



# **The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended)**

**A Guide to ROGS**

April 2018

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# Foreword

## Using this guide

Each chapter has the same format. They each:

- say what specific regulations apply;
- explain who the duties apply to;
- describe what the person responsible for carrying out that duty (we call them ‘duty holders’) must do;
- provide some practical advice or examples for meeting the duties; and
- explain where to get more information or detailed process manuals.

The information in plain text explains what the regulations say and what duty holders must do.

The blue shaded boxes offer guidance, examples or practical help.

The light-brown shaded boxes explain where to get more information (including the regulations themselves).

The small boxes in the left-hand margin show which specific part of ROGS the text alongside it is explaining.

- ‘Reg’ refers to a regulation of ROGS, or part of one.
- ‘Sch’ refers to a schedule of ROGS, or part of one.

## What is the purpose of this guide?

1. This guide provides a summary of the [Railways and Other Guided Transport Systems \(Safety\) Regulations 2006 \(ROGS\)](#).
2. You may find it helpful to read the guide alongside a copy of the regulations. The unamended regulations are available on the [UK Legislation website](#). Amendments were made in the [Railways and Other Guided Transport Systems \(Safety\) \(Amendment\) Regulations 2011](#). Further amendments were made by the [Railways and Other Guided Transport Systems \(Miscellaneous Amendments\) Regulations 2013](#). To assist duty holders, ORR has produced an [unofficial consolidated version of ROGS](#).
3. Reading this guide should allow you to:
  - understand where ROGS have come from and what their purpose is;
  - identify the main ideas and changes that ROGS introduce;

- take practical steps to meet your responsibilities or help make sure your employer meets their duties; and
- find more detailed practical information if you need to.

## Who is this guide for?

4. This guide is aimed at anyone who needs to understand and respond to this important safety law. We have prepared this guide with the following groups of people in mind.
  - Health and safety managers in the rail industry
  - Other managers in roles which affect safety
  - Staff working on the railway
  - Trade union representatives
5. We consulted representatives from all these groups on the content and style of this guide while we were developing it.
6. On [our website](#) we have published detailed manuals that explain the processes you need to follow to meet the requirements of ROGS. We refer to these manuals throughout the text. If, for example, you are responsible for preparing an application for a safety certificate, you should use these detailed guides to prepare your application. Other users should find that the summary set out in this document provides enough information
7. You can ask us any questions about the guidance by sending an email to [rogs.guidance@orr.gsi.gov.uk](mailto:rogs.guidance@orr.gsi.gov.uk).

# Introduction

## Why was ROGS introduced?

The [Railways and Other Guided Transport Systems \(Safety\) Regulations 2006 \(ROGS\)](#) were introduced to put the requirements of the [2004 European Railway Safety Directive](#) into practice in Great Britain. The directive aims to continue to remove barriers to providing international transport services by creating a common framework for railway safety across the European Union. This sits alongside the [European Interoperability Directive](#), which aims to remove the technical problems involved in running trains between member states.

We also used the opportunity to introduce a common framework for safety across other methods of guided transport (such as tramways and heritage railways), and we updated the law on safety critical work.

The [Railways and Other Guided Transport Systems \(Safety\) \(Amendment\) Regulations 2011 \(the amending regulations\)](#) came into force on 26 August 2011. The amending regulations bring some of the changes made to the 2004 European Railway Safety Directive into force. The amendments were mainly concerned with:

- assigning an 'entity in charge of maintenance' to a railway vehicle and making sure that the entity in charge of maintenance is registered on the national vehicle register (NVR); and
- introducing a formal maintenance system for an entity in charge of maintenance to make sure that the rail vehicles it is responsible for are safely maintained.

The amending regulations are available on the [UK Legislation website](#).

The Railways and Other Guided Transport Systems (Miscellaneous Amendments) Regulations 2013 (the Miscellaneous Amendments Regulations) came into force on 21 May 2013. They:

- require ECMs for freight wagons to have an ECM certificate;
- amend the definition of "mainline railway";
- remove the requirement for mainline operators to carry out safety verification under ROGS (this requirement has been superseded by the equivalent common safety method for risk evaluation and assessment (Commission Implementing Regulation (EU) 402/2013);
- remove the requirement for non-mainline operators to send annual safety reports to us;

- make the 28 day affected party consultation period run at the same time as the four- month period we have to process applications for safety certificates and safety authorisations; and
- require controllers of safety critical work to have suitable and sufficient monitoring arrangements in place.

## What did ROGS replace?

ROGS replaced several sets of railway safety regulations.

- The Railways (Safety Case) Regulations 2000
- The Railways (Safety Critical Work) Regulations 1994
- The Railways and Other Transport Systems (Approval of Works, Plant and Equipment) Regulations 1994

## Who do ROGS give duties to?

- A 'transport undertaking' is any person or organisation that operates a vehicle in relation to any infrastructure. People or organisations that only carry out work in 'engineering possessions' (this means sections of track that are closed to normal traffic for maintenance work) are not included in the term 'transport undertaking'. So only some of the duties in ROGS apply to them (see the table below).
- An 'infrastructure manager' is any person or organisation that:
  - is responsible for developing and maintaining infrastructure (not including a station) or for managing and operating a station; and
  - manages and uses that infrastructure or station, or allows it to be used for operating a vehicle.
- A 'transport operator' is any transport undertaking or infrastructure manager. In this guide, the term is sometimes shortened to 'operator'.
- An 'entity in charge of maintenance' (ECM) is any person or organisation that is responsible for the safe maintenance of a vehicle and is registered as an ECM in the national vehicle register. This can include people or organisations such as transport undertakings, infrastructure managers, a keeper or a maintenance organisation.

# What must I do to meet the requirements of ROGS?

The most important parts of ROGS are as follows.

- Safety management systems (see [chapter 1](#))
  - ROGS give transport undertakings and infrastructure managers a duty to develop safety management systems that must meet certain requirements. However, the safety management system should be adapted to fit the size and nature of the business - for a smaller organisation a simpler safety management system should be more appropriate.
- Safety verification (see [chapter 2](#))
  - Non-mainline operators must show that they have procedures in place to introduce new or altered vehicles or infrastructure safely. If there is new or significantly increased risk to safety a project must go through a safety assurance process (we call this 'safety verification') involving an independent competent person. Operators are responsible for making sure that a project is safe.
- Safety certificates and authorisations (see [chapter 3](#))
  - Detailed safety cases have been replaced with higher-level safety certificates (for transport undertakings) and authorisations (for infrastructure managers). Applicants need to describe how their safety management system allows them to run their transport system safely, but they have to provide less detail than in a safety case on the individual processes they use. We will now focus on checking that safety management systems are effective and fit for the purpose they are being used for. Lower-risk sectors (tramways and transport systems that do not run at speeds above 40 kilometres per hour) do not need safety certificates, but must still have a written safety management system in place.
- Risk assessments (see [chapter 4](#))
  - ROGS give transport operators a specific duty to carry out risk assessments and put in place the measures they have identified as necessary to make sure the transport system is run safely.
- Annual safety reports (see [chapter 5](#))
  - Any transport operator who holds a safety certificate or authorisation for the mainline railway must send us an annual report on their safety performance.

- Cooperation (see [chapter 6](#))
  - ROGS also give operators a duty to work together to make sure the transport system is run safely.
  
- Safety critical work (see [chapter 7](#))
  - Operators and their contractors have clear duties under ROGS to make sure their employees who carry out safety critical tasks are suitably competent and fit to do so. This also includes making sure these employees are not affected by fatigue (extreme tiredness).
  
- Entities in charge of maintenance (see [chapter 8](#))
  - Under ROGS, anyone who places in service, or uses, a vehicle on the mainline railway must make sure that the vehicle has an ECM assigned to it. The ECM must be registered in the national vehicle register before the vehicle is placed in service or used. If the vehicle is a freight wagon, the ECM must have a certificate.

This guide will explain these duties in more detail, set out who is responsible for carrying out specific duties, and tell you where to get further advice.

## Which parts of ROGS are relevant to me?

The table below shows which parts of ROGS apply to which transport systems. The column headings refer to specific duties under ROGS and do not take into account similar duties that may exist under other safety law.

