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GERT8000-HB12

Rule Book

Handbook 12

Duties of the engineering supervisor (ES) or safe work leader (SWL) in a possession

Issue 8



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	Page
1 Definitions	2
2 Competence and identification	3
3 Setting up the work site	4
4 Agreeing the safe system of work with each COSS/IWA	8
5 Arrangements for level crossings	11
6 Train movements	13
7 Movements over level crossings	19
8 Change of personnel	23
9 Suspending the work site	24
10 Giving up the work site	24
11 Protection zones	26

1 Definitions

Driver

This includes an operator of an on-track machine.

Engineering train

This includes on-track machines but does not include on-track plant.

Machine controller (MC)

The person with overall responsibility for the safe operation of OTP and will be identified by an armband or badge with MACHINE CONTROLLER or MC in black letters on a white background.

When the MC is also competent as a crane controller, they will instead wear an armband or badge with CRANE CONTROLLER or CC in black letters on a white background.

On-track plant (OTP)

Also known as 'in possession only rail vehicles' and includes road-rail vehicles (RRV), rail-mounted maintenance machines (RMMM) and their trailers and attachments with guidance wheels.

Person in charge of loading and unloading

The person who is responsible for the movement of an engineering train while it is being loaded or unloaded within the work site.

Person in charge of the siding possession (PICOS)

The person responsible for taking and supervising a possession of a siding.

Train

This includes a light locomotive, self-propelled rail vehicle, on-track machine, an RRV in rail mode and a RMMM.

2 Competence and identification

To act as the engineering supervisor (ES) or safe work leader (SWL), you must have with you a valid certificate of competence issued by your employer.

When you are carrying out the duties of the ES or SWL, you must wear an armlet on the left arm or a badge on the upper chest.

If you are the ES the armlet or badge must have **ENGINEERING SUPERVISOR** in blue letters on a yellow background.

If you are the SWL the armlet or badge must have **SWL** in blue letters on a yellow background.

3 Setting up the work site

3.1 Arranging to set up the work site

You must contact the PICOP and state the published possession reference if there is one and then confirm:

- the line on which you will be setting up your work site
- the exact mileage of each work-site marker board (WSMB)
- whether the work site is to be taken around one or more trains
- the arrangements to be applied for every level crossing within the work site.

3.2 Setting up or extending the work site around one or more engineering trains

When the work site will be taken or extended around an engineering train, before you can proceed any further with setting up or extending the work site the PICOP must tell you when every train concerned is at a stand at its specified signal, block marker or flexible train arrival point (FTAP).

You must not allow any of these trains to move again until the WSMBs are in place and all the necessary arrangements for the work site have been made.

There is no limit to the number of engineering trains the work site can be set up or extended around, as long as the details have been published in the *Weekly Operating Notice* or *Engineering Notice*.

3.3 Setting up the work site

When the PICOP authorises you to set up your work site, you may allow duties relating to the isolation of AC OLE or DC CRE equipment to start and for the placing of WSMBs.

You must not allow any other work to start until the PICOP has given you permission to do so.

3.4 Indicating the work site (Diagram HB12.1)

You must provide WSMBs if there are engineering trains or OTP within the possession.

You must place a WSMB in the 'four-foot' 100 metres (approximately 100 yards) from each end of the work site at the agreed mileage.

You must record the exact location of each WSMB on the Work-site Certificate (RT3199).

WSMBs must be positioned so that the red lights will be visible to the driver of a train approaching the work site and the yellow lights will be visible to the driver of a train leaving the work site.

If your work site will be close to the detonator protection for the possession, the WSMB must normally be placed at least 100 metres (approximately 100 yards) from that detonator protection.

