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# NR/L2/SCO/302

## Module 05

### Supplier Qualification – On Track Plant (OTP) Requirements

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## 1 Purpose

This document seeks to mitigate the risks that suppliers import when working on Network Rail Managed Infrastructure by setting out the management system and processes required for suppliers wishing to supply, operate or convert on-track plant.

## 2 Scope

This module specifies the requirements for supplier qualification.

It applies to:

- a) all Network Rail employees involved in the engagement of suppliers, regardless of their role.
- b) Suppliers who supply, hire, operate, maintain, overhaul, manufacture or convert on-track plant for use on Network Rail Managed Infrastructure, under the management of a Plant Operations Scheme (POS) supplier.

Suppliers who wish to be certificated under the On-Track Plant Operations Scheme, please refer to NR/L2/RMVP/0200/P521.

## 3 Organisation

### 3.1 Management Structure

#### 3.1.1 Objective

The objective is to establish an adequate organisational framework for the safe and efficient delivery of a contract. This includes the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts.

#### 3.1.2 Requirement

The supplier shall have arrangements in place for the safe delivery of On-Track Plant (OTP), including

- a) Documenting the organisational structure to demonstrate that it is adequate for OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities.
- b) Keeping the organisational structure and organisational charts current.
- c) Obtaining the acceptance of responsibilities from all post holders.
- d) Assessing risk, validating and briefing out material changes to the management system.
- e) possessing a licence or Licence exemption from the ORR to Operate rail mounted plant as per Section 6 of the Railways Act 1993.
- f) Registering all owned OTP assets on the National On-Track Plant Register in accordance with Rail Industry Standard RIS-1530-PLT.
- g) documenting procedures that cover key issues relating to the hire out/supply/maintenance of on-track plant.

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- Purchase of new machines
- Accreditation of maintenance plans
- Modification of machines
- Maintenance procedures
- Annual brake test procedure
- Rated Capacity Indicator (RCI) test procedure.

### 3.2 Document Control

The supplier shall establish a robust system to provide the following documentation is provided for each machine and trailer in use:

- a) Engineering Acceptance (all pages) and endorsements
- b) Network rail product acceptance or letter of exemption
- c) Record of Thorough Examinations
- d) Load radius charts (only for machines fitted with RCIs)
- e) Log book/operator inspection report book
- f) Brake test certificate

The supplier shall nominate a responsible manager/individual for document control.

### 3.3 Scope of Work

#### 3.3.1 Objective

The objective is to establish an adequate operational framework for the safe and efficient delivery of a contract. This includes the capability to deliver the service for the railway operating environment and the specific requirements of railway contracts.

#### 3.3.2 Requirement

The supplier shall have a documented system in place that identifies:

- a) Types and number of OTP owned, including their date of introduction.
- b) Types and number of OTP hired.
- c) Number of OTP operating hours per year.
- d) Details of all maintenance facilities.
- e) Details of all accidents and close calls in the last 12 months.

### 3.4 Responsible Roles

#### 3.4.1 Objective

The objective is to establish an adequate organisational framework for the safe and efficient delivery of a contract. This includes the imbedded capability to understand the railway operating environment and the specific requirements of railway contracts.

#### 3.4.2 Requirement

The Supplier shall appoint suitable personnel to manage the OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities. The supplier shall appoint personnel to undertake the following key roles in clauses 3.4.3 and 3.4.4.:

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### 3.4.3 Management of On-Track Plant

Responsible for OTP and the continued competence of all individuals involved in the work.

The person fulfilling this role shall be:

- a) Competent in managing the OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities.
- b) Responsible for assigning competent OTP personnel including Machine Operators, fitters and maintenance personnel etc.

### 3.4.4 On-Track Plant Engineering

Responsible for OTP engineering and the continued competence of all individuals involved in the work.