- A green box means that the duty applies to that transport system.
- A red box means the duty does not apply to that transport system.
- A yellow box means the duty can apply to that type of transport system in some circumstances. You should check the relevant chapter of this guide for more information.

<b>Duty</b> <b>Operation</b>	Duty of co-operation	Managing safety critical work	Risk assessment	Safety management systems	Safety certificate or authorisation	Annual safety report	Entity in charge of maintenance
<b>Mainline railway</b>	✓	✓	✓	✓	✓	✓	✓
<b>Non-mainline railway and other transport systems operating above 40km/h (for example, light rail, metro systems)</b>	✓	✓	✓	✓	✓		
<b>Non-mainline railway and other transport systems operating below 40km/h (for example, heritage railway)</b>	✓	✓	✓	✓	For parts of operation on the mainline only		
<b>Tram-train transport systems</b>	✓	✓	✓	✓	For parts of operation on the mainline only		
<b>Tramways</b>	✓	✓	✓	✓			
<b>Work in sidings</b>	✓	✓	Only if the siding is part of the transport system				Only if work in the siding is part of the transport system
<b>Work in engineering possessions</b>	✓	✓					
<b>Work in depots</b>	✓	Some work on vehicles					Only if work in the depot is part of the transport system

## What transport systems are not included in ROGS?

Reg 2

The main types of transport that are not a transport system under ROGS (referred to as 'exclusions' throughout this document) include the following:

- Anything below a gauge of 350 millimetres (unless it crosses a carriageway)
- Guided buses
- Trolley vehicles
- Fairground equipment
- Cableways
- Any part of a transport system that is:
  - within a harbour (with some exceptions - see the blue box below);
  - part of a factory, mine or quarry (with some exceptions - see below);
  - used for construction or building work only;
  - in a military establishment;
  - in a maintenance or goods depot (with some exceptions - see below); or
  - in a siding (with some exceptions - see below).

However, if any of the transport systems listed above are part of the mainline railway, they must meet the requirements of ROGS.

The [Health & Safety at Work etc Act 1974](#) and the [Management of Health & Safety at Work Regulations 1999](#) include general duties to manage safety, assess risks, co-operate with other duty holders, make sure staff are trained and have the necessary skills, knowledge, experience and so on. Transport systems or parts of transport systems that are not included in ROGS - for example, engineering possessions, depots, sidings - still have to meet these general duties.

### Sidings and depots

ROGS do not generally cover sidings. The term 'siding' has a very wide meaning in the railway industry. We have been asked to give our view on which types of sidings are part of the transport system (and so covered by ROGS). They are as follows:

- Loop, lay-by, or lay-over sidings - located next to the running line, and used to hold trains for a range of reasons (for example, to allow another train to pass).

- Turn-back or reversing sidings - used for stopping trains at the end of a journey, and located between, to the side of or at right angles to the running line.

The safety-critical work duties in ROGS include all sidings as part of the transport system. Also, even if a depot is not itself part of a transport system, controllers of safety-critical work still have duties under ROGS to manage safety-critical tasks that are carried out there on vehicles that are being used on the transport system. This is explained in more detail, with examples, in chapter 7 of this guide.

## ECMs

ORR has powers to take enforcement action in relation to maintenance work by an ECM on a vehicle to be put in service on the mainline railway. This applies wherever that maintenance work is carried out, including:

- harbours;
- factories;
- mines;
- nuclear licenced sites;
- quarries;
- warehouse premises; and
- establishments to which the Control of Major Accident Hazards Regulations 1999 apply.

(See the [Health and Safety \(Enforcing Authority for Railways and Other Guided Transport Systems\) Regulations 2006](#) as these have been amended by the [Miscellaneous Amendments Regulations](#)).

# 1. Safety Management Systems

- Reg 4(3)  
Reg 4(1)(a)
- 1.1 The safety management system is the basis for making sure a transport system runs safely and in line with ROGS. You must keep written records of your arrangements for managing safety risks. This includes the 'lower-risk' operations (tramways and transport systems that do not run at speeds above 40km/h) that do not need safety certificates or authorisations from us as they still need a safety management system.

## In the regulations

Regulation 5: Safety management system for the mainline railway

Regulation 6: Safety management system for other transport systems (including non-mainline railway)

Schedule 1: General requirements and basic elements of safety management systems

## Differences between mainline and non-mainline railways

- Reg 5(1)(c)  
Reg 5(1)(a)
- 1.2 You must have a safety management system that is capable of controlling all the risks arising from the transport system you are running. The main factor in deciding how detailed and complicated the safety management system needs to be is the size and nature of the transport system you are running, rather than whether or not it is part of a 'mainline' railway.
- 1.3 However, ROGS are different for mainline and non-mainline railways. The main differences are as follows.
- The safety management system of both a mainline and a non-mainline railway should include targets. For a mainline railway, these targets will relate to [European Common Safety Targets](#) set for the member state and must apply [European Common Safety Methods](#).
  - The safety management system of a mainline railway must allow it to meet technical specifications for interoperability, national safety rules, common safety methods and other conditions where these apply. The safety management system of a non-mainline railway must allow it to meet whatever technical specifications and procedures are relevant to the type of transport being run.
  - The type of safety certificate or authorisation you need to get from us will vary (see chapter 3).
- Reg 30(2)
- 1.4 We are not allowed to 'exempt' transport operators on the mainline railway from any of their duties under ROGS (that is, we cannot allow any transport operator on the mainline railway to not meet their duties under ROGS).

1.5 A railway is a mainline railway unless

- we determine that it falls within one or more of these categories:
  - metros and other light rail systems;
  - networks that are functionally separate from the rest of the mainline railway system and intended only for the operation of local, urban or suburban passenger services, as well as transport undertakings operating solely on these networks;
  - heritage, museum or tourist railways that operate on their own networks;  
or
- we determine that heritage vehicles that operate on the mainline railway and comply with national safety rules are deemed not to operate on the mainline railway; or
- it is privately owned infrastructure that exists solely for use by the infrastructure owner for its own freight operations

1.6 Railways that fall under (a) and (b) above are contained in an [Approved List](#) on our website. These railways are described as ‘non-mainline railways’.

1.7 You can apply for a transport system to be added or removed from the Approved List or for an existing entry on the list to be varied by sending an email to us at: [rogsguidance@orr.gsi.gov.uk](mailto:rogsguidance@orr.gsi.gov.uk).

1.8 You can appeal to the Secretary of State if you are not happy because we

- refused your application;
- determined that a transport system should be added to the list;
- determined that a transport system should be removed from the list; or
- varied an existing entry on the list.

## What Duty Holders must do

### Requirements of a Safety Management System

1.9 The safety management system has four main purposes:

- Defining roles and responsibilities for making sure the transport system can be run safely (for example, that workers are provided with suitable training and suitable information)

- Setting arrangements for how managers control the safety management system (at all levels)
- Showing how workers and their representatives are involved
- Making sure the transport operator continuously improves (through setting targets, and carrying out audits and reviews).

1.10 The need to meet these aims should be the ‘driving force’ behind making sure that every part of the safety management system works and is put into practice.

## The basic parts of a Safety Management System

Reg 5(1)(c)  
Reg 6(1)(b) 1.11 Under ROGS, the safety management system must be appropriate for the size and nature of the transport system you are running.

### Safety policy statement

Sch1 2(a) 1.12 This should be signed by the Chief Executive and shared with all employees.

A good safety policy statement can be as brief as one page. It should:

- give the Chief Executive’s or Managing Director’s commitment to health and safety;
- emphasise the importance of staff working safely;
- set out the roles each line manager and member of staff have to carry out; and
- encourage employees to raise safety concerns.

### Safety targets

Sch1 2(b)  
Reg 5(1)(a) 1.13 You must set targets for maintaining and improving safety, and explain how you plan to achieve them. This should include your own targets or targets set by the organisations that represent you. Mainline operators must also take account of European Common Safety Targets.

Targets should help improve safety performance. Ways of making this happen include:

- setting out the targets in a safety plan which is then shared with all staff;
- working with staff, their safety representatives and managers to make sure targets are realistic and can be measured;
- giving the company’s board responsibility for meeting safety targets;
- setting personal safety targets for managers; and
- regularly reporting progress.