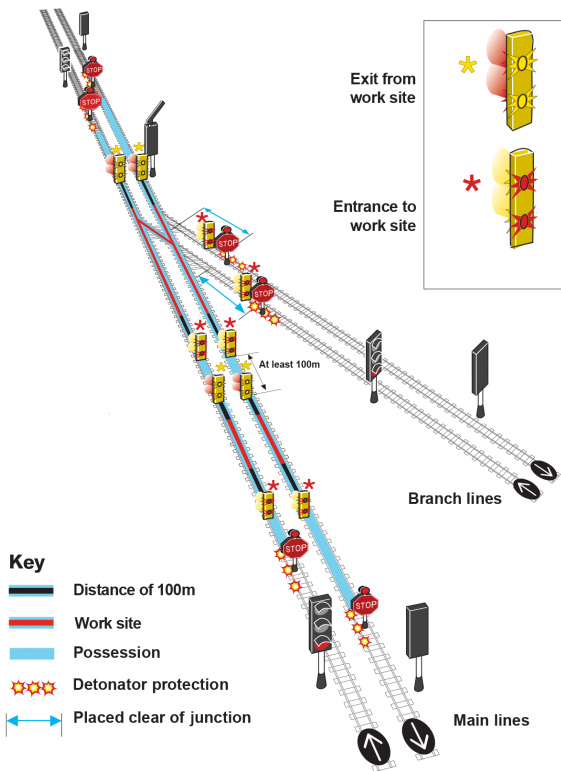


Diagram HB12.1
Indication of work sites

If due to the work, this 100-metre distance cannot be achieved, the following must apply.

- The WSMB must be placed at the detonator protection.
- Any train movements approaching that WSMB from within the work site, must only be made as shown in section 6.5.

If WSMBs are not provided, you must not allow any work to take place within 200 metres (approximately 200 yards) of the detonator protection.

3.5 When the work site is set up

You must tell the PICOP when the WSMB at each end of your work site are in position.

The PICOP will dictate the necessary details to you.

You must record these details on your RT3199 certificate.

The details must include the arrangements made for each level crossing within the work site.

You must read the details back to the PICOP.

When the PICOP is satisfied that all details are in order for the work to start, you will be given the PICOP's full initials and authority to allow work to start.

You must enter these details on your RT3199 certificate.

You may now consider the work site granted.

4 Agreeing the safe system of work with each COSS/IWA

4.1 Allowing work to take place

When the work site has been granted, you may allow work to take place.

Before starting work, you must give each COSS and each IWA a work-site briefing.

You must agree with each COSS and each IWA:

- the limits of their site of work
- the nature of the work, and
- the safe system of work they will use.

You must enter the agreed details on your RT3199 certificate and get the COSS or IWA to sign it.

4.2 Agreeing the arrangements before the work site is granted

Note: this arrangement is only permitted where it has been planned and published in advance and you and the IWA or COSS are aware of what is to happen.

You may give the work-site briefing, reach the agreement specified in section 4.1 with each IWA or COSS and get their signature on your RT3199 certificate before the work site is granted.

You must not allow work to start until you have told each IWA or COSS that the work site has been granted.

You must then give each COSS or IWA an authority number.

You must record the authority number on your RT3199 certificate.

4.3 Safe system of work where all lines are blocked (Safeguarded)

Before the IWA/COSS can treat their safe system of work as safeguarded, they must agree with you that:

- there will be no engineering train or OTP movements at their site of work, or
- if there are engineering train or OTP movements, they will be made at no greater than 5 mph (10 km/h).

4.4 Safe system of work using a safety barrier (Fenced)

Before the COSS/IWA can treat their safe system of work as fenced, there must be a safety barrier as shown in handbook 6 or handbook 7 between their site of work and any open line.

They must agree with you that:

- there will be no engineering train or OTP movements at their site of work, or
- if there are engineering train or OTP movements, they will be made at no greater than 5 mph (10 km/h).

4.5 Safe system of work (separated)

Before the COSS/IWA can treat their safe system of work as separated, they must agree with you that:

- there will be no engineering train or OTP movements at their site of work, or
- if there are engineering train or OTP movements, they will be made at no greater than 5 mph (10 km/h).

