. To do so, they shall consult the Route Asset Manager and Records Custodian to agree and record the method to be used.

Project Managers shall prepare a list of records required to enable organisations to submit a tender. Project Managers shall forward this to the Records Custodian not less than 28 days prior to the issue of invitation to tender for a project. Form QF 909, Authorisation to Browse, shall be used for this purpose.

The Records Custodian shall make available records and known deficiencies information (but see above with regard to Signalling) to the tenderers as identified in the listing provided by the Project Manager. If copies of records are required, these shall be requested as specified below.

6.1.6 Specification for Records

Details of the general specification for records, such as numbering and format, are at Appendix A.

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6.1.7 Specification for Computer Aided design (CAD)

Details of the specification for the delivery of CAD are at Appendix B. For formats for the Electrification and Plant disciplines NR/L2/INI/EDT/CP0091 (Computer Aided Design Drawing Specification) shall be followed.

6.1.8 CAD Drawing Standards

Details of a specification for drafting CAD are at Appendix C. For formats for the Electrification and Plant disciplines NR/L2/INI/EDT/CP0091 (Computer Aided Design Drawings Specification) shall be followed.

6.1.9 Records Scanning

The responsibility for verifying the quality of scanned images rests with the custodian or temporary custodian of the records to be scanned. Examples of such delegated responsibility are

- Design Houses, when records are scanned as part of the design process.
- NRG Record Centres, when records are scanned for distribution to customers.

For the specification for scanning records NR/L3/INF/02236 (Scanning of Documentation) shall be followed.

6.1.10 Specification for Electronic Records Files

A specification for describing electronic records files placed in an Electronic Records Management System is at Appendix C.

6.2 Requests to Browse

6.2.1

Where the technology is available, browsing of electronic records may take place remotely, where this is not possible Record Centres shall provide facilities for authorised applicants to browse records. Whenever remote browsing is provided, any prints of records available from such browsing shall be watermarked to show their status.

6.2.2

Applicants wishing to browse records shall complete the form QF 909, Authorisation to Browse and, after gaining approval by the Project Manager, forward the form to the appropriate Record Centre.

6.2.3

The Record Centre shall contact the applicant within 2 days of receipt of the QF909 to arrange a date for browsing.