Common Safety Targets (CSTs) are European-wide targets. They are set by the European Railway Agency and are designed for member states to achieve at their level, rather than at the level of the individual transport operator.

A safety management system which meets the relevant requirements will be taken as a guarantee that the operator contributes to achieving CSTs.

### Procedures for meeting standards

1.14 These should be designed to make sure:

- you meet your duties under safety law;
- you take any action we have identified as being necessary; and
- the transport system meets technical and operational safety standards and specifications (particularly Technical Standards for Interoperability and Railway Group Standards) for the mainline railway.

1.15 Mainline infrastructure managers must design their safety management system in a way that allows transport undertakings who use the infrastructure to meet the relevant standards and targets.

Useful ways of setting and responding to standards include:

- identifying which standards are most relevant, and helping to develop these;
- clearly defining who is responsible for monitoring and meeting specific standards;
- creating a system of checks to make sure standards are being met by employees as well as by the organisation as a whole; and
- reviewing company standards regularly to make sure they are still relevant.

### Risk assessments and controlling new risk

1.16 You should design your systems and procedures to make it easy for you to assess and control all risks. This includes planning how you will work with other relevant operators to identify and control shared risks.

1.17 You should also assess risks arising from activities not connected with the operation itself (for example, from vandalism).

You can find more details on risk assessments in chapter 4.

1.18 You must put in place a change-management process to identify and control new risks.

The aim of a change-management process is to properly control new risks. The process should:

Sch1 2(c)

Reg 5(1)(d)

Sch1 2(d)

- identify any new or increased risk resulting from a project;
- identify appropriate measures to control these risks and make sure they do not affect your safety performance;
- make sure the level of assessment is suitable for the type of risk you have identified;
- make sure staff and managers have the skills and resources they need to meet their safety responsibilities (a training plan is useful for this);
- make sure changes are only made once you have assessed any safety risks;
- make sure staff and their representatives have been properly involved, briefed and consulted on the changes;
- make sure you have met any relevant standards;
- make sure you have kept a written record of any concerns or issues raised and any decisions you have made to deal with them;
- make sure you can monitor the effects of the change once you have put it in place; and
- clearly define who is responsible for carrying out all of the above before, during and after the change.

1.19 Some projects to introduce new or altered vehicles or infrastructure on non-mainline railways will need to go through a safety verification process if they could create significant new or different safety risks (see chapter 2). If this is the case, your safety management system must include a description of the safety verification process you are using.

1.20 Most significant projects on the mainline will need to meet the requirements of the Common Safety Method for risk evaluation and assessment (Commission Implementing Regulation (EU) 402/2013) (see below)

### Training and skills

Sch1 2(e) 1.21 You must have systems in place for making sure that employees and other people (for example, contractors, voluntary staff, consultants and managers) are trained and have the skills they need to carry out the tasks they are asked to do.

A system for managing staff competence is set out in chapter 7.

### Managing safety-related information

Sch1 2(f)(g)  
Sch1 2(f)(h) 1.22 You should have standard procedures and formats in place for recording safety-related information across your organisation. Operators must also make information available in a way that is useful to other operators.

Managing safety information is important in allowing you to manage safety risks effectively. Useful ways of checking this is happening include:

- involving staff and their representatives in developing your safety management system;
- having discussions with health-and-safety representatives;
- holding workshops with staff and managers on the main safety issues;
- making sure all staff and managers receive appropriate safety inductions and training; and
- holding regular safety meetings and briefings between infrastructure managers and transport operators.

## Responding to accidents and near misses

Sch1 2(i)

1.23 You should have systems in place to make sure that:

- you meet your duties to report accidents to the right authority (this could be one or more of us (ORR), the Health & Safety Executive or the Rail Accident Investigation Branch);
- you carry out thorough investigations;
- you identify the causes of accidents and near misses; and
- you take the right action to make sure these accidents and near misses won't happen again in the future.

1.24 Incidents that could put people in danger should be investigated as thoroughly as accidents that actually do cause harm. This is a vital part of the process of controlling risk.

Lessons learnt from accidents or incidents can lead to safety improvements. Helpful steps to make this happen include:

- briefing staff on the reporting procedure and the importance of reporting;
- appointing trained managers to investigate incidents;
- giving a specific manager responsibility for taking action to deal with the accident or incident;
- setting a timescale for taking this action; and
- making senior staff responsible for monitoring how often accidents and incidents take place and the action that has been taken to deal with them.

## Emergency planning

Sch1 2(j)

1.25 This must cover the information given to the emergency services to allow them to plan their responses to incidents on the railway. Also important are the parts of the safety management system that are relevant to the arrangements for responding to emergencies, such as training for emergencies and testing plans. Mainline infrastructure managers must co-ordinate their emergency procedures with relevant transport operators.

Factors you could consider when developing your arrangements for responding to emergencies may include:

- fires on trains or stations;
- accidents that damage the network;
- access for emergency services;
- how to deal with suspicious packages;
- carrying dangerous goods (for example, harmful substances or substances that damage the environment); and
- the effects of bad weather

## Internal auditing

Sch1 2(k)

1.26 You must describe the process you use to assess whether the safety management system is effective and develop evidence to use to review the system.

Effective auditing arrangements might include:

- developing the sampling and interview strategies needed to get a full picture of how well the safety management system is working at all levels across your organisation;
- assessing whether all staff are meeting the agreed standards and keeping to the safety management arrangements;
- making risk-based recommendations based on the findings of the audit;
- identifying strengths in the management system and recording good practice;
- identifying areas that can be improved; and
- reporting any faults in the system to a senior manager for them to review and take action.

## Common Safety Methods

Reg 5(1)(b)

1.27 A mainline dutyholder must apply the relevant parts of relevant Common Safety Methods (CSMs) as part of its safety management system. These are developed by the European Railway Agency (ERA) and mandated by regulations of the European Commission.

### CSM for risk evaluation and assessment

1.28 The CSM for risk evaluation and assessment (Commission Implementing Regulation (EU) 402/2013) applies when a significant change impacts on safety.

### CSM for monitoring

1.29 The CSM for monitoring is set out in Commission Regulation (EU) 1078/2012. It applies if you are a transport undertaking or an infrastructure manager (or an ECM). You will need to ensure that:

- the risk control measures implemented by your contractors are monitored using the process in the CSM; and
- your contractors apply the same process through contractual arrangements.

1.30 ERA has produced [a guide for the application of the CSM for monitoring](#) and further guidance can be found on [the Railway Safety Standards Board website](#).

## More information

### **ORR guidance**

Developing and maintaining staff competence

[http://orr.gov.uk/\\_data/assets/pdf\\_file/0016/4264/developing-and-maintaining-staff-competence-rsp1.pdf](http://orr.gov.uk/_data/assets/pdf_file/0016/4264/developing-and-maintaining-staff-competence-rsp1.pdf)

Exclusions from the mainline railway

<http://orr.gov.uk/rail/health-and-safety/health-and-safety-laws/rogs/exclusions-from-mainline-railway-requirements>

### **Other guidance for the industry**

'Successful Health & Safety Management' (HSG65), Health and Safety Executive

<https://books.hse.gov.uk/>

'Safety Management System' guidance note HGR-A0017-IS03 issued by the Heritage Railway Association

<https://www.hra.uk.com/s/HGR-A0017-Is03-Safety-Management-Systems.pdf>

A guide for the application of the CSM for monitoring (ERA guidance)

[http://www.era.europa.eu/Document-Register/Documents/ERA-GUI-05-2012-SAF\\_Guide%20on%20CSM%20for%20monitoring%20V1.0%20Published.pdf](http://www.era.europa.eu/Document-Register/Documents/ERA-GUI-05-2012-SAF_Guide%20on%20CSM%20for%20monitoring%20V1.0%20Published.pdf)

CSM for monitoring Regulation

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2012:320:0008:0013:EN:PDF>

CSM for risk evaluation and assessment

<http://orr.gov.uk/rail/health-and-safety/health-and-safety-laws/european-railway-safety-legislation/csm-for-risk-evaluation-and-assessment>

## 2. Safety Verification (for non-mainline transport operators)

- 2.1 A significant change that ROGS brought about was taking away the responsibility that the safety regulator had for approving new or altered infrastructure or vehicles under The Railways and Other Transport Systems (Approval of Works, Plant and Equipment) Regulations 1994. The purpose of safety verification is to provide a flexible process to make sure projects that could significantly increase risk are safe. This is achieved by appointing an 'independent competent person' - this person can come from inside or outside the organisation.

