

**1. PURPOSE**

This standard describes requirements and limitations to be applied before authorizing On-track Plant (OTP) to travel without a Machine/Crane Controller (MC/CC) on Network Rail managed Infrastructure (Send and Receive). This includes requirements and guidance in relation to the risk assessment when required as part of the planning process.

**2. SCOPE**

This standard applies when considering On-track Plant (OTP) traveling without a Machine/Crane Controller (MC/CC) on Network Rail managed infrastructure.

This standard is mandatory when the process of Send and Receive has been authorized for use.

**3. REFERENCES (INPUTS) / RELATED DOCUMENTS**

None Noted

**4. DEFINITIONS**

None Noted

**5. PROCESS**

**5.1 Conditions for travelling without a machine controller**

Travelling movements of OTP without a MC/CC may be undertaken where the route to be travelled over is not a sufficiently safe environment for the MC/CC, and the OTP being used is not able to accommodate the MC/CC.

**NOTE:** *The MC/CC may only travel on the OTP where the OTP or any vehicle attached to it has purpose made seating or a riding platform and its use is shown in the Engineering Compliance/Acceptance Certificate (EAC/ECC).*

OTP shall be allowed to travel within a possession in rail mode without the MC/CC, as long as:

- a) It has been shown to be safe by a risk assessment.
- b) Details are shown in the OTP plan and work package plans.
- c) The OTP Operator has been briefed on the arrangements and confirms his understanding of what is required of him regarding the send and receive process.
- d) The ES or PICOP has confirmed that no work activity has been authorised to take place on the portion of line required for the movement and that the line is clear for the movement of the OTP
- e) The movement shall not pass over any automatic level crossing, unless the crossing has been closed to road traffic.

**NOTE:** *Closed to road traffic means that the highway is closed under the New Roads and Street Work (NRSW) Act.*

- f) The OTP, any attached vehicle and any load being carried, is within the standard structure gauge
- g) Emergency equipment is available. This shall consist of:
  - At least 10 detonators
  - Two track circuit operating clips
  - A red flag and a hand lamp (which must be able to show a red aspect)
  - Any other equipment shown in the instructions for the OTP
- h) Communications (e.g. digital comms/ back to back radio) shall be provided between the OTP Operator and the MC/CC located at the termination of the movement authority, this shall be determined by the risk assessment and included in the TBS for the works.

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- i) The OTP operator has been given full details about the movement and briefed as described in section 6, including where the movement shall be stopped.
- j) A MC shall be located at the termination of movement authority before the dispatch takes place.
- k) The MC/CC at the termination (catch point) of the movement authority shall be clearly visible and displaying a stop hand signal to the OTP operator upon its approach.
- l) The MC/CC completes the Pre-travel checklist prior to implementing the send and receive process (see Appendix A)

### 5.2 Requirement to undertake a risk assessment and factors to be included

Before authorising an OTP to travel without a MC/CC in engineering possessions on Network Rail Managed Infrastructure a risk assessment shall be undertaken as part of the planning process.

The risk assessment shall take into account the following items:

- a) The route to be travelled over without a MC/CC shall be assessed during the planning process to determine its complexity. The level of complexity may be influenced by a number of factors (e.g. adjacent lines, S&C, signalling, tunnels, stations, gradients).
- b) Only non-complex routes shall be considered for travelling without a MC/CC (i.e. the briefing required should be sufficiently simple that the OTP Operator is able to gain a clear understanding of what is required after the face to face briefing from the MC/CC)
- c) Where points are to be traversed in the movement, arrangements shall be in place to verify that the points have been set and will remain in the correct position for the intended movement.
- d) If a load is being carried on a trailer:
  - the dispatching MC/CC shall confirm with the operator a complete inventory of the load and
  - the MC at the termination point shall check the inventory and confirm that all the load has arrived.
- e) The termination point of the movement authority shall be indicated by a significant infrastructure item (e.g. signal, station, signal box, level crossing)

Where the risk assessment has determined that the travel movement can take place without a MC/CC, the MC/CC shall be supplied with written instructions giving details of the arrangements and instructions in place. The MC/CC shall then brief the OTP Operator ensuring he understand the send and receive process and what is required of him.

