

Ref:	NR/L3/MTC/MG0221
Issue:	3
Date:	6 June 2015
Compliance date:	5 September 2015

Level 3

Network Operations non-operations staff management self assurance procedure

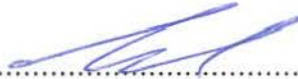
Endorsement and Authorisation

Endorsed by:



P Halliwell, Working Group Technical Lead

Authorised by:



G Goswell, Steering Group Chair

Accepted for issue by:



M McManus, National Standards Manager

This document is the property of Network Rail. It shall not be reproduced in whole or part nor disclosed to a third party without the written permission of Network Rail.

© Copyright 2015 Network Rail.

Uncontrolled copy once printed from its electronic source.

Published and Issued by Network Rail, One Eversholt Street, London. NW1 2DN.

Ref:	NR/L3/MTC/MG0221
Issue:	3
Date:	6 June 2015
Compliance date:	5 September 2015

User information

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

Red requirements – *No variations, 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 variations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

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

- **Amber requirements shall** be complied with unless variation 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.
- Variations **may** be permitted. Variations are approved by the Standard Owner or through existing Delegated Authority arrangements.
- Corrective actions shall be enforced if **non-approved** variations 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.

Ref:	NR/L3/MTC/MG0221
Issue:	3
Date:	6 June 2015
Compliance date:	5 September 2015

Issue record

Issue	Date	Comments
1	December 2010	Initial issue
2	June 2012	Updated following post implementation review to include IMSMs and WHSEAs and to reduce the frequency of [Discipline] Maintenance Engineers and Section Managers
3	June 2015	Updated to incorporate Works Delivery and Network Operations Delivery Services and to reflect various organisation changes since issue 2. Reference to forms updated to reflect amended approach to self-assurance (core suite of risk topics covered and remainder of checks to be determined by the manager).

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 5 September 2015.

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/SP/ASR/036	Network Rail Assurance Framework
SMF/MG/443	Track Maintenance Engineer Activity self-assurance
SMF/MG/444	Section Manager [Track] Activity self-assurance
SMF/MG/445	Rail Management Engineer Activity self-assurance
SMF/MG/446	Section Manager Off Track Activity self-assurance
SMF/MG/447	Signal & Telecoms Maintenance Engineer activity self-assurance
SMF/MG/448	Section Manager [Signals] activity self-assurance
SMF/MG/449	Maintenance Engineer [E&P] activity self-assurance
SMF/MG/450	Section Manager [Conductor rail] activity self-assurance
SMF/MG/451	Section Manager OLE activity self-assurance
SMF/MG/452	Section Manager [D & P] activity self-assurance
SMF/MG/453	Infrastructure Maintenance Engineer activity self-assurance