

Justification:  
Instruction

***(Operational & Maintenance)***

## Private Owner Circular Letter 605 Issue 7

Title

Recording and  
Reporting of Safety  
Related Information

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### AUTHORISATION

Authorised by:



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J. Collinson, Head of Traction & Rolling Stock Engineering

## **1. INTRODUCTION**

POCL 605, Issue 6 was produced as an advisory POCL. This was an error since ROGS continue to mandate Safety Performance Monitoring (SPM). Hence, POCL 605, issue 7 mandates the requirement to carry out SPM and provides guidance on what a SPM report should include.

## **2. INSTRUCTION**

### **2.1 Safety Performance Monitoring (SPM)**

Owners should monitor the safety performance of their wagons and ensure that their SPM at least meets the requirements of Freight Technical Committee document FTC/BS/007 'Manual and Procedure for undertaking Safety Performance Monitoring'.

Data relating to defective, worn, damaged or time expired components found on wagons (that may influence safety performance) shall be collated from all relevant sources including service operation, during maintenance or overhaul. The collated data shall be recorded and analysed such that safety performance can be monitored, for an individual fleet or group of fleets, as appropriate and any adverse trends identified by comparison with established levels.

Owners should regularly review the established SPM levels to ensure continued safe operation of their wagons by taking account of such items as follows, which are given for the purposes of example:

- 1) Collisions
- 2) Derailments
- 3) Brake system incidents
- 4) Dragging brakes
- 5) Defective wheel incidents
- 6) Axle and axle bearing failures (including HABD)
- 7) Detached vehicle components
- 8) Train divisions
- 9) Vehicle structural failure
- 10) Payload/product retention incidents (including DGIs)
- 11) Fire
- 12) Injury or death
- 13) Environmental incidents caused by vehicle defect or failure.
- 14) Failures of Safety Critical Components (see Clause 13D of the PWRA)
- 15) VIBTs completed versus planned
- 16) PPMs completed versus planned
- 17) Overdue maintenance
- 18) Axle and axle bearing rejection rates (see Appendix A)
- 19) Red and Green Card stoppages
- 20) Mileage analysis

- 21) National Incident Reports (progress on reports applicable to the Owner's fleets)
- 22) Outstanding Non-Conformance Reports (NCRs) raised by PWRA Management Group and the progress towards closing them out.

Any adverse trends in the data should be identified in the SPM report along with details of the remedial action that the Owner is taking. Established targets for the defect levels shall also be stated in the report.

Owners should produce SPM reports that identify any problem areas to be remedied by appropriate action and hence ensures that an 'acceptable risk' is maintained.

The term 'acceptable risk' means:

1. There is a low incidence of defects arising.
2. There are no unacceptable rising trends in defect levels.
3. The defects arising would not lead to a major incident, e.g. a cracked axle leading to a derailment.

Should SPM show that an 'acceptable risk' is not being achieved then appropriate (and immediate) action shall be taken to reduce the risk to an acceptable level. In parallel, the cause of any problems giving rise to increased risk shall be investigated with a view to achieving long term solutions.

## 2.2 Reporting to the Senior PWRA Engineer

SPM reports shall be produced and made available to the Senior PWRA Engineer or Auditors upon request.

Any unacceptable, adverse trends in SPM should be reported to Senior PWRA Engineer, along with the corrective action that the Owner proposes or is already taking. Owners should review their Maintenance Plan/Policies if SPM identifies any regularly arising wear and tear defects that require components to be repaired or renewed between maintenance events.

## 2.3 Records

Records of all the data collated for safety performance monitoring and the SPM reports themselves (including the resulting actions) shall be retained for 5 years.

## 2.4 High risk incidents, irregularities or defects

Where an Owner becomes aware of any of the following high risk incidents, irregularities or defects, the Senior PWRA Engineer shall be informed of the details within five days.



- a. Failures of wagons, their components or equipment that may adversely affect in-service safety, for example major structural problems, failure of locking mechanisms, loose or detached parts.
- b. Incidents or irregularities during train operations (including irregular working practice) which could result in death, ill health, major injury, derailment or collision of trains.
- c. Defects in equipment used for:
  - Preparing trains for movement.
  - Securing loads.
  - Providing communication necessary for the control of train movements.
  - Protection of personnel working on or near the line.
  - Protection of personnel from trains or electric traction current.

Any of which could result in death, ill health, major injury, derailment or collision of trains.

- d. The systematic misapplication or misunderstanding of operating rules, regulations and instructions or existing technical/maintenance instructions, which have the potential to be widespread within the industry and to increase risks on Network Rail managed infrastructure.
- e. Any accident or incident reported to the Owner that has occurred on, or affects the operation of Network Rail managed infrastructure, including the immediate cause of and (where appropriate) the basic underlying reasons.
- f. Any enforcement action taken by the Health and Safety Executive, or other enforcing authority that is applicable to Network Rail managed infrastructure or operations on that infrastructure.
- g. Details of remedial actions or recommendations arising from a Formal Investigation or Inquiry.

Note: Owners shall have documented processes for ensuring that their employees (and those of their Contractors) are competent to carry out their responsibilities in respect of accident and incident reporting.

### 3. **SCOPE**

This instruction applies to all PWRA members.

#### 4. IMPLEMENTATION

This document shall be implemented immediately.

In the event of any query arising or clarification required, please contact:

Senior PWRA Engineer  
PWRA Management Group  
Room 207 Derwent House  
rtc Business Park  
London Road  
Derby  
DE24 8UP

## APPENDIX A - REJECTION CRITERIA CODES FOR AXLES & AXLE BEARINGS

### Rejection criteria codes for axles

A	-	Crack in wheelseat
B	-	Crack in bearing journal
C	-	Crack in axle body
D	-	Crack in inner transition
E	-	Crack in outer transition
F	-	Corrosion
G	-	Mechanical damage
H	-	Material defect
I	-	Bent/eccentric

### Rejection criteria codes for axle bearings

A	-	Indentation
B	-	Wear or 'Peeling'
C	-	Corrosion Damage
D	-	Electrical Current Damage - Pitting
E	-	Electrical Current Damage - 'Washboarding'
F	-	Discolouration
G	-	Smearing
H	-	Seizure
J	-	Shelling (Flaking) or 'Spalling'
K	-	Fracture
L	-	Chipping
M	-	Cage Defects
N	-	Miscellaneous
P	-	Age limit Exceeded
Q	-	Scuffing of Roller Ends
R	-	Lateral Scoring
S	-	False Brinelling
T	-	Brinelling
U	-	Damage in Handling, Storage or Transit
W	-	Oversize Bores
Y	-	Face Wear or 'Fretting'
Z	-	Outer Diameter Wear or 'Fretting'

Note: For definitions of axle bearing rejection codes refer to TF/TT0025