

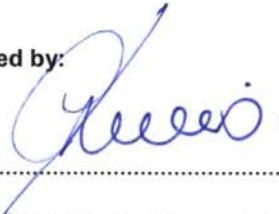
Ref:	NR/L3/INF/02204
Issue:	3
Date:	03 December 2011
Compliance date:	03 March 2012

Level 3

Controlled Publications - Process and Accountabilities

Endorsement and Authorisation

Endorsed by:



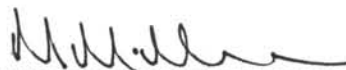
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Published and Issued by Network Rail, Kings Place, 90 York Way, London. N1 9AG.

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User information

This Network Rail standard contains colour-coding according to the following Red–Amber–Green classification.

Red requirements – *No deviations, could stop the railway*

- **Red requirements shall** always be complied with and achieved.
- Red requirements shall be presented in a red box **with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of red requirements lies with the Professional Head/Standard Owner.
- Red requirements are monitored for compliance.
- Corrective actions shall be enforced if deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Amber requirements – *Controlled deviations, approved risk analysis and mitigation*

- **Amber requirements shall** be complied with unless deviation has been approved in advance.
- Amber requirements shall be presented with an amber sidebar **and with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of these requirements lies with the Professional Head/Standard Owner, or their nominated Delegated Authority.
- Amber requirements are monitored for compliance.
- Deviations **may** be permitted. Deviations are approved by the Standard Owner or through existing Delegated Authority arrangements.
- Corrective actions shall be enforced if **non-approved** deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Green – *Guidance*

- Guidance is based on good practice. Guidance represents supporting information to help achieve **Red** and **Amber** requirements.
- Guidance shall be presented with a dotted green sidebar **and with the word “should” (usually in notes) or as a direct instruction**.
- Guidance is **not mandatory** and is not monitored for compliance.
- Alternative solutions may be used. Alternative solutions do not need to be formally approved.
- Decisions made by a competent person to use alternative solutions should be backed up by appropriate evidence or documentation.

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Issue record

Issue	Date	Comments
1	June 2006	New specification
2	June 2008	Reissue
3	December 2011	Changed to Level 3

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 03 March 2012.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

NR/L2/INF/02203 Controlled publications - Issue and receipt

NR/GN/INF/00850 Document control handbook

NR/L2/INF/02204/M001 Controlled Publications List

NR/L2/INF/02204/M002 Application for controlled distribution of a publication

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1 Purpose

This standard provides a process to demonstrate that recipients have been issued with, received and acknowledged Controlled Publications. It is part of a family of standards that includes NR/L2/INF/02203, Controlled publications – Issue and receipt.

2 Scope

This Network Rail standard specifies the management process for Controlled Publications.

It specifies requirements for:

- issuing, distributing and receiving Controlled Publications;
- monitoring the provision and receipt of Controlled Publications via a Controlled Publications Acknowledgement;
- maintenance of the Controlled Publications List.

It specifies controlled issue and acknowledgement of both electronic and hard copy Controlled Publications, where applicable.

3 Roles and responsibilities

Controlled Publications Distributor/Publications Assistant (CPD/PA)

The point of issue of a Controlled Publication.

The CPD/PA:

- manages the controlled distribution of publications;
- maintains lists of recipients and delivery points;
- monitors the return of Controlled Publications Acknowledgements;
- produces Controlled Publications Acknowledgement status reports.

Corporate Records Manager

The Corporate Records Manager owns the process.

Document Control Manager (DCM)

The DCM is responsible for the control, operation and maintenance of the Headquarters Information Centre.

The Document Control Manager:

- is responsible for the process of distribution of Controlled Publications detailed in Controlled Publications List;
- maintains the Controlled Publications List within the Controlled Publications Database (CPdB);
- consults with the Functional Publications Manager;
- leads the process for updating the Controlled Publications List.