

Information for users

To access individual modules referenced within this standard, blue active links are provided from the relevant index pages where these are listed. Clicking on a specific reference will lead to the corresponding document. Please ensure to open **bookmarks** for easier navigation within the document and to access **index of modules**.

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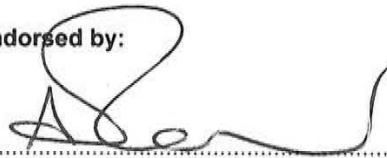
Ref:	NR/L3/OCS/043
Issue:	18
Date:	07 March 2015
Compliance date:	07 March 2015

Level 3

National Control Instructions

Endorsement and Authorisation

Endorsed by:



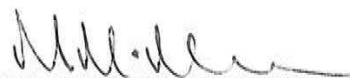
T Raine, Working Group Chair

Authorised by:



G Goswell, Steering Group Chair

Accepted for issue by:



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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.

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Issue record

Issue	Date	Comments
7	December 2009	Reissue as part of quarterly procedure
8	March 2010	Reissue as part of quarterly procedure
9	June 2010	Reissue as part of quarterly procedure
10	September 2010	Reissue as part of quarterly procedure
11	December 2010	Reissue as part of quarterly procedure
12	June 2011	Reissue as part of quarterly procedure
13	September 2011	Reissue as part of quarterly procedure
14	December 2011	Reissue as part of quarterly procedure
15	March 2012	Reissue as part of quarterly procedure
16	June 2012	Reissue as part of quarterly procedure
17	December 2012	Reissued during the Standards Moratorium as a result of June 2012 Rule Book updates
18	March 2015	Reissue as part of quarterly procedure

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 07 March 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

See individual sections of NCIs.

Disclaimer

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1 Purpose

These instructions provide the standards and the processes for a consistent application of Control Instructions across all Network Rail Control Offices and align procedures with the ATOC Good Practice Guide and Control Centres' business process manual to facilitate common documents at all ICC or Co-located controls.

2 Scope

The instructions apply at all Network Rail Controls [ICCS] and the National Operations Centre. In addition they will be made available to Train Operators. At fully integrated ICCs e.g. the Wessex Integrated Control Centre (WICC) a set of instructions will be produced from the NCIs specific to that location in accordance with the ICC agreement.

3 Roles and responsibilities

Shown in individual sections of NCIs.

4 Definitions

4.1 Network Rail Specification: National Control Instructions

The Specification that mandates the use of Network Rail National Control Instructions, their Approved Codes of Practice and Company Instructions which apply at each Control Office location, derived thereof.

The Specification sets out the process for the design of the Instructions, their implementation, and the arrangements for governance and compliance.

4.2 Network Rail National Control Instruction

A National Control Instruction produced as a functional procedure for all Network Rail Control Offices that are independent, co-located or part of a fully Integrated Control Centre with a Train Operating Company.

4.3 Network Rail Approved Code of Practice

A template methodology for the company instructions which apply at each Control Office location

4.4 Network Rail (Route) Control Instructions

Company instructions which apply at each Control Office location will be produced by Current Operations Managers from the template reflecting local factors.

4.5 Network Rail Company Instruction that applies at a control location

Specific instructions that apply only locally at that Control Location.

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4.6 GP006 ATOC Good Practice Guide Control Centres – Business Process Manual

This document is intended to give guidance to Train Operators on the processes and procedures which should be detailed in Service Delivery Centre / Control Office Business Process Manuals.

4.7 GP005 ATOC Good Practice Guide Control Centres – Management of Training and Controller Competence

This document is intended to give guidance to Train Operators on the selection, training and management arrangements which will assure the competence of Control Centre personnel.

4.8 Network Rail Route Control Manager

All references within these instructions or control instructions to a Route Control Manager apply to all other control manager positions out with the WICC. This includes Duty Control Managers and Control Duty Managers.

5 Arrangement / Process

5.1 Each Network Rail Route shall, review the National Control Instruction and Approved Codes of Practice, and produce a set of Control Instructions for each Control Office on that Route.

5.2 Each completed Control Instructions and any Company Instructions that apply at a control office location shall be provided to Network Rail HQ Operations Services Publications and Document Control, for formal issue as controlled documents to that Route.

5.3 Company Instructions that apply at a control office location shall be produced, reviewed and issued in accordance with the arrangements contained within section 10 of these instructions.

5.4 HQ Publications and Document Control will issue as controlled documents National Instructions at national level and will issue (Route) Control Instructions and supplementary Company Instructions through Route Document Control.

5.5 Control Instructions that apply at an ICC where there is a formal process to agree any joint instructions appertaining to the Train Operator or Instructions relating to specific functions that Network Rail carries out on the Operators behalf will be anomalous to that location.

5.6 Central distribution will enable the effects of any changes that impact upon all or some of the (Route) Control Instructions to be realised and acted upon, if necessary.

5.7 The Route shall, review the instructions with the Co-located Train Operator Control Element to either agree the implementation of any joint instructions at a full ICC and / or consult depending upon the arrangements at other types of Control Office.