Reg 2

### Competent person

An independent competent person:

- has the skills, knowledge, experience and resources to carry out the safety verification they are appointed for; and
- is able to look at the project objectively (that is, in an unbiased way).

### In the regulations

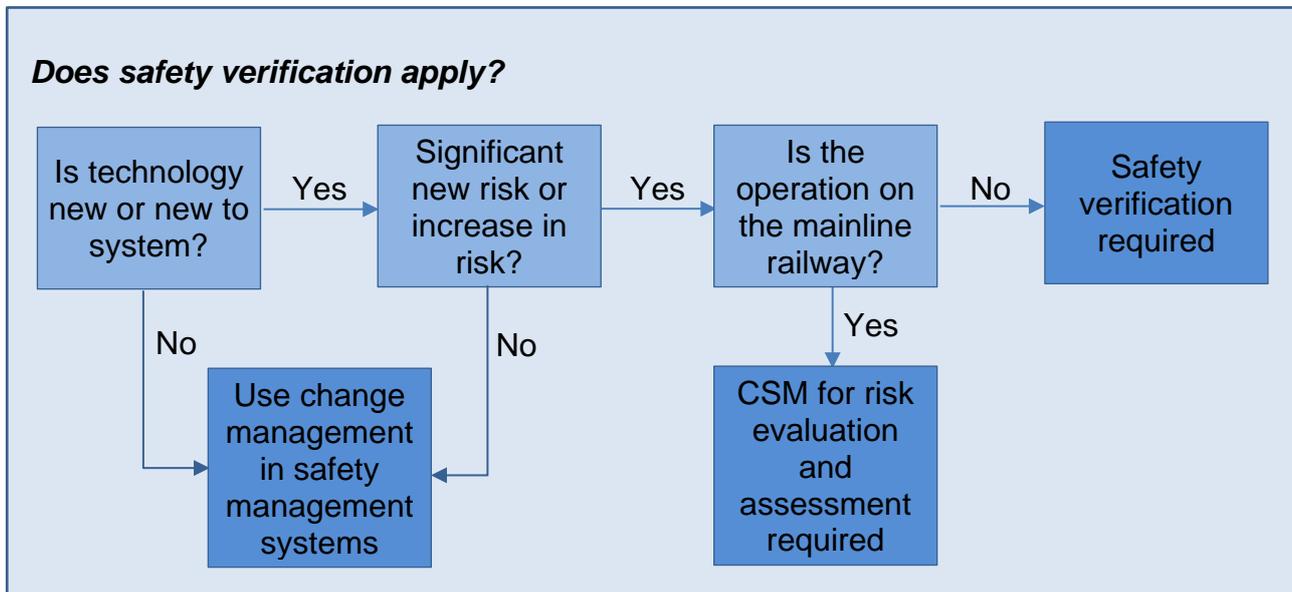
- Regulation 6(4): Safety verification of new/altered vehicles on non-mainline
- Schedule 4: Requirements for safety verification schemes

## Who is the Duty Holder?

- 2.2 Safety verification no longer applies to mainline duty holders. Only non-mainline transport operators (that is, transport undertakings and infrastructure managers) are responsible for deciding if safety verification is needed and making sure it is carried out properly. Mainline transport operators are responsible for applying the CSM for risk evaluation and assessment when they make significant changes. Many projects that introduce new vehicles or infrastructure to the mainline railway must also take account of the EC verification process under the [Railways \(Interoperability\) Regulations 2011](#).

# What Duty Holders must do

## Deciding if safety verification is needed



### 2.3 Safety verification is needed if:

- the operation is non-mainline;
- the risk arising from the project is new, or is new to the transport system (the 'difference test'); and
- there will be a new significant safety risk or a significant increase in risk (the 'risk test').

### 2.4 If a project passes all three these tests, safety verification is needed and you must:

- prepare a written safety verification scheme that meets the requirements set out in ROGS (see below);
- appoint an independent competent person to do the verification assessment; and
- make sure the independent competent person carries out the assessment.

Reg 5(4)  
Reg 6(4)

### 2.5 The principles behind safely introducing new or altered vehicles or infrastructure are the same, whether you use safety verification or a change management process from a safety management system. Safety verification is designed to provide an independent assessment that a project has gone through all the steps needed to reduce risks. The main difference is that the safety verification process needs an independent competent person to carry out the assessment and the change management process may not.

Reg 5(6)

## What non-mainline duty holders must do

### Appointing an independent competent person

Sch4 1(1)(a)

2.6 Under ROGS, the independent competent person must be appointed early enough in the project for them to be involved in:

- considering the design of the project;
- identifying or setting standards and conditions for the verification process; and
- setting out the inspection and assessment plan.

2.7 There are three important things to consider when appointing an independent competent person.

Reg 2

- (i) They must have the skills and knowledge needed to carry out the safety verification.

You should gather and keep evidence to prove this. This evidence usually includes:

- written qualifications that can be checked;
- experience in the industry or the type of work and workplace;
- direct knowledge of the specific process they are overseeing, such as making sure vehicles are acceptable or replacing signal systems;
- experience of the regulatory process, in terms of setting standards and gathering evidence appropriately;
- being aware of current best practice; and
- being aware of the limits of their skills and experience.

- (ii) They must not have been responsible, in a way that might cause them to be biased in their assessment, for any of the things they will have to assess.

For example:

- they should not benefit personally from the project being completed successfully and quickly; and
- they should not profit from the project being introduced, such as if they owned shares in a company which makes parts being used in the project.

- (iii) They must not be part of the management chain that is responsible for introducing the project.

For example:

- an 'in house' independent competent person should report direct to senior management and not be responsible for designing the project; and
- they must have the authority to ask for information, carry out examinations and make recommendations.

## Who can be an 'independent competent person'?

2.8 Under ROGS, an independent competent person can be a person or an organisation.

A competent person does not have to be employed by another organisation (a 'third party') to be independent. It is perfectly acceptable for safety verification to be done 'in house'.

The most important thing is to show that the independent competent person is independent enough from the project to give an objective (unbiased) assessment.

Many large organisations already have panels of senior engineers, for example, to approve new projects. Smaller operators may want to consider bringing in an expert from another operator.

## Features of the safety verification process

### Management arrangements

Sch1

2.9 Part of your safety management system is a description of how you will manage the introduction of new or altered vehicles and infrastructure (see [chapter 1](#)). A summary of the safety verification arrangements would also be included in any application for a new or amended safety certificate or authorisation.

### Making decisions

2.10 You should have a process in place for deciding whether or not a project should go through a safety verification process. In particular, you should take a consistent approach to 'risk' and 'difference' tests.

### Appointing the independent competent person

Sch4 1(1)(a)

2.11 You must have a process in place for appointing an independent competent person (see above) at an early stage of the project.

### Preparing a written safety verification scheme

Sch4

2.12 The independent competent person should be involved in preparing the written scheme. This involves developing an agreed plan that will allow the independent competent person to assess and monitor:

- the methods the project uses;

- whether the project is being designed and put in place safely; and
- whether tests are being carried out safely, and in line with agreed standards and conditions.

### Providing information for the independent competent person

Sch4 1(1)(c) 2.13 The independent competent person needs to have access to all relevant information and documents to be able to carry out a satisfactory assessment.

This would usually include:

- documents used in designing and setting out a specification for the project;
- certificates of conformity for materials used;
- any other risk assessment and safety analysis reports;
- evidence that the project meets the relevant standards, and an explanation of how risk will be managed where the project does not meet the standards; and
- evidence that you have worked with other relevant duty holders to make sure your projects work together.

### The independent competent person's assessment

Sch4 (4)(a) The independent competent person should make sure that:

- the design of the project meets relevant standards;
- any safety-critical parts are suitably designed and built;
- the project has been built, installed and tested properly; and
- arrangements are in place for the project to be run and maintained.

The verification assessment would usually involve physically inspecting or reviewing documents relating to things such as designs, specifications, certificates, compliance of products with relevant safety law (CE marking), and how contractors were used in the project.