The person fulfilling this role shall:

- a. Be competent in the design, manufacture, maintenance and engineering change aspects of OTP engineering.
- b. Have been trained and assessed as competent in the use of the safety systems used on items of OTP that are owned directly by their employing Organisation or might be used in OTP operations;
- c. Be responsible for the product approval and engineering acceptance of OTP including engineering change.
- d. Where this role is sourced from an external organisation, the supplier shall identify a person within their Organisation to be responsible for liaising with the external organisation.

## 4 Monitoring of effectiveness of On-Track Plant

### 4.1 Objective

The objective is to confirm that the management systems are adequate and are being implemented satisfactorily, that the performance of employees and suppliers is at an appropriate level for the safe, effective and efficient delivery of OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities., and that the requirements are being fulfilled.

### 4.2 Requirement

The supplier shall have arrangements in place for the proactive and reactive monitoring of their own performance and that of their suppliers, including:

- a. Obtaining and collating their own and their supplier's monitoring data, e.g. site inspection reports, audits, accident reports etc
- b. Analysing and reviewing performance data and other key performance indicators (KPIs), including OTP reliability and the identification of trends.
- c. Conducting a management review (at least annually) of the supplier's processes and arrangements.
- d. Obtaining and reviewing their supplier's RICCL codes and audits.

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- e. Reviewing and discussing supplier performance with their suppliers.
- f. Identifying and closing out corrective actions and concessions in a timely manner.

## 5 Safety Risk Management

### 5.1 Communication and Coordination

#### 5.1.1 Objective

The objective is to share information on risk with interfacing organisations, and ensure that employees are suitably briefed, such that a co-ordinated approach to implementing risk control measures can be achieved.

#### 5.1.2 Requirement

The supplier shall have arrangements in place for identifying and seeking co-operation from interfacing organisations. The arrangements shall include:

- a) Accident/incident reporting arrangements including directly reporting accidents or incidents to NIR-online.
- b) Emergency and contingency planning arrangements.
- c) Arrangements for assessing and communicating information on risks etc. with the POS Provider.
- d) Demonstrating that essential communication and / liaison between all those involved in the work takes place as planned.

## 6 Supply Chain Management

### 6.1 Supplier and Subcontractor Management

#### 6.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to select and manage capable and competent suppliers of services to undertake work in a safe and efficient manner whilst paying due regard to the environment and quality of work delivered.

#### 6.1.2 Requirement

The supplier shall have arrangements in place for selecting and managing suppliers of services. The arrangements for selection shall include utilisation of a Network Rail approved supplier qualification scheme and/or the supplier's own demonstrably *equivalent* process for the assessment of suppliers.

These arrangements shall be fully documented and confirm:

- a) All OTP and attachments used on rail related contracts shall be Network Rail product approved and have a valid certificate of Engineering Conformance / Acceptance (where applicable).
- b) Only suppliers who hold the necessary RICCL product code are used to convert or upgrade any items on On-Track Plant.

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- c) Supporting services and goods utilised on rail related contracts are fit for purpose and are properly maintained, in a serviceable condition that meets the required standard of performance and reliability accepted by Network Rail.
- d) Plant, equipment and attachments shall only be operated by competent personnel.

## 7 Monitoring

### 7.1 Monitoring performance of OTP personnel

#### 7.1.1 Objective

The objective is to confirm that the performance of OTP personnel and maintenance staff is at an appropriate level for the safe, effective and efficient delivery of the service, and that requirements are being fulfilled on site.

#### 7.1.2 Requirement

The supplier shall have arrangements in place for proactive and reactive monitoring and analysis of the performance of employed and hired in staff. The arrangements shall include:

- a) Compliance with operational arrangements.
- b) Plant preparation.
- c) Machine operating data analysis.
- d) Action when non-compliance is identified.
- e) Frequency of monitoring.
- f) Posts responsible for monitoring.

