Deviation Certificate

(In accordance with the Railway Group Standards Code, Issue Four, part 7 and the Standards Manual, part 16)

Deviation number: 16-120-DEV

1. Problem statement
Network Rail is proposing a change to the current requirements mandated for a signaller and Safe Work Leader (SWL) / Controller of Site Safety (COSS) / Individual Working Alone (IWA) to have a line blockage when making a request to cross the line, and at certain further defined locations whilst crossing bridges and viaducts, from one place of safety to an adjacent or opposite place of safety. It is the intention to apply this proposal at only this prescribed limited number of locations. This includes continuing the previous trials within the Leeds Delivery Unit within London North Eastern (LNE) route and East Midlands (EM) route and prescribed locations within London North Western (LNW) route. Anglia and Wales routes are now finalising the locations identified that have limited access either through sighting issues or train timetable pathways, to apply this process.

2. Title of deviation certificate
Trials of a simplified ‘Crossing the line procedure’.

3. What is the requirement you can’t comply with?

<table>
<thead>
<tr>
<th>Requirement Number:</th>
<th>Document Number:</th>
<th>Issue Number:</th>
<th>Issue Date:</th>
<th>Title of document:</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>GERT8000-HB20</td>
<td>Two</td>
<td>05/09/2015</td>
<td>General duties of a safe work leader (SWL) working outside a possession</td>
</tr>
</tbody>
</table>

3.1 Work group at risk from trains
If the activity could be carried out using lookout or equipment warning but neither is available, the line concerned must be blocked or another safe system used.

4. Why can’t you comply with the existing requirement?
This temporary deviation is to remove compliance with the requirements for signaller and SWL / COSS / IWA to complete Forms RT3180 and RT3181 respectively at the prescribed and risk-assessed locations. It is also to withdraw the requirements to place signals to danger as a form of protection when a suitable margin has been agreed to cross the line. The process will be recorded by using a form similar to that used for a user worked level crossing. The additional control of all communication from the SWL / COSS / IWA to the controlling signaller will be via GSM-R system. The GSM-R line will remain open from initial request through to reaching the position of safety after crossing the line.
If the GSM-R handset is unavailable, then a standard mobile smart-phone can be used, if there is three-bar or more signal strength at the location (which must be checked prior to requesting to use the process).

As the current requirements are for signallers and SWL / COSS / IWA to complete the RT3180 and RT3181 forms, this creates a disproportionately lengthy process that, in fact, is an activity of a very short duration. It creates missed opportunities to carry out a simple activity.

This also drives a poor safety culture where groups can potentially split up and cross the open line individually due to the difficulties in obtaining a line blockage.

The current requirement is to plan the line blockage but, as previously mentioned, the group may have to wait for a prolonged time track side or cross the line individually to regroup again once the line has been crossed. Observed evidence indicates that a group may have to wait 30 minutes to get a line blockage to cross the line.

The project team is asking for a further 12 months to continue the trials, and expand locations, where requested, to consider appropriate bridges and viaducts.

5. Where can’t you comply with the requirement?
National.

6. What are you proposing to do instead of the existing requirement?
Network Rail is proposing a change to the current requirements mandated for a SWL / COSS / IWA to have a line blockage when making a request to cross the line, and at certain further defined locations whilst crossing bridges and viaducts, from one place of safety to an adjacent or opposite place of safety. It is the intention to apply this proposal at only this prescribed limited number of locations. This includes continuing the previous trials within the Leeds Delivery Unit within London North Eastern (LNE) and East Midlands (EM) routes and prescribed locations within London North Western (LNW) route. Anglia and Wales routes are now finalising the locations identified that have limited access either through sighting issues or train timetable pathways, to apply this process.

The proposal does not look to change the requirements to plan a Safe System of Work (SSOW) that may include these identified locations but, due to the disproportionate time taken to complete the signallers and SWL / COSS / IWA documentation, which at times can take up to 20 minutes or more, for a short activity. A maximum of four lines are allowed to be crossed using this process, or defined structure such as a bridge or viaduct from one place of safety to an adjacent or opposite place of safety, as long as the persons have been briefed on using this process and the maximum time needed (between 60 to 90 seconds) is not exceeded, and be in a position of safety.

The current rules mandate that the signaller and SWL / COSS / IWA must record details on Line Blockage forms (RT3180 and RT3181) of the line to be blocked, the protecting signals and the role of the person who is asking for the line blockage. As part of this proposal, the signaller will not use an RT3180 form but capture the details on a unique form supplied, similar to user worked level crossings book used by signallers / crossing keepers. It is also
proposed not to place signals to danger but ask for the signaller to allow for a margin in the train service to cross the line.

The requirement of this proposal aligns to similar protection arrangements as used for members of the public to cross the line at user worked level crossings (Rule Book Module TS9 2.1.1). The signaller, after receiving a request from the SWL / COSS / IWA, will agree a margin when it is safe and give an assurance to the SWL / COSS / IWA that they may cross the line, the key difference being that the call will remain active while crossing the line takes place and that the people crossing are all aware of the dangers of crossing the line due to the track safety training they receive or briefing if they are a Track Visitor Permit (TVP) holder.