A person acting as an IWA cannot use this safe system of work with site wardens in your work site.

4.6 Safe system of work using equipment warning

The COSS/IWA can use equipment warning for the lines open to traffic as long as the equipment will provide an adequate warning of each train approaching on the line or lines concerned.

Equipment warning must not be used on any line within the work site.

4.7 Safe system of work using lookouts (Lookout warning)

The COSS may use lookout warning as shown in handbook 7 for any line within the work site.

During darkness, poor visibility, or when in or near a tunnel, the COSS may only use lookout warning if:

- you agree that all movements within the work site will be made at a speed no greater than 20 mph (30 km/h)
- the maximum speed of trains on any open line is no greater than 20 mph (30 km/h)
- only site lookouts are needed to achieve the required sighting distance.

A person acting as an IWA cannot use this safe system of work in your work site.

5 Arrangements for level crossings

5.1 General

You must not allow any engineering train or OTP movement to take place, or any work to be carried out, that will affect the operation of any level crossing unless the PICOP has made the necessary arrangements for that level crossing.

The PICOP will tell you what arrangements have been made for each level crossing within your work site as shown in section 5.2, 5.3 and 5.4.

You must record these details on your RT3199 certificate.

5.2 Automatic half-barrier crossing (AHBC)

The PICOP will make sure an attendant has been appointed and local control taken at each AHBC throughout the time the possession is in place.

Exceptions

The PICOP will not do this if:

- the crossing controls will not be activated by the work
- the only movements over the crossing will be engineering trains passing normally in a direction provided with controls
- it is shown in the notices that the AHBC need be on local control only while it is affected by the work or train movements.

5.3 Automatic barrier crossing locally monitored (ABCL) and automatic open crossing locally monitored (AOCL)

The PICOP will make sure the road traffic signals are switched off and the audible warnings disconnected at each ABCL and AOCL throughout the time the possession is in place.

The PICOP will also make sure the barriers are kept in the raised position at each ABCL.

Exceptions

The PICOP will not do this if:

- the crossing controls will not be activated by the work
- the only movements over the crossing will be engineering trains passing normally in a direction provided with controls.

5.4 Barrier crossing with closed-circuit television (CCTV), barrier crossing with obstacle detection (OD) or remotely controlled crossing with barriers (RC)

The PICOP will make sure an attendant has been appointed at each CCTV, OD or RC crossing throughout the time the possession is in place.

Exceptions

The PICOP will not do this if:

- the crossing controls will not be activated by the work
- the only movements over the crossing will be trains passing normally in the right direction
- it is shown in the notices that a crossing attendant needs to be at the CCTV, OD or RC crossing only while it is affected by the work or train movements.

6 Train movements

6.1 General

Points within the work site

Before you authorise any movement, you must make sure that any points in the route are in the correct position.

If the MC with an item of OTP tells you that the OTP cannot be relied upon to operate train-operated points, you must make sure any of these points are correctly secured before authorising the OTP to pass over them in the trailing position.

Instructions to drivers and machine controllers

Only you can authorise a movement to enter the work site or a movement to be made within the work site.

You must instruct the driver of each train, or the MC of each item of OTP to make each rail movement.

You must give the exact location the movement is to proceed to.

You must check that the driver or MC clearly understands the location the movement is to proceed to.

Competent person passing on your instructions

If you use someone else to give your instructions to the driver or MC, you must make sure the person:

- is competent to do so
- fully understands the instructions to pass on
- does not travel in the driving cab with the driver.

Train speed within the work site

You must include instructions to the driver or MC on what speed to make the movement. This will depend on any agreement you have made with IWAs or COSSs working in your work site, as shown in section 4.

However, the actual speed will depend on:

- how far the driver or operator can see to be clear
- the distance needed to stop short of any obstruction or handsignal
- the instructions you give the driver or MC.

After you have given specific instructions to the driver or machine controller, you may allow movements to run at caution above 5 mph (10 km/h).

