

Ref:	NR/L3/MTC/MG0194
Issue:	3
Date:	3 rd March 2012
Compliance date:	2 nd June 2012

Level 3

Management of 3rd party complaints

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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 2008	First issue
2	January 2010	Aligned process to current working practices, and included, for high priority complaints 14 day and all others 20 day targets
3	March 2012	Revised to improve alignment with current working practices.

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 2nd June 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.

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1 Purpose

The purpose of this standard is to set out how Infrastructure Maintenance (IM) consistently manage 3rd party complaints

2 Scope

This Network Rail standard specifies requirements for 3rd party complaints received by Infrastructure Maintenance (IM) and their staff with a responsibility for progressing related requests. The Standard also highlights the dependencies IM have on other departments, like Liabilities, to fully resolve complaints.

3 Roles and responsibilities

RACI DETAILS	KEY CONTROL ACTIVITY	Resources					
		Network Rail National Helpline	Route Community Relations Team	Infrastructure Maintenance Protection Co-ordinator	Responsible Manager	Infrastructure Services Manager	
Process Task							
5.1		A/R					
5.2		A/R	I				
5.3.1			A/R				
5.3.2			A/R	I			
5.3.3				A/R			
6.			I	A/R			
6.1				A/R	I		
6.2					R		
6.3				I	R	C	
6.4				I/R	R		
6.5			C/R	C/R			
6.6				I	R		
6.7			I	R			
6.8			A/R				
end RACI							

Table 1 – RACI

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 Abbreviations and Definitions

4.1 Abbreviations

IM	Infrastructure Maintenance
CR	Community Relations
CRMD	Oracle Customer Relationship Management database
IMPC	Infrastructure Maintenance Protection Coordinator
NR	Network Rail
RM	Responsible Manager
SR	Service Request
RCRM	Route Community Relations Manager
RCRT	Route Community Relations Team
WAIF	Work Arising Identification Form

4.2 Definitions

Competent Person

An individual with the correct skills, competence and certification to carry out the task they need to complete, as defined by the relevant Engineering Standards.

Ellipse

Network Rail asset management system used to plan and record Infrastructure Maintenance work.

Exceptional Circumstances

Exceptional Circumstances are complaints that cannot be resolved in 20 days.

NOTE Some examples of where Exceptional Circumstances occur are; procurement delays, ordering specialist plant or equipment, difficult site access or conditions, bird nesting season, road closure, unable to contact the Complainant, weather, boundary ownership disagreements.

Immediate Action

The action necessary to make safe the condition reported within specified Standards and timescales.

Oracle Customer Relationship Management Database

Database used to record, track and manage the resolution of an issue from a 3rd party.

Miscellaneous Task

A 'task' raised in Oracle Customer Relations Management Database by the IMPC for the Route Community Relations Team to review and update the 3rd Party.

Reputational Impact

Non statutory work that if not undertaken will damage Network Rail's corporate reputation