The OTP Operator's briefing shall be supplemented by a diagram and/or written instructions unless the movement is over such a short distance that the diagram and/or written instructions will add no value to the briefing process. The same briefing is to be supplied to the MC/CC located at the termination of movement authority.

### 5.3 Requirements for the briefing of the OTP Operator by the MC/CC when OTP is to travel without a MC/CC in Network Rail engineering possession

*NOTE: This section is in addition to other general requirements for briefing the operator published in Rule Book Handbook 15.*

Before the commencement of the movement authority, a MC/CC shall fully brief the OTP Operator. The MC/CC shall confirm that the instructions have been fully understood.

The OTP Operator shall be briefed on all relevant issues pertinent to the movement as detailed below and be provided with a diagram and/or written instructions as defined by the Risk Assessment:

- a) Requirement to confirm the travel Slew Lock (where fitted) is engaged.
- b) Signals (including ERTMS block markers and shunt entry markers where provided and any instructions applicable).
- c) Signage (and any instructions applicable).

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- d) S&C (The OTP Operator shall be instructed to stop before passing over any points, including trailing, to check they are in the correct position before proceeding at 5mph).
- e) The location of level crossings (including user worked crossings), footpath crossing, and all associated instructions concerning the movement over these including the requirement to travel at 5mph. No movement shall pass over an automatic level crossing unless the crossing is closed to road traffic.
- f) Emergency arrangements.
- g) Communications.
- h) Speed authorised for the movement.
- i) If a load is being carried and what the load consists of.
- j) Adjacent lines and their operational status.
- k) The exact location where the unaccompanied movement can proceed to.
- l) Requirement not to move the OTP once it has arrived at its destination until authorised by the MC at the destination.

**6. DOCUMENTATION (OUTPUT)**

- PE352F01 – Pre-travel Checklist

**7. ISSUE RECORD**

Issue	Date	Comments
1	11/07/2016	New
2	06/04/2020	New Checklist added (PE352F01)

**8. WHAT HAS CHANGED IN THIS LATEST ISSUE AND WHY**

PE352F01 – Pre-travel Checklist has been introduced, to be completed by the ‘Sending’ MC/CC.

Minor amendments to section 5. c), 5.1 g) and 5.2 paragraph after point e).

**9. BRIEFING REQUIREMENTS**

All new employees will receive an introduction to the Integrated Management System (IMS) at induction, according to the nature of the role.

All employees with an email address receive the ‘Record of Revisions’ each month, which details changes to the IMS. All Line Managers retain the responsibility to ensure their staff are briefed on changes as appropriate.

The following table defines how revised issues of this document are briefed to existing employees according to related specific responsibilities.

This is determined using the ‘RACI’ principle. Those roles identified as ‘Responsible’ and ‘Accountable’ should receive a formal awareness briefing facilitated by the Document Owner.

Discipline	Role	RACI	Type of briefing
Engineering	Engineering Director	Accountable	Detailed
Project Management	Project Manager	Informed	Detailed
Delivery	Construction Manager	Informed	Detailed
Delivery	Site Supervisor	Informed	Detailed

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Discipline	Role	RACI	Type of briefing
Planning	OTP Planner	Responsible	Detailed
HSQES	H&S Manager	Consulted	Detailed

Competence	RACI	Type of briefing
POS Rep	Responsible	Detailed
Machine/Crane Controller	Responsible	Detailed

Document Control	Update
VR/POS Rep Pack	hard copy issue

## 10. IMS AUTHORISATION

### Document owner approval:

Jack Pendle, Engineering Director, 16/04/2020

### Approval for IMS:

Paula Roberts, IMS Coordinator, 16/04/2020

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