### The independent competent person's recommendations

Sch4 1(4)(b) 2.14 You must have arrangements in place for making sure that the findings of the assessment – including any action the independent competent person has recommended you take – are communicated to the appropriate managers. You must also keep a record of any action you carry out as a result.

### Monitoring, reviewing and revising the scheme

Sch4 1(3) 2.15 You can apply the general management arrangements and decision-making processes across a range of projects, and you should set these out in the safety management system. You should also review them regularly to make sure they are

still effective. You should record the specific information, assessments, recommendations and action taken for each project that goes through the safety verification process.

## More information

### **ORR guidance**

Safety verification guidance 2007

[http://orr.gov.uk/data/assets/pdf\\_file/0008/4796/SV-guidnce-07.pdf](http://orr.gov.uk/data/assets/pdf_file/0008/4796/SV-guidnce-07.pdf)

A guide to safety verification for heritage railways

[http://orr.gov.uk/data/assets/pdf\\_file/0018/2178/381.pdf](http://orr.gov.uk/data/assets/pdf_file/0018/2178/381.pdf)

A guide to safety verification for tramways

[http://orr.gov.uk/data/assets/pdf\\_file/0017/2177/380.pdf](http://orr.gov.uk/data/assets/pdf_file/0017/2177/380.pdf)

ROGS initial integrity – inspection of transport operators' safety verification and change management arrangements

[http://orr.gov.uk/data/assets/pdf\\_file/0004/2587/ROGS-ii-iotosvacma.pdf](http://orr.gov.uk/data/assets/pdf_file/0004/2587/ROGS-ii-iotosvacma.pdf)

ORR guidance on the application of the CSM on risk evaluation and assessment

<http://orr.gov.uk/what-and-how-we-regulate/health-and-safety/regulation-and-certification/european-railway-safety-legislation/common-safety-methods>

### **Other guidance for the industry**

Guidance on Railways (Interoperability) Regulations, Department for Transport

<https://www.gov.uk/government/policies/expanding-and-improving-the-rail-network/supporting-pages/rail-interoperability-and-standards>

## 3. Safety certificates and safety authorisations

3.1 Under ROGS, nobody is allowed to run vehicles or manage infrastructure unless we have awarded them the appropriate safety certificate (for transport undertakings) or authorisation (infrastructure managers). This replaces the requirement to hold a safety case under the Railways (Safety Case) Regulations 2000.

### In the regulations

Regulation 3: Requirements of mainline operators and infrastructure managers

Regulation 4: Requirements of non-mainline operators and infrastructure managers

Regulation 7: Application for safety certificate

Regulation 8: Amending a safety certificate (substantial change) Regulation 9: Further safety certificate

Regulation 10: Application for safety authorisation

Regulation 11: Amending a safety authorisation (substantial change) Regulation 12: Further safety authorisation

Regulation 13: Requirement to notify ORR of some types of changes

Regulation 14: Direction to amend certificate/authorisation by ORR

Regulation 15: Revocation of certificate by ORR

Regulation 16: Revocation of authorisation by ORR

Regulation 17: Other provisions, including involving affected parties and safety representatives

## Does everyone need a certificate or authorisation?

Reg4 (1)(a) 3.2 All mainline operators need a certificate or authorisation. Some 'lower-risk' non-mainline operators do not need one. However, these operators must still have a safety management system (see [chapter 1](#)) in place.

Reg 4(3) 3.3 The specific types of transport systems that do not need a certificate or authorisation are as follows.

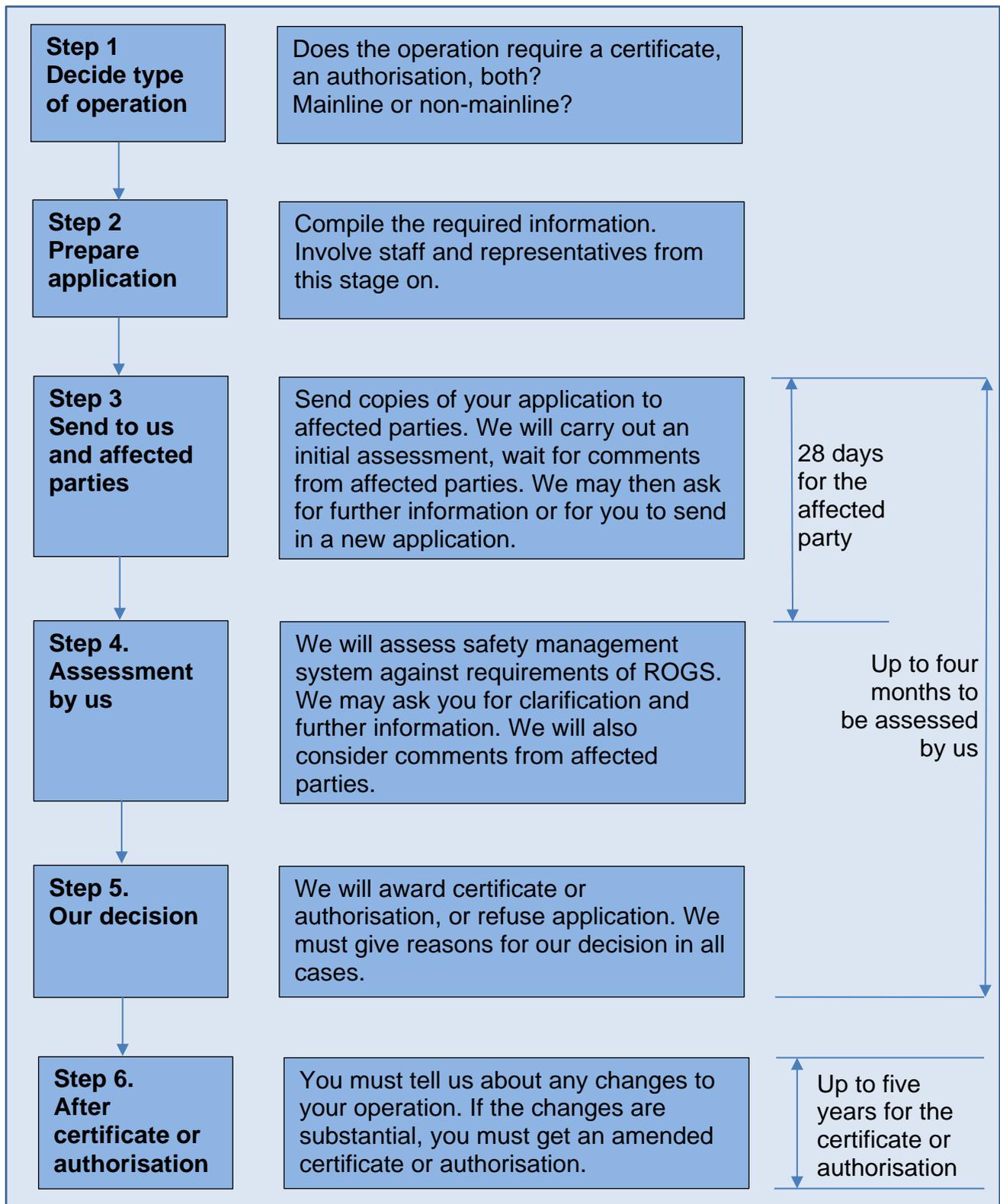
- (a) A transport system that does not run at speeds above 40km/h (25mph).
- (b) Tramways, no matter what speed they run at.

## Heritage railways

The first exclusion above aims to remove the requirement for most heritage railways to hold a certificate or authorisation. However, if these run on or cross a transport system (whether it is on a mainline or non-mainline railway) that runs at speeds above 40km/h (25mph), they will need a safety certificate.

However, the heritage railway would only need a certificate for the part of the railway that runs on or crosses the system with the running speed above 40km/h (we refer to this as the '+40km/h system'). Or, it could make arrangements with an approved third party to run the part of the railway that crosses or runs on the +40km/h system.

# The safety certification and authorisation process



## Step 1: Decide type of operation

### Do I need a certificate or authorisation?

#### Certificate

3.4 All transport undertakings (except on some 'lower-risk' systems - see the previous page) need a safety certificate to run on a transport system. This includes both the mainline and non-mainline railway. It does not include running only on systems within depots, sidings or engineering possessions.

