

Ref:	NR/L3/OCS/043/1.5
Issue:	2
Date:	04 December 2010
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National Control Instructions

Section 1.5

Audit

This section contains

1.5.1	Company Specification NR/SP/OPS/043/2006
1.5.2	ATOC – GPG: Integrated Control Centres: Business Process Manual

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1.5 Audit

1.5.1 Company Specification NR/SP/OPS/043/2006

- 1.5.1.1 This Company Specification mandates that the use of Network Rail National Control Instructions, their Approved Codes of Practice, (Route) Control Instructions and Company Instructions which apply at each Control Office location, derived thereof, will be subject to audit by Network Rail HQ function.
- 1.5.1.2 Compliance with National Control Instructions, Approved Codes of Practice and all Company Instructions which apply at a Control Office location shall be a subject of the functional audit plan carried out by the Operations Audit team.
- 1.5.1.3 The audit will be determined based upon risk ranking of the activities and will be specifically remitted to confirm compliance with the (Route) Control Instructions, instructions derived from the National Control Instructions and ACOPs, however not the high level source documentation, i.e. Railway Group Standards, Legislation and Company Standards and Procedures copies of which are not available at the location.
- 1.5.1.4 The frequency of the Integrated Audit (ENCAP) will be determined by risk, and will be authorised by the Director, Operational Services and endorsed by TSG (Tactical Safety Group).
- 1.5.1.5 Network Rail Operations Services will conduct audits in accordance with the procedures laid down in the Operations Manual. In addition the Manual details an internal process for self-certification.

1.5.2 ATOC – GPG : Integrated Control Centres: Business Process Manual

- 1.5.2.1 Each ICC will have an agreed joint audit protocol for the Business Process Manual and the National Control Instructions. A matrix of items will be identified appropriate to business and safety risk. All parties within the ICC will be invited to participate, in any Control Office audit. The results of such audit will be shared with all participants.