You must tell the driver or MC that the movement must be made at no greater speed than 5 mph (10 km/h) through the site of work if you have agreed this with an IWA or COSS.

If you have agreed that the COSS will use lookout warning during darkness or where the site of work is in or near a tunnel, you must instruct the driver or MC that the movement must be made at no greater speed than 20 mph (30 km/h) through the site of work.

Signals or block markers within the work site

The 'normal' meaning of a proceed signal does not apply within a possession as the signalling is suspended.

However, drivers and MCs will not pass a signal at danger or a block marker without verbal authority.

You are responsible for giving this authority within the work site.

Recording details of movements

You must record the time you authorise each movement. You must also record the time you are told when a movement has been completed.

6.2 Entering the work site

You must not allow the WSMB to be removed until the movement has stopped at it.

When the movement has entered the work site, you must make sure the WSMB is immediately replaced.

When the WSMB has been replaced you must tell the PICOP.

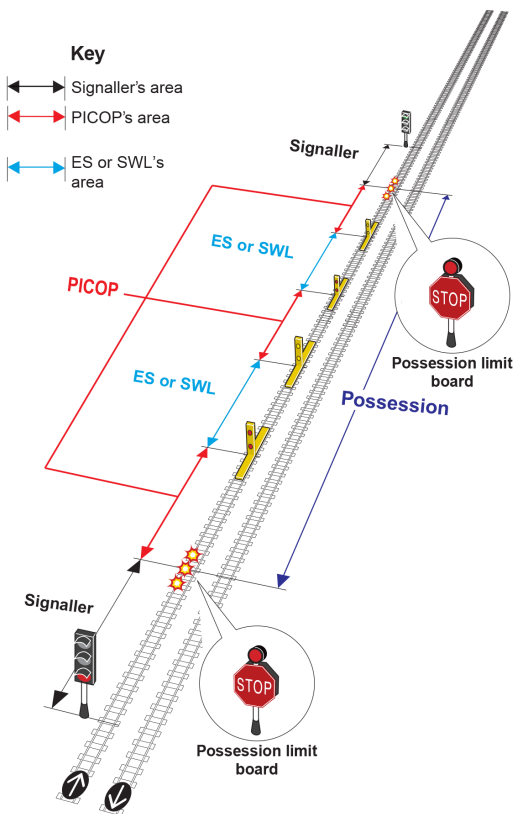
6.3 Entering the work site at an intermediate point

Before the PICOP gives the signaller permission to let an engineering train proceed from the protecting signal or block marker towards the possession, the PICOP will make sure:

- you, or a competent person sent by you, is positioned at the intermediate point to give the instructions to the driver
- you have not authorised a conflicting movement to take place.

Once the engineering train has entered the work site and is clear of the points or crossings, you must tell the PICOP.

The signaller will then return the points to the position agreed with the PICOP.



6.4 Entering the work site from an adjacent siding under possession

If a movement is to enter your work site from an adjacent siding under possession, you must first agree with the PICOP and the person in charge of the siding possession (PICOS) how this is to be done.

The PICOP will make sure that you, or a competent person sent by you, is positioned at the exit from the siding to give instructions to the driver.

You must make sure that you have not authorised a conflicting movement to take place.

6.5 Movements towards the WSMB when it is at the detonator protection

You must not allow any movement to approach the WSMB until the PICOP has given you permission to do so.

You must then tell the PICOP immediately the movement has been completed.

6.6 Movement leaving the work site

When a movement is ready to leave the work site, you must tell the PICOP.

You must not remove the WSMB until the movement is at a stand at it and the PICOP has given the driver or MC the necessary instructions.

6.7 Engineering train leaving the work site at an intermediate point

If an engineering train is to leave the work site at an intermediate point, the signaller will give the driver the necessary instructions.

You must tell the PICOP when the movement has passed clear of the points or crossings.

The signaller will then return the points to the position agreed with the PICOP.

