

RAILTRACK

Safety & Standards

Briefing Notes for: **Defective On-Train Equipment and Approved Code of Practice: Defective On-Train Equipment**

Document No: **GO/RT3437 Issue: 3**
GO/RC3537 Issue: 1

Subject Committee(s) **OSSC**

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Initial Compliance Date **December 2000**

BACKGROUND

In early 1999, it was recognised that whilst the previous issue of GO/RT3437 had sought specifically to address issues relating to defective and isolated AWS, there was a need for a wider review of the conditions under which trains may operate in service, and enter service, with defective on-train equipment, and to incorporate all relevant On-Train Systems within the scope of the Standard. There was also a need to review the corresponding entries in the Rule Book.

These documents along with changes to the Rule Book (which will be briefed separately) are the result of the wider review. In addition to the normal consultation process, they have been subject to a series of workshops which were arranged to give members of the Railway Group the opportunity to have a two way discussion about the proposed changes.

KEY CHANGES INTRODUCED BY THESE DOCUMENTS

Issue 3 of GO/RT3437 is now entitled “Defective On-Train Equipment”, and covers trains or vehicles entering service, as well as those already in service. The items of On-Train Equipment included in its scope are listed in an Appendix to the document, but provision is made for Train Operators to include in their Contingency Plans any additional items of equipment fitted to specific rolling stock fleets.

A number of definitions have been revised to give greater clarity, and some new definitions have been added. In order to remove doubts about when a train or vehicle is in service, the definitions of “In Service” and “Out of Service” have been revised, and now relate to a new definition of “Journey”. A new definition of “Maintenance Depot” has also been provided, and all other locations are now referred to by the phrase “other than a maintenance depot”. The previous Rule Book definitions of “Action A” and “Action B”, which allowed performance implications to be considered, have been removed, and taking a train or vehicle out of service is now based solely on the risks involved; the detrainment of passengers is considered separately. New definitions have been included for “Next Available Location”, which defines places to which trains may proceed in order to be taken out of service, or where other action can be taken to deal with the defective equipment, and for “First Suitable Station”, which defines stations where passengers may be detrainment. The Standard does not include the circumstances in which a train or vehicle may enter service with Defective On-Train Equipment, or the measures to be taken when a train or vehicle enters service with Defective On-Train Equipment or when Defective On-Train Equipment is discovered on a train or vehicle in service – these are contained in the Rule Book.

In order to ensure a more consistent approach by Train Operators to producing Contingency Plans, the new standard specifies in greater detail the elements that should form part of the Plan, and requires a review every 3 years, or whenever there is a significant change in the train service or rolling stock being operated.

The Standard introduces a new requirement for the Infrastructure Controller to consider the application of additional signal operating controls, such as double block working, when certain items of equipment become defective.

Finally, the Standard requires Contingency Plans to be compiled by competent staff, and Infrastructure Controller to ensure the competence of staff who consider and agree Contingency Plans.

In association with the new Standard, a Railtrack Approved Code of Practice, GO/RC3537, has been prepared. It reiterates the mandatory requirements contained in the Standard, provides a suitable and sufficient way of meeting those requirements and provides guidance to those preparing and agreeing Contingency Plans. The guidance covers the items of On-Train Equipment within the scope of the Standard; and indicates the urgency with which action should be taken in respect of trains or vehicles with Defective On-Train Equipment, and when passengers should be detained.

COMPLIANCE REQUIREMENTS

The provisions in the Standard are to be complied with from 2nd December 2000. This means that Contingency Plans must be agreed and in place by this date and therefore work on reviewing the current Contingency Plans should start as soon as possible. The Rule Book supplement to be introduced in December 2000 will contain the associated requirements, and the specific sections will be made available in August 2000 to assist in briefing staff and the production of the Contingency Plans.