#### Authorisation

3.5 All organisations which develop and maintain infrastructure (the track, signalling systems, bridges, crossings and so on) or run and manage stations need a safety authorisation. This applies to both the mainline and non-mainline railway.

#### Both

3.6 A train operating company that also manages its own infrastructure will need both a certificate and an authorisation from us. As 'the infrastructure' includes stations, transport undertakings that manage stations (nearly all of the major train operating companies) will also need both.

### Do I need a mainline or non-mainline certificate or authorisation?

3.7 [Chapter 1](#) includes an explanation of what a mainline railway is and what it is not. There is little practical difference between the two in the certification process. The size and nature of the transport you are running is much more important.

#### Mainline certificates

Reg 2

3.8 If you are a mainline transport undertaking, you must apply for certificates in two parts.

- **Part A** is valid across the European Union (EU). It sets out your general safety management arrangements.
- **Part B** relates to one transport system. It would include details of how you make sure the specific transport system you want a certificate for is run safely.

3.9 An important principle of the Railway Safety Directive and of ROGS is that Part A of a certificate is valid across the EU. In other words, a train operator that has a certificate to confirm it is safe to run a transport system in one EU member state is considered safe to run a transport system in another, as long as the transport system they are running is of a similar type and size and they meet the requirements for a Part B certificate in force in that country. For example, an operator that holds Part A of a

certificate in member state X and wants to run a similar transport system in member state Y would need only to get Part B of a certificate from member state Y.

### **Non-mainline certificate**

3.10 Non-mainline certificates come in one part. The requirements are broadly similar to a mainline application. Like the safety management system, the size and nature of the transport system being run is the main factor in deciding how detailed and complicated the application needs to be.

### **Operating on both mainline and non-mainline railways**

3.11 Some trains are run on both mainline and non-mainline railways. Because a lot of the information needed is the same, you can apply for one certificate in one application to run on both (the application needs to be clear about which parts of it apply to the mainline railway and which parts apply to the non-mainline railway).

3.12 Mainline transport undertakings that also run on non-mainline infrastructure should apply for a mainline certificate. The mainline certificate will cover operation on both types of infrastructure.

3.13 Non-mainline transport undertakings that also run on the mainline infrastructure should apply for a non-mainline certificate. Such non-mainline operators must also show that their safety management systems are adequate for operation on the mainline railway.

3.14 Where a holder of an existing mainline or non-mainline certificate proposes to operate a tram-train service on the mainline railway and they have not previously done so, this is likely to constitute a material change to their safety certificate and they must show that their safety management systems are adequate for tram-train operation on the mainline railway. Tram-trains will need a non-mainline certificate when they operate on the mainline railway.

3.15 **Mainline and non-mainline authorisations** are specific to the relevant infrastructure and are not valid across Europe. The main difference in applying for a mainline or non-mainline authorisation is the size and nature of the transport system being run. Also, infrastructure managers who in practice only manage stations (in other words, most train operating companies) would be expected to produce less information as part of their authorisation than those who also maintain track, signals, and so on.

## Step 2: Prepare application

### The information we need from you

Sch2

3.16 Under ROGS, you need to provide certain information in your application.

The European Union Agency for Railways has developed a template that you must follow if you are applying for a mainline certificate. However, this only asks for very basic information about your company and should only be seen as a covering document for the application as a whole. **The application form must be signed by the Managing Director.** See '[More information](#)'.

#### Your details

Basic information, for example:

- your contact details;
  - the type of application you are making;
  - the number of staff your company employs; and
  - any other certificates or authorisations your company holds.
- The type and nature of the transport being run. If you are a transport undertaking, this refers to:
  - your activities;
  - the franchises you hold;
  - the lines you run;
  - the purpose of the transport you run (commuter travel, freight, and so on); and
  - the number of trains and passengers.

Or

- The particular details of the infrastructure. For infrastructure managers, this should refer to:
  - the length of track;
  - the type of signalling and control systems; and
  - safety-related features or structures such as stations, crossings, tunnels and major junctions.

(For 'station-only' infrastructure managers, the 'particular details' could be as simple as quoting the number of stations and the number of people employed at them.)

- 'Interfaces' with other operators. For example, where a train operating company uses stations that are owned and managed by another operator.

### Summary of the safety management system

3.17 You need to provide evidence that your safety management system is designed to meet the requirements of ROGS as described in [chapter 1](#). The summary should:

- include a copy of the safety policy statement and a description of how it is shared with staff at all levels;
- refer to any recognised safety management models you use;
- refer to other documents which describe the safety management system and its supporting procedures;
- show the structure of the safety management system, in particular highlighting how roles and responsibilities are given to staff;
- describe how the safety management system fits in with other activities and priorities;
- explain how individuals who manage safety are held responsible;
- set out the conditions for involving staff and their representatives at all levels in the safety management system;
- describe how you monitor safety performance and how you put right any faults; and
- explain how you put in place new safety developments and lessons you have learned from accidents or incidents.

You should also consult the assessment criteria when you make your application. These criteria provide more specific detail of the evidence needed to show that your safety management system is designed to meet the requirements of ROGS.

You can find the assessment criteria on our website:

[http://orr.gov.uk/data/assets/pdf\\_file/0020/3593/cert\\_auth\\_criteria\\_mainline.pdf](http://orr.gov.uk/data/assets/pdf_file/0020/3593/cert_auth_criteria_mainline.pdf)

[http://orr.gov.uk/data/assets/pdf\\_file/0019/11719/non-mainline-rogs-certificates-guidance.pdf](http://orr.gov.uk/data/assets/pdf_file/0019/11719/non-mainline-rogs-certificates-guidance.pdf)

You can find a list of ROGS safety certificates and authorisations issued by us on our website:

<http://orr.gov.uk/what-and-how-we-regulate/health-and-safety/regulation-and-certification/rogs/safety-certificates-and-authorisation/mainline-certificates>

<http://orr.gov.uk/what-and-how-we-regulate/health-and-safety/regulation-and-certification/rogs/safety-certificates-and-authorisation/non-mainline-certificates>

## Details of safety measures

3.18 The basic parts of a safety management system are also described in chapter 1. You should include in the application a brief description of how your organisation does each of these things, and an explanation of where detailed policies or process documents can be found.

## Involving staff and their representatives

3.19 ROGS specifically give operators a duty to consult employees' health and safety representatives when preparing their application. This means that you must carry out your consultation as early as possible, and before you send us your application.

Reg 17(9)

Good-quality consultation should involve:

- regularly and openly sharing information;
  - encouraging representatives to express their views;
  - making time to amend your plans in response to staff's views (if necessary); and
  - making sure representatives have the time to gain the knowledge and skills they need to provide an informed contribution.
- Proper consultation can have wider benefits in terms of:
- safer workplaces;
  - improved decision-making through gathering a wider range of ideas;
  - helping staff to understand and accept decisions; and
  - making sure staff know they have a key role to play in running the transport system safely.

## Consultation when there is a change of operator

When new operators are taking over a franchise, they will need to apply for a safety certificate. At the time operators prepare their application, they may not yet be the employer of the staff who will be affected. Under ROGS, the new operator does not have a duty to consult employees of the existing franchise holder.

However, an important principle of ROGS is that employees and their representatives are involved in managing safety. As a result, it would be sensible for new operators to make arrangements to consult the existing operator's staff when preparing their application. It

would help the transfer if outgoing operators agree to reasonable requests from new operators to allow staff representatives to take part in the process.

## Step 3: Send to us and affected parties

3.20 We will appoint an assessment manager and a lead assessor for each application. After we receive your application, the lead assessor will confirm they have received it and give you their contact details and those of the assessment manager. See '[More information](#)' for where to send your application.

### Initial screen

3.21 The assessor will check your application to make sure that you have included the basic information we need (see above). If you have not, you will need to provide any missing information before we can begin the main assessment. If there are any serious gaps in the information you have provided, we may return your application for you to correct.