6.8 Leaving the work site directly into a siding under possession

If a movement is to leave your work site directly into an adjacent siding under possession, you must first agree with the PICOP and the PICOS how this is to be done.

7 Movements over level crossings

7.1 Before making a movement

Before authorising any movement that will pass over a level crossing, you must make sure any instructions in this section for the type of level crossing concerned are carried out.

Before the movement takes place, you must give details of the movement to those personnel operating:

- any CCTV, OD or RC level crossing
- other level crossing, if possible.

7.2 AHBC locally controlled

You must tell the driver or MC that the movement must not pass over the crossing unless the crossing attendant is displaying a green handsignal.

7.3 AHBC that is not being locally controlled

OTP must not pass over the level crossing.

You may allow an engineering train that is to pass normally over the level crossing to proceed in a direction for which there are controls.

You must first get permission from the signaller for the movement over the crossing and then tell the driver not to stop specially before passing over the level crossing.

7.4 CCTV, OD or RC locally controlled

You must tell the driver or MC that the movement must not pass over the crossing unless the crossing attendant is displaying a green handsignal.

7.5 CCTV, OD or RC that is not locally controlled

You must not allow any movement in the wrong direction to pass over the level crossing.

For other movements, you must not authorise the driver or MC to pass the signal or block marker protecting the level crossing until the signaller has told you that the barriers have been lowered for the movement.

You must then tell the driver or MC not to stop specially at the level crossing.

7.6 AOCL or ABCL not switched off

If the crossing has not been switched off as shown in section 5.3, the following must apply.

You must instruct the driver of an engineering train that is to pass over the crossing normally, to proceed over the crossing only when it is safe to do so.

For any engineering train movements not passing normally over the crossing and for all items of OTP, you must only allow the movement to take place if:

- the crossing has been closed to road traffic, or
- a competent person is positioned at the crossing and has stopped road traffic by displaying a red handsignal on both sides of the crossing.

You must instruct the driver or MC to stop at the crossing, sound the horn and then pass over the crossing only when it is safe to do so.

7.7 AOCL or ABCL that has been switched off

If the crossing has been switched off as shown in section 5.3, the following must apply.

During daylight

You must instruct the driver of an engineering train that is to pass over the crossing to stop the train at the crossing, sound the horn and then pass over the crossing only when it is safe to do so.

The movement of OTP over the crossing must not take place unless:

- the crossing has been closed to road traffic, or
- a competent person is positioned at the crossing and has stopped road traffic by displaying a red handsignal on both sides of the crossing.

You must instruct the MC to stop at the crossing, sound the horn and then pass over the crossing only when it is safe to do so.

During darkness

The movement of an engineering train or OTP over the crossing must not take place unless:

- the crossing has been closed to road traffic, or
- a competent person is positioned at the crossing and has stopped road traffic by displaying a red handsignal on both sides of the level crossing.

You must instruct the driver or MC to stop at the crossing, sound the horn and then pass over the crossing only when it is safe to do so.

7.8 Manned level crossings

You must instruct the driver or MC to pass over the level crossing only if the level crossing barriers or gates are closed to road traffic.

If it is a traincrew-operated (TMO) crossing, you must make sure that a competent person is available to operate the level crossing, before authorising the driver or MC to proceed.

7.9 Crossing with red and green warning lights (R/G)

You must instruct the driver or MC to stop at the crossing, sound the horn and then pass over the crossing only when it is safe to do so.

7.10 Barrow or foot crossings with white light indicators

You must instruct the driver or MC to pass over the crossing only when it is safe to do so.

8 Change of personnel

8.1 Change of ES or SWL

If you are going off duty, you must:

- tell the new ES or SWL about the work-site arrangements
- hand your RT3199 certificate to the new ES or SWL
- tell the PICOP the name of the new ES or SWL.

If you are the new ES or SWL, you must sign the RT3199 form.

8.2 Change of COSS

If there is a change of COSS, the new COSS must sign your RT3199 certificate when taking duty. You must give the new COSS a work-site briefing.

