

1 SCOPE

Managed Stations who are responsible for the implementation and delivery of Self Assurance.

2 PURPOSE

To mandate the framework and arrangements for Self Assurance at Managed Stations.

To mandate the process to complete period and quarterly returns to verify compliance with the Managed Stations Manual, the Health & Safety Management System and other company standards.

3 REFERENCE DOCUMENTATION

- [NR/SP/ASR/036](#) – Network Rail Assurance Framework
- [NR/L3/OCS/044](#) – Managed Stations Manual
- [NR/L3/OCS/044/FS-04A](#) – Assurance Frequency Matrix

4 DEFINITIONS

4.1 Self Assurance

The process of periodic or quarterly verification by line managers of compliance with the requirements of the Managed Stations Manual.

4.2 Operations Self Assurance Toolkit

Information management system to enable periodic and quarterly Self Assurance returns.

MANAGED STATIONS MANUAL

Procedure: MS-04

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SELF ASSURANCE PROCESS

5 RESPONSIBILITIES

	Director, Stations and Customer Service	Director Operational Services	Ops Principles & Standards Manager	Operations Development Manager	R/AGM	Station Manager	Shift Station Manager
Bi-annual Review	R	AR	R				
Brief Bi-annual Review		A	R		I	I	
Period End Self Certification					A	A	R
Quarterly Assurance Check			R	I	A	R	C
Raise Corrective Action Plans					A	AR	R
Close Corrective Action Plans					A	ARC	RC

R – Responsible for carrying out the task.

A – Accountable for seeing that the task is carried out

C – Consulted and provides input

I – Informed, no formal need for input

6 PROCESS

6.1 Period End Self Certification

- The Period End Self Certification check shall be completed as per **NR/L3/OCS/044/FS-04A Assurance Frequency Matrix**. Where an activity is not undertaken in a particular period due to it not being required, then the activity shall be recorded as compliant.
- The Period End Self Certification shall be submitted within seven working days of period end using the Operations Self Assurance Toolkit.
- Where any deficiencies are identified a Corrective Action Plan shall be developed and tracked.
- Corrective Action Plans shall be closed using the Operations Self Assurance Toolkit when the action has been completed.

6.2 Quarterly Assurance Check

- Period End Self Certification and Corrective Action Plans shall be reviewed as part of the Quarterly Assurance Check.
- The Quarterly Assurance Check shall be completed as per **NR/L3/OCS/044/FS-04A Assurance Frequency Matrix**. Where an activity is not undertaken in a particular quarter due to it not being required, then the activity shall be recorded as compliant.