### Affected parties

3.22 You must send a copy of your application to all the people who will be affected by it (the 'affected parties') or tell them where it can be accessed on a website. The 'affected parties' must include the following:

- For all applications, any recognised trades unions (for example RMT, ASLEF, TSSA, Unite) plus any staff safety representatives in your organisation. However, this should not be the first time they see the application as they should already have been involved in preparing it;
- For all applications, the appropriate rail user groups (normally, this would be Passenger Focus or London TravelWatch, or both). Generally, if your services don't operate within the London area there isn't a requirement to consult London TravelWatch.
- For a certificate application, anyone who manages the infrastructure.
- For an authorisation application, anyone who manages infrastructure that 'interfaces' with yours.

### Examples of affected parties in a safety certificate application

#### **Scenario 1**

A train operating company who is operating passenger train services should include Network Rail.

#### **Scenario 2**

A freight operating company operating services over routes nationally should include Network Rail and contractors.

### **Scenario 3**

A maintenance contractor whose vehicles will operate outside of possessions should include Network Rail and other infrastructure managers or contractors who will be coming into contact with such vehicles. In summary, Railway Group members would need to be informed.

## **Examples of affected parties in a safety authorisation application**

### **Scenario 1**

A train operating company who is managing a particular station should include Network Rail, plus the other train operating companies and freight operating companies who operate at that station..

### **Scenario 2**

The infrastructure manager should include those who operate over its infrastructure whether train operating company, freight operating company, or contractor.

3.23 Affected parties have 28 days to make any comments or provide us with further information about the application. The affected party should provide a response to ORR within 28 days even if there is a nil return.

3.24 If you send us any further information during the application, you must send copies of this to the affected parties.

We also consider it good practice for you to share your final application documents with the affected parties. We recommend that you engage with the affected parties earlier before you send your documents to us.

### **Affected party checklist**

You must ensure that you:

- obtain up-to-date contact details for each affected party;
- have sent a copy of the application to all affected party (or explained how to download electronic version);
- have explained to each affected party that they should respond directly to ORR either with comments or indicating that they have no issues with the application;
- seek confirmation from each affected party that they have received the application; and

- chase any 'nil returns' from the affected party at the end of the 28 day consultation period.

## Step 4: Assessment by us

### Our assessment and decision

3.25 The main assessment is where we examine the quality of the detailed content set out in your application. We have four months to carry out the assessment, reach a decision and tell you. The 28-day period for affected parties to make their comments will run concurrently with the four-month period.

3.26 For those applicants who are yet to operate a train and not taking over a franchised operation, the assessment will include a review of the applicant's risk register. This is to help identify vulnerable areas where further inspection activity may be required.

The main assessment takes place in the following stages.

1. Our assessors will study and report on appropriate parts of the application.
2. The lead assessor will write a report of their findings and send it to you.
3. We will meet with you to discuss our findings, explain what action we believe you need to take and ask for any further information we need.
4. You send us your written response, explaining what action you have taken (and providing reasons where you have not taken action).
5. We consider your response and either agree that you have dealt with all the matters we identified or ask you to repeat stages 3 and 4 until you have taken all the action needed for us to award a certificate or authorisation.

## Step 5: Our decision

3.27 Following the assessment, we will either:

- prepare and issue you with a certificate or authorisation; or
- write to you explaining why we have refused your application.

3.28 We must give reasons for our decision, no matter whether we accept or refuse your application.

3.29 For those applicants not taking over a franchised operation, we ask that upon receipt of your certificate or authorisation you confirm to us the date you intend to start operations.

Reg 10(2)

## Amending a certificate

3.30 If you hold a certificate or authorisation, it will be valid for up to five years. During this time, you must tell us if there are any changes to the transport system you run (and keep a record of any resulting changes to your safety management system). You must tell us if the name of the transport operator changes.

3.31 If you make a 'substantial change' (see below), you will need to apply for an amended safety certificate or authorisation.

3.32 To apply to make an amendment, you will only need to:

- describe the proposed change; and
- give us details of any changes to the evidence you sent us when you originally made your application.

3.33 You will also need to consult safety representatives and send a copy of the amended information to the affected parties. How long the amendment process takes and how detailed it needs to be will depend on how complicated the change is.

### What is a 'substantial change'?

Annex E of our [Safety Certificate and Authorisation Assessment Manual](#) describes 'substantial change' in more detail. Substantial changes include the following.

#### For transport operators

- Using the transport for a different purpose, such as changing from freight to passenger services, or from conventional to high-speed running.
- Changing the size of the transport system – for example, a major increase in how many services run on a line.

#### For infrastructure managers

- Changing the network – for example, using new forms of signalling, or increased traffic caused by new links to other networks.
- Changing the energy supply – for example, changing from third rail to overhead electrification.
- Changing how the transport is run, such as introducing fully automated systems to manage safety-critical work.
- Changing how the transport and network is maintained – for example, transferring the management of maintenance to a contractor.

Reg 8(2)

Reg 14

3.34 If changes to the law mean you will have to make a substantial change to the transport system you run, we may ask you to apply to amend your certificates or authorisations (this is known as a 'direction to apply for an amendment').

### Further certificates and authorisations

Reg 9(2)

3.35 You can apply to us to renew the term of your certificate or authorisation at any time. You should not need to re-send information you have already provided (that is, from a previous application) as long as that information is still relevant and accurate. Your application only needs to include information about any proposed changes. Aside from this, the application process is the same and we will issue you with a new certificate or authorisation if your application is successful. As you cannot by law continue to operate if your certificate or authorisation runs out, you should [apply to us](#) at least six months in advance.

### Revoking a safety certificate or authorisation

Reg 16(1)

3.36 We will only revoke (cancel) your certificate or authorisation if:

- you are not meeting the conditions of the certificate or authorisation; and
- there is a significant safety risk as a result.

3.37 If you are a transport undertaking, we will also revoke your certificate if you do not run a vehicle under the certificate within a year of it being issued.

Reg 16(3)(a)

3.38 We must give you notice that we are considering revoking your certificate or authorisation. We must also give you at least 28 days to make any comments. If we revoke your certificate or authorisation, you must stop running the transport it was issued for.

## Our policy on revoking certificates and authorisations

We recognise that revoking a certificate or authorisation is a very serious step for us to take, because changing train operators or suspending services can itself create safety risks.

In carrying out our duty to enforce ROGS, we will consider using the powers available to us under the [Health & Safety at Work etc. Act 1974](#) (improvement notices, prohibition notices, and so on). The use of these powers may put duty holders in a position where risks are properly controlled and the conditions for revoking their certificate or authorisation are no longer met.

## Conditions for revoking a certificate or authorisation

We will only begin the process of revoking a certificate if:

- the safety management system itself is not able to make sure that the transport has been run, designed or maintained safely; or
- one or more of the basic parts of the safety management system is not able to make sure the transport system is safe;

and there is a significant safety risk as a result.

If only one of these conditions is met, we will use powers under the Health & Safety at Work etc. Act to help and encourage the duty holder to make the necessary improvements rather than looking to revoke their certificate or authorisation.

This approach is in line with our published [enforcement policy statement](#).

## Appeals

3.39 You can appeal to the Secretary of State if you are not happy because we:

- refused your application (including an application to amend or extend your certificate or authorisation);
- failed to make a decision on your application within four months;
- revoked your certificate or authorisation; or
- asked you to apply to amend your certificate or authorisation.

3.40 Affected parties, passenger groups and trade unions have no right to appeal against a decision we have made under ROGS.

3.41 You can ask us for details of the appeals process at [rogsguidance@orr.gsi.gov.uk](mailto:rogsguidance@orr.gsi.gov.uk)

## Step 6: After the award of a safety certificate or safety authorisation

3.42 After issuing a safety certificate or a safety authorisation, we will have arrangements in place to check:

- whether the results outlined in the application for a safety certificate or a safety authorisation are being achieved during operation; and
- that all the necessary requirements are complied with on a continuous basis.

3.43 The CSM for supervision is set out in [Commission Regulation \(EU\) 1077/2012](#). It requires us to:

- have a strategy and plan(s) for supervising mainline transport operators;
- have clear techniques for how to conduct our supervisory activities;
- have clear links between the assessment for mainline safety certificates/authorisations and supervision activity;
- operate a competence management system for those conducting supervision activities;
- utilise decision-making criteria when evaluating transport operators' activities;
- where necessary (such as cross-border railway operation activity) cooperate and coordinate our supervisory activity with other national safety authorities.