9 Suspending the work site

If you are to suspend the work site, you must:

- leave the WSMBs in place
- tell the PICOP the work site has been suspended
- record the details on your RT3199 certificate.

10 Giving up the work site

10.1 Normal arrangements

When each COSS/IWA no longer needs to be on or near the line, or they are sure the work may safely continue without the protection provided by you, the COSS/IWA will tell you and sign your RT3199 certificate.

10.2 Arrangements where the COSS or IWA is to telephone the ES or SWL

Note: this arrangement is only permitted where it has been planned and published in advance and you and the COSS or IWA are aware of what is to happen.

When each COSS or IWA no longer needs to be on or near the line, or they are sure the work may safely continue without the protection provided by you, the COSS or IWA will tell you:

- their name
- the location of their work
- their authority number
- that they no longer need protection.

You must record the details on your RT3199 certificate.

10.3 When every COSS or IWA no longer needs protection

You must ask the PICOP for permission to remove your WSMBs when the line is clear of all engineering trains or OTP (apart from any engineering train that the possession will be given up around) and every COSS or IWA has:

- stated that they no longer need your protection
- signed your RT3199 certificate (as shown in section 10.1) or phoned you, giving their authority number, as shown in section 10.2.

You can give up the work site with an engineering train standing at a signal or block marker that is within the work site, only if all the following apply.

- The line is signalled by track circuit block or ERTMS and the train is standing at a location where train detection is by track circuits and not by axle counters.
- The movement, after the possession is given up, will be in the normal signalled direction and will be driven from the leading cab.

If the possession is to be given up with an engineering train standing at a signal or block marker that is within the work site, you must tell the driver:

- the work-site marker boards are being removed and the work site given up
- not to make any further movement until the signaller tells the driver to proceed.

When you have removed all of the WSMBs, you must tell the PICOP that the work site is given up and one of the following applies.

- As far as you are concerned, the line is safe and clear.
- The line is clear except for an engineering train standing at a signal or block marker where the possession will be given up around it.

You must record the details on your RT3199 certificate.

11 Protection zones

11.1 Setting up the protection zone

You can only set up a protection zone (PZ) if details have been published in the *Weekly Operating Notice* or *Engineering Notice*.

You must contact the signaller who controls the signal protecting the portion of line where the PZ is to be set up.

You must state the published PZ reference, if there is one, and then agree with the signaller:

- the line you will be setting the PZ up on
- the locations the work will take place between
- whether the PZ will be set up around a train
- the signal leading to the PZ that will be kept at danger
- the exit signal beyond the PZ that will be kept at danger
- the limits of the PZ, which must be from at least 400 metres (440 yards) beyond the protecting signal to at least 200 metres (200 yards) before reaching the exit signal
- the signals that may need to be passed at danger within the PZ, and that you can give the driver authority to do so
- that wrong-direction movements may be necessary towards the start of the PZ and that you can give the driver permission to make those movements
- what type of additional protection will be used.

11.2 Setting up a PZ around an engineering train

When the PZ is to be set up around an engineering train, the signaller must tell you when the train concerned is at a stand at its specified signal or flexible train arrival point (FTAP) location shown in the notices.

You must not allow the train to move again until the PZ has been granted and all the necessary arrangements have been made.

11.3 Arranging the additional protection

If additional protection will be provided by disconnecting signalling equipment, the signaller will agree the necessary disconnections with the signalling technician.

The signaller will tell you when the disconnections have been made.

You can use a track circuit operating device (T-COD) as additional protection only if all the following conditions apply.

- Using a T-COD at a particular location is authorised by the *Sectional Appendix*.
- The signalling equipment is working normally.
- The work will not affect the operation of the track circuit concerned.

When the signal protecting the PZ has been placed to danger, the signaller will check that the track circuit concerned is showing clear. The signaller will then give you permission to place the T-COD on the line or to activate it.

When you have placed the T-COD on the line or activated it, you must tell the signaller. The signaller will check that the track circuit is showing occupied.