The intention is, for Network Rail, to evaluate a controlled crossing the line process for use by SWL / COSS / IWA that will reduce the number of missed line blockage opportunities, delays in starting work and signaller workload in granting line blockages for what is simple walking activities.

All Local Operations Managers (LOMs), signallers, Network Rail SWL / COSS / IWA in the locations chosen will be briefed on the activity to make sure they understand and agree to be part of the trial to carry out the process.

- The process will utilise GSM-R portable handsets on site communicating with fixed equipment on the signaller’s workstation which will keep an open line with the signaller and be held by the SWL / COSS / IWA while crossing the line. If the GSM-R handset is unavailable, then a standard mobile Smart phone can be used if there is three-bar minimum signal strength in the location; all calls will be to the pre-selected signaller workstation number for the Crossing the Line Procedure (CTLP) location.
- The use of the protection will be recorded by the signaller and these will be reviewed by the project team and route representatives to confirm the process is being adhered to and for safety of the line incidents.
- The GSM-R phones will be programmed with the workstation phones numbers to aid contacting the correct signaller. If the GSM-R handset is unavailable, then a standard mobile Smart phone can be used if there is three or more bar signal strength in the location; all calls will be to the pre-selected signaller workstation number for the CTLP location.
- After each use, the recorded phone conversations will be downloaded and reviewed by members of the route and project team.

Those SWL / COSS / IWA using the protection will be contacted and asked to feedback on the process.

The LOMs at each signalling location involved will ask for feedback from the signaller concerned on the process.

- If any irregular working occurs with the procedure, the trial will be stopped at the location, a review undertaken to understand the issues and a decision whether to restart or not.

The above will be collated and provided as feedback to the routes involved and as requested by Traffic Operation and Management Standards Committee (TOM SC).
Supporting documentation attached to this application addresses the foreseeable risks and control measures.

7. How long would you like the deviation to last and is there anything that would affect the length of the deviation?

<table>
<thead>
<tr>
<th>Start date</th>
<th>End date</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/02/2017</td>
<td>31/12/2017</td>
</tr>
</tbody>
</table>

While conducting a trial.

8. Demonstrate that what you are proposing to do instead is reasonable.
Trials will be subject to controlled conditions; knowledge of the process will also be confirmed before use; only the SWL / COSS / IWA briefed and recorded as receiving the brief will be able to use the process. GSM-R mobile handsets will be used, where available. If the GSM-R handset is unavailable, then a standard mobile Smart phone can be used if there is a minimum three-bar signal strength at the location using calling a pre-programmed signaller workstation number.

Regular route and project team communication and assurance activities will confirm how the trial is progressing and will agree and carry on or stop the trial at a trial location if required.

Safety validations, output and feedback (see supporting documentation attached), and consultation with stakeholders will take place during the trials.

9. Demonstrate consultation with all affected parties has been carried out and their agreed support.
Network Rail infrastructure staff including Local Operations Managers (LOMs), Mobile Operations Managers (MOMs), signallers, and maintenance staff involved.

As previously stated, those involved in the trial will be briefed on the trial process.

10. What alternative options have been rejected and the rationale?
N/A

11. What supporting documents/information are you providing?
Attachments:
- Appendix A - Supporting document: Crossing the Line Protection under special arrangements;
- CTPS signallers Form Control Room
- Crossing the Line Procedure (CTLP) SWL / COSS / IWA Track staff briefing Version 9 dated 24/10/2016;
- Signaller Prompt Cards for CTLPs - Final, November 2016, v3.2: To Assist a Signaller when Receiving a Call to Use the Crossing the Line procedure (CTLP);
12. Is the certificate for a project requiring authorisation for placing in service under the Railways (Interoperability) Regulations 2011?
No

13. Applicant details and status

<table>
<thead>
<tr>
<th>Applicant job title</th>
<th>Applicant company/organisation</th>
<th>Applicant company/organisation address</th>
</tr>
</thead>
<tbody>
<tr>
<td>HQ</td>
<td>Network Rail</td>
<td>The Quadrant: MK, Asset Management and Railway Systems, Desk MIK-FUR-03-B-1503, Elder Gate, Milton Keynes, MK9 1EN</td>
</tr>
</tbody>
</table>

Applying as:
- The party who must currently comply, or may reasonably be expected to have to comply in the future, with the requirement.

Your reference number
Tracker No. 28481

<table>
<thead>
<tr>
<th>Applicant's signature</th>
<th>Head of Operations Principles and Standards</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>12/11/2016</td>
</tr>
</tbody>
</table>

Name of Committee
Traffic Operation and Management

<table>
<thead>
<tr>
<th>Date of meeting</th>
<th>Minute reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>06/12/2016</td>
<td>16/TOM/12/353</td>
</tr>
</tbody>
</table>

Authorised by Acting Director of Standards:
Approval No. 923

<table>
<thead>
<tr>
<th>Date of Authorisation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/02/2017</td>
</tr>
</tbody>
</table>