### 7.2 Special monitoring of staff that are either newly qualified or poorly performing

#### 7.2.1 Objective

The objective is to confirm that the performance of OTP personnel and maintenance staff that are newly qualified or performance issues have been identified are being managed.

#### 7.2.2 Requirement

The supplier shall have arrangements in place for proactive and reactive monitoring and analysis of the performance of employed and hired in staff that are new or where performance issues have been identified. The arrangements shall include:

- a) Detailing the criteria for instigating special monitoring.
- b) Identifying what additional monitoring is to be carried out.
- c) Establishing additional controls that may be required.
- d) Detailing the criteria for ending any special monitoring.

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## 8 Plant and Equipment

### 8.1 OTP Acceptance and Maintenance

#### 8.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to demonstrate that items of OTP are technically sound, fit for purpose and safe to use in the intended application.

#### 8.1.2 Requirement

The supplier shall have arrangements in place for checking that OTP plant falling into the scope of RIS-1530-PLT is approved prior to use.

These arrangements shall be fully documented and include:

- a) Network Rail product approval, or approval exemption.
- b) Engineering conformance / acceptance of OTP.
- c) A process for managing engineering Change following OTP modification or upgrade.
- d) Development and implementation of maintenance instructions for each type of OTP.
- e) Provision of suitable and sufficient maintenance facilities.
- f) Control of maintenance periodicity.
- g) Monitoring and reporting of maintenance performance.
- h) The regular review of maintenance instructions and a process for amending or updating maintenance instructions.
- i) Maintenance of Safety Critical systems (e.g. RCI calibration).
- j) Implementation of these requirements for hired in OTP through assurance and monitoring.
- k) Maintaining an up to date register of all OTP subject to these arrangements.

### 8.2 OTP Reliability

#### 8.2.1 Objective

The objective is to confirm that the supplier understands the reliability of its plant and has arrangements in place to monitor reliability and plan for the improvement where required.

#### 8.2.2 Requirement

The supplier shall have arrangements in place for monitoring the reliability of their OTP and planning for improvement where needed. These arrangements shall be fully documented and include:

- a) A reporting system in use to report faults accurately and in a timely way.
- b) A reliability improvement plan to detail proactive efforts in overcoming reliability issues and show any actions planned or taken to overcome OTP reliability issues.



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- c) Analysis of reliability data collected to support continuous improvement against performance criteria.
- d) Actions taken to minimise damage during transit to ensure OTP remains fit for purpose prior to the start of work.
- e) Actions taken to ensure that all attachments supplied are properly cared for when not in use, providing additional safe/clean stowage where necessary.
- f) Where there is a need for an on-site fitter to be available throughout the work a contingency spares/tools pack of commonly used items is available.

## 9 Human Resources including Occupational Health Management

### 9.1 Competence Management

#### 9.1.1 Competence management of employed personnel

##### 9.1.1.1 Objective

The objective is to confirm that the supplier has arrangements in place to maintain the competence and fitness of their employees involved in OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities.

##### 9.1.1.2 Requirement

The competence management system shall meet the requirements set out in NR/L1/CTM/001 and include:

- a. determining the specific competence requirements for OTP personnel including maintainers and logistics staff.
- b. selection of new OTP personnel including maintainers.
- c. provision of training on the use and maintenance of OTP.
- d. training and /briefing on the risks associated with OTP.
- e. re-assessing competence periodically and retraining following identification of poor performance.
- f. awareness of behaviour-based safety for OTP personnel.

#### 9.1.2 Competence management of hired in personnel

##### 9.1.2.1 Objective

The objective is to confirm that the supplier has arrangements in place to maintain the competence and fitness of their hired-in staff involved in OTP supply, hire, operation, maintenance, overhaul, manufacture or conversion activities.

##### 9.1.2.2 Requirement

The competence management system shall meet the requirements set out in NR/L1/CTM/001 and include:

- a) Assuring themselves of the competence of the individual prior to use.
- b) Sharing performance data with the hired in staff's employer.