

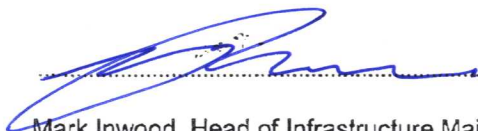
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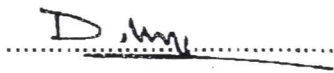
National Core Audit Programme (NCAP) – Maintenance Delivery Unit Audits

Endorsement and Authorisation

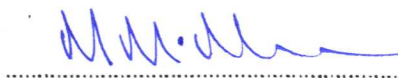
Endorsed by:


Mark Inwood, Head of Infrastructure Maintenance
Compliance & Assurance

Authorised by:


Dave Wynne, Head of Infrastructure Maintenance
Strategy

Accepted for issue by:


Mick McManus, National Standards Manager

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Issue record

Issue	Date	Comments
1	Oct 2005	First issue
2	June 2008	Re-formatted to latest NR template. Amended for 2A re-organisation
3	December 2008	Replaces and enhances previous maintenance audit procedures, NR/L3/MTC/MG0043, NR/L3/MTC/MG0044 and NR/L3/MTC/MG0045. Reviewed for Phase 2A / Engineering reorganisation responsibility change.

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 01 March 2009.

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.

Reference documentation

NR/SP/ASR/036 Network Rail Assurance Framework

NR/L2/AMG/STP001 Network Rail Standard Management – Process Requirements

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1 Purpose

This standard establishes the arrangements for the Maintenance Delivery Unit Audits within the National Core Audit Programme (NCAP).

2 Scope

Infrastructure Maintenance Delivery Unit Audits are compliance audits against group and company standards and Network Rail's Health & Safety Management System. Each audit is split into four disciplines; Management Systems, Track, Signalling & Telecomms and Electrification & Plant.

The standard applies to all Infrastructure Maintenance and Engineering resources undertaking Delivery Unit audits and all Delivery Unit staff subject to audit.

Engineering verification is a separate process and is outwith the scope of this standard.

3 Roles and responsibilities

Lead Auditor

The auditor responsible for leading the audit, delivering the Management Systems audit and facilitating the Technical audits.

Technical Expert

For the purposes of this standard, a person(s) with the appropriate engineering expertise, assigned by Engineering Maintenance Support to undertake the audit.

Responsible Manager

The senior manager responsible for accepting and actioning NCRs raised. In the Delivery Unit, this shall be the Infrastructure Maintenance Delivery Manager.

Support Auditor

A member of the Infrastructure Maintenance audit team appointed to assist the Lead Auditor in the delivery of the Management Systems audit.

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RACI DETAILS	KEY CONTROL ACTIVITY	Resources												
		Head of IM Compliance & Assurance	IM Audit Manager	Lead Auditor	Support Auditor	National Maintenance Engineer	Technical Expert	Professional Head	Principal Policy & Standards Engineer	Route Infrastructure Maintenance Director	IM Compliance & Assurance Advisor	IM Delivery Manager	Delivery Unit Engineer	Auditee
Process Task														
5		A	R					C	R					
6			A/R	I	I	R	I							
7		A	R	I	I	C	I							
8.1			A/R	I	I	I	I			I		I		
8.2				A/R			R						R	
8.3				A/R								R		
8.4				A/R	I		R					C	C	I
8.5				A/R	I		I							
9.1	X			A/R	R		R							
9.2				A/R	R		I					R	I	
9.3				A/R	R		R					I		I
9.4				A/R	R		R				C	I	R	
9.5	X			A/R	R		R					R	R	
10.1				A/R	R		R							
10.2			I	A/R			R					I	I	
10.3	X		I	R			R					A	C	C
10.4			I	A/R										
10.5			A	R	I		I					R	I	
10.6		A	R	C			C					R	C	
10.7				A/R			R							
11.1	X		I	A/R			R					I	I	
11.2		A	R	C			C					R	C	
11.3		A	R	C			C					I	I	
12.1	X		A	R	C							C		
12.2				A			R						C	
12.3			A	R										
13			A	R										
14			I	A/R										
end RACI														

Table 1 – Audit responsibilities

NOTE RACI is a means of linking process steps to roles as follows:

R – Responsible: the individual(s) who perform an activity – responsible for action/implementation – although usually only one, Rs can be shared

A – Accountable: the individual who is ultimately accountable including yes/no decision and power of veto – only one 'A' can be assigned

C – Consulted: the individual(s) to be consulted prior to a final decision being made or action taken – two way communication

I – Informed: the individual(s) who need to be informed after a decision is made or action is taken – one-way communication

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4 Definitions

Non-Conformance Report (NCR)

A form used to report a non-conformance where there is evidence of a failure of a process or system or where there is evidence of a breakdown of the management system.

major NCR

A major NCR is justified when the Lead Auditor/Auditor judges that there is potentially significant risk to safety or the environment, or where there is an absence of necessary control arrangements that could lead to significant risk.

minor NCR

A minor NCR is justified when the Lead Auditor/Auditor judges that there are one or more lapses in complying with the specified requirements that warrant corrective action, but the non-conformance does not give rise to a potentially significant risk.

Observation

A statement used to draw attention to good practice or describe circumstances where there is room for improvement, but insufficient evidence exists to justify raising a non-conformance report.

National Core Audit Programme (NCAP)

The annual programme of audits which can impact on safety, including Health & Safety Management Systems audits, special topic audits and cross-functional audits.

National Integrated Audit Database (NIAD)

The system used to capture and monitor details of audits and resulting corrective and preventive actions.

corrective action

The immediate action required to address the non-conformity.

preventive action

Longer-term action required to prevent re-occurrence of the non-conformity.

5 National Core Audit Programme (NCAP)

The Head of Corporate Assurance and Accident Investigation develops an annual National Core Audit Programme (NCAP) with each function for agreement every year by the Tactical Safety Group.

The Infrastructure Maintenance Audit Manager shall prepare, and the Head of Infrastructure Maintenance Compliance and Assurance shall agree, the audits to be undertaken within Infrastructure Maintenance for the year's National Core Audit Programme. This shall be at a frequency that reflects the significance of the risks associated with the non-delivery of the activity.