When the signaller is sure that the line is properly protected and the signal beyond the PZ has been placed to danger, the signaller will tell you that the PZ has been granted.

11.4 Allowing work to take place

When the PZ has been granted, you may allow work to take place.

Before starting work, you must give each COSS and each IWA a work-site briefing.

You must agree with each COSS and each IWA:

- the limits of their site of work
- the nature of the work
- the safe system of work they will use.

You must enter the agreed details on your RT3199 certificate and get the COSS or IWA to sign it.

11.5 Train movement entering the PZ

The only trains that you can allow to enter the PZ are:

- the engineering train that is to work within the PZ
- an on-track machine that is to work as part of the same engineering work.

When the train arrives at the protecting signal, the signaller will ask you:

- for permission to allow the train to enter the PZ
- how far the train can proceed, either to a signal or to an FTAP.

Before you give permission for the train to enter the PZ, you must tell any COSS or IWA who is sharing your protection about the movement, and make sure that it is safe for the train to approach.

11.6 Movements within the PZ

Only you can authorise the movement of a train within the PZ.

When the train has arrived at the specified signal or FTAP, you must make sure that the driver, and anyone else travelling on the train, knows:

- that they are within a PZ
- the limits of the PZ
- that only you can authorise any movement within the PZ.

Before you authorise any movement within the PZ, you must tell any COSS or IWA who is sharing your protection about the movement, and make sure it is safe for the train to approach.

You must tell the driver:

- where the train is required to move to
- to pass any signals at danger when necessary
- not to make any further movement until you authorise them to do so.

You can authorise a driver to make a wrong-direction movement when necessary, but you must make sure that any wrong-direction movement will not bring the train within 400 metres (440 yards) of the protecting signal.

11.7 Movement leaving the PZ

When a train is ready to leave the PZ, you must tell the signaller.

Before you authorise the train to move, you must tell any COSS or IWA who is sharing your protection about the movement and make sure it is safe for the train to approach.

You must tell the driver:

- to proceed to the end of the PZ which is 200 metres (200 yards) before the exit signal
- to stop there and contact the signaller.

11.8 Giving up the PZ

You can give up the PZ when:

- all trains have left the PZ
- each COSS or IWA has told you that they no longer need to be on or near the line, or they are sure that any work can continue without the protection provided by you.

You must tell the signaller that:

- the work has been completed
- all engineering trains have left the PZ
- all personnel are clear of the line
- additional protection can now be removed.

If additional protection was by disconnecting signalling equipment, the signaller will arrange for the necessary reconnections to be made after the PZ has been given up.

If additional protection was by a T-COD, you must remove or deactivate it. If the track circuit concerned is not showing clear, the signaller will check with you whether it has been removed or deactivated.

You must then confirm to the signaller that the PZ has been given up.

11.9 Working on the outside of a train

You must ask the signaller to stop trains on any adjacent line which could put you, a member of traincrew, or anyone else in danger if, while the PZ is set up:

- you or another person has to walk alongside a train
- a person needs to check that the working equipment on an on-track machine (OTM) is correctly positioned.

You must ask for this before you or the other person starts working or walking.

To arrange for trains to be stopped, you must:

- ask the signaller to stop the passage of trains on the line concerned
- get an assurance from the signaller that this has been done
- reach a clear understanding about which lines have been blocked
- reach a clear understanding about which lines will stay open to traffic
- ask the signaller to read back to you the details that have been recorded.

If you are satisfied that the details recorded by the signaller are correct, you must confirm that you understand the arrangements.

The signaller will then give you an authority number. Until you are given this authority number, you must not consider the adjacent line as being blocked.

If you have arranged to stop the passage of trains for another person to work on the outside of the train or walk alongside it, you must explain the arrangements to that person.

When the work on the outside of the train has finished or you, or the other person have finished walking, you must tell the signaller that the normal passage of trains can be resumed.

You must give the signaller the authority number that you were given.

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172



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