Briefing note

Project 15-047 Review the guidance for defective on-train equipment provided in GOGN3637

New documents

Document number	Document title	Issue number
RIS-3437-TOM	Defective On-Train Equipment	2
GERT8000-TW5	Preparation and movement of trains: Defective or isolated vehicles and on-train equipment	9
GERT8000-AC	AC electrified lines	5
GERT8000-Gloss	Glossary of Railway Terminology	5

Documents to be withdrawn

Document number	Document title	Issue number
GOGN3637	Guidance on Defective on-Train Equipment	2

Standards Committee	Traffic Operation and Management
Issue date:	01 September 2018
Withdrawal dates:	01 September 2018
In force:	01 December 2018 for GERT8000-TW5, GERT8000-AC and GERT8000-Gloss.
	There are no 'in-force' dates for a RIS so the requirements in RIS-3437-TOM issue 2 will be available for use from 01 September 2018. However, some of the changes cannot be implemented until GERT8000-TW5 issue nine becomes operative in December 2018.

Background

Proposal 15-047, submitted by Great Western Railway (GWR), was approved by TOM SC for further work in December 2015. A failure of a GWR train had revealed that the guidance set out in GOGN3637 issue two 'Guidance on Defective on-Train Equipment' concerning when the emergency bypass switch (EBS) has been operated could be unduly restrictive. TOM SC agreed that the guidance in relation to the EBS should be reviewed.

TOM SC agreed also that a critical sample of other items of defective on-train equipment listed in GOGN3637 should be assessed to establish if the current arrangements are appropriate.

Five risk analysis workshops were held with industry representatives between March and July 2017. The workshops considered the following items of defective on-train equipment listed in GOGN3637:

- Automatic warning system (AWS), train protection warning system (TPWS), and automatic train protection (ATP)
- EBS
- Driver's safety device (DSD) and vigilance equipment
- AWS seal
- Automatic dropping device (ADD)
- Wheel slide protection (WSP)

The recommendations arising from the risk workshops are contained in a report, 'Risk review of guidance for Defective On-Train Equipment (DOTE)', which was endorsed by TOM SC at its meeting in December 2017.

The recommendations included proposed changes to the requirements currently in GOGN3637 and consequential changes to Rule Book modules GERT8000-TW5 issue eight 'Preparation and movement of trains: Defective or isolated vehicles and on-train equipment' and GERT8000-AC issue four 'AC electrified lines'.

In line with the Strategy for Standards, the scope of the project included merging the updated guidance in GOGN3637 with the requirements set out in RIS-3437-TOM issue one 'Defective on-Train Equipment'.

Key changes

RIS-3437-TOM issue two will cover two items of equipment not currently listed within RIS-3437-TOM issue one, namely: automatic power change over (APCO) for bi-mode trains and in-cab door monitors for train dispatch.

RIS-3437-TOM issue two also updates 'general' guidance as follows:

- The term 'entering service' has been changed to 'starting a journey' which should be easier to understand. This change needs to be reflected in GERT8000-Gloss, 'Glossary of Railway Terminology'.
- The Operation and Traffic Management Technical Specifications for Interoperability (OPE TSI) requires that a train must be fit to run at its scheduled speed and, therefore, a Railway Undertaking (RU) cannot substitute a train with a lower max speed without the agreement of the infrastructure manager.
- RUs have hitherto been required to identify stations that are suitable for de-training passengers when the defect means that passengers cannot be carried to the original destination. RUs will now need to also identify stations that are not suitable for detraining passengers.

Regarding the items of equipment that were the subject of industry workshops, the following key changes have been made:

- AWS and TPWS - If a defect occurs on a journey, the maximum speed before a competent person is provided has been raised from 40 mph to 50 mph for freight trains and 60 mph for passenger trains, except during poor visibility. Passengers can now remain on the train for up to 100 miles without a competent person being provided. Once a competent person has been provided, passengers can be conveyed for up to two hours.
- DSD and vigilance equipment - If a defect occurs on a journey, the maximum speed before a competent person is provided has been raised from 40 mph to 50 mph for freight trains and 60 mph for passenger trains, except if AWS is also not working during poor visibility, in which case the maximum speed is 40 mph. Passengers can now remain

on the train for up to 100 miles without a competent person being provided. Once a competent person has been provided, passengers can be conveyed for up to two hours.

It has been made clear that if AWS or TPWS have also failed, unless the competent person can meet the competence required for these defects, the train would still be subject to the limitations imposed due to the failures of those systems.

The opportunity has been taken during drafting to update several existing requirements, including those relating to external passenger doors and the European Rail Traffic Management System (ERTMS) on-board equipment. Further details of all changes to RIS-3437-TOM, GERT8000-TW5 and GERT8000-AC are in the Impact Assessment and disposition table.

Compliance requirements

3.1   The publication date of 01 September 2018 means that the date for compliance with the requirements in Rule Book modules GERT8000-TW5 and GERT8000-AC, and GERT8000-Gloss, will be 01 December 2018.

3.2   There are no compliance requirements for Rail Industry Standards or Guidance Notes. Therefore, RIS-3437-TOM will be issued and its requirements available to be applied from 01 September 2018. However, some of the changes cannot be implemented until GERT8000-TW5 issue nine becomes operative in December 2018. GOGN3637 will be withdrawn on 01 September 2018.

3.3   General information about compliance and the industry's strategy for standards, including a video about RISs, is available on the RSSB website.