3.44 **'Supervision'** means the arrangements put in place by the national safety authority to oversee safety performance after it has granted a safety certificate or safety authorisation.

## More information

### ORR guidance and application documents

European Union Agency for Railways template for safety certificate applications

[http://eur-lex.europa.eu/LexUriServ/site/en/oj/2007/l\\_153/l\\_15320070614en00090024.pdf](http://eur-lex.europa.eu/LexUriServ/site/en/oj/2007/l_153/l_15320070614en00090024.pdf)

Guidance on completion of the European Union Agency for Railways template and submitting your application

[http://orr.gov.uk/data/assets/pdf\\_file/0018/5553/guides4completion\\_2.pdf](http://orr.gov.uk/data/assets/pdf_file/0018/5553/guides4completion_2.pdf)

Assessment criteria for safety certificate and authorisation applications made under ROGS

[http://orr.gov.uk/data/assets/pdf\\_file/0020/3593/cert\\_auth\\_criteria\\_mainline.pdf](http://orr.gov.uk/data/assets/pdf_file/0020/3593/cert_auth_criteria_mainline.pdf)

[http://orr.gov.uk/data/assets/pdf\\_file/0019/11719/non-mainline-rogs-certificates-guidance.pdf](http://orr.gov.uk/data/assets/pdf_file/0019/11719/non-mainline-rogs-certificates-guidance.pdf)

Safety certificate and authorisation assessment manual

[http://orr.gov.uk/data/assets/pdf\\_file/0018/4248/rogs-assessment-manual.pdf](http://orr.gov.uk/data/assets/pdf_file/0018/4248/rogs-assessment-manual.pdf)

### Other guidance for the industry

HSE worker involvement web pages

[www.hse.gov.uk/involvement/index.htm](http://www.hse.gov.uk/involvement/index.htm)

First point of contact for enquiries relating to safety certificates and safety authorisations:

Permissioning & Divisional Support Team Manager

Railway Safety Directorate

Office of Rail and Road

1 - 2 Peasholme Green

York

YO1 7PX

Phone: 0845 301 3376

***Where to send applications for safety certificate and safety authorisation and 'affected party' comments:***

Permissioning and Divisional Support Team

Railway Safety Directorate

Office of Rail and Road

1 Kemble Street

London

WC2B 4AN.

Phone: 020 7282 2000

Email: [rsd.admin@orr.gsi.gov.uk](mailto:rsd.admin@orr.gsi.gov.uk)

## 4. Risk assessments

- 4.1 ROGS give transport operators a specific duty to carry out a 'suitable and sufficient' assessment of the safety risks involved in running the transport system. The purpose of this assessment is to identify the measures needed to make sure the transport system runs safely.

### In the regulations

Regulation 19: Rail-specific duty to carry out risk assessments

Regulation 21: Document and record keeping

Schedule 3: Common Safety Indicators

- 4.2 The risk assessment requirements in ROGS apply in some areas not covered by other parts of the regulations - transport systems that do not run at speeds above 40km/h, sidings and so on. While the risk assessment requirements of ROGS apply only to safety issues, we expect operators' risk assessments to allow them to meet their general duties on health issues under the [Health & Safety at Work etc Act 1974](#).
- 4.3 For any significant changes on the mainline railway that impact on safety, the CSM for risk evaluation and assessment ([Commission Implementing Regulation \(EU\) 402/2013](#)) must be applied.
- 4.4 ORR has published a [policy statement](#) on the relationship between the CSM for risk evaluation and assessment and other risk assessment requirements. This clarifies the relationship between railway-specific and more general health and safety legislation in respect of risk assessments for Britain's mainline railways including the UK half of the Channel Tunnel. It summarises:
- how direct European and domestic rail legislation co-exist; and specifically,
  - the relationship between the CSM for risk evaluation and assessment and domestic requirements to carry out a 'suitable and sufficient' risk assessment.

## Requirements specific to railways and other guided transport systems

- 4.5 ROGS also give transport operators some extra duties.

- You must put in place any measures identified by the risk assessment, and make arrangements for planning, organising, controlling, monitoring and reviewing these measures.

Reg 19(5)

- You must keep records (even if you have fewer than five employees) of:
  - the assessment process, including the methods you have used to work out the risks and any assumptions you made;
  - the significant findings, any measures already in place and any further measures you need to take; and
  - the arrangements for planning, organising, controlling, monitoring and reviewing the measures.
  
- The assessment must involve working with any related operators to tackle risks that arise from the 'interfaces' (where, for example, your vehicles cross or use their infrastructure).

### **A 'suitable and sufficient' risk assessment does the following.**

#### *Deals with all significant risks and dangers*

As well as obvious rail safety factors such as collisions and derailments, your risk assessment should also cover more general issues (for example, assaults to staff or slips and trips).

#### *Includes all parts of the organisation's work*

As EU targets for improving rail safety only relate to the risks arising from vehicles in motion on a transport system, you should make sure you consider other types of activity (such as how you load freight wagons or manage stations).

#### *Takes account of non-routine activities*

For example, your emergency procedures need to take account of the health and safety of the people taking the emergency action.

#### *Looks at risks and dangers as part of a system*

There is a range of techniques for doing this (such as carrying out inspections or a job-safety analysis).

#### *Considers the way work is organised*

Management systems and shift patterns should be designed so that they do not put people's safety at risk in any way. For example, not having enough members of staff can make some tasks unsafe.

#### *Involves staff and their representatives*

Employees and their safety representatives are well placed to contribute practical knowledge to the risk assessment process.

#### *Takes account of risks to the public*

This should go beyond people travelling on trains. For example, it may include taking reasonable steps to prevent people trespassing on the railway lines. It should also include risks to 'third parties', such as contractors working on the transport system.

### *Assesses the risks*

Try to consider risks based on how likely they are to happen and how serious the effects would be. You should only need to take action if it is reasonable and if it will significantly reduce the likelihood or seriousness of the risk better than any existing measures. A bad example of this would be introducing speed restrictions where they have no safety benefit.

### *Decides which measures are necessary to protect people's safety*

The assessment should either judge that you do not need to take any further action, or identify specific reasonable action you should take. This action should be designed to reduce or remove the likelihood of the risk happening (for example, by using powered equipment for manual-handling tasks). If this is not reasonable, the action should be designed to reduce the effects of the risk (in our example, making sure staff are trained to lift safely).

### *Involves staff with suitable knowledge and experience*

As well as being familiar with carrying out risk assessments, staff must have appropriate knowledge of the work being carried out. This is one reason why it is important to involve staff representatives in carrying out the assessment.

- 4.6 You do not need to include records of your risk assessments in an application for a certificate or authorisation (see [chapter 3](#)), but you should explain how you carry out risk assessments and how you choose which action to take as a result. Your safety management system should say where you keep your risk assessment records.

## **Purpose of a risk assessment**

- 4.7 ROGS do not explain what is meant by 'suitable and sufficient'. The Health & Safety Executive provides guidance on determining whether your risk assessment approach is 'suitable and sufficient' on its [website](#).

## **The risk assessment process**

- 4.8 Both ROGS and the [Management of Health & Safety at Work Regulations 1999](#) give you a duty to carry out a 'suitable and sufficient' assessment. There is a range of processes for achieving this. The five-step risk assessment model described in the Health and Safety Executive publication '[INDG163 A brief guide to controlling risks in the workplace](#)' (formerly known as 'Five Steps To Risk Assessment') is widely used and can help you do this.

## Five steps to carrying out a risk assessment

**Step 1:** Develop a system for identifying the dangers (hazards) resulting from the transport you run.

**Step 2:** Decide who might be harmed and how – in particular, you should identify any groups or types of passengers or workers who could be at risk.

**Step 3:** Evaluate the risk – you need to make a judgement about whether the arrangements you already have in place control the risk. If not, you should take action to correct this.

**Step 4:** Record your significant findings – this should include creating an action plan that you can monitor once it is put in place.

**Step 5:** Regularly review the assessment – regularly or as significant new processes or working arrangements (such as shift work) are introduced.

## More information

European Commission Implementing Regulation (EU) 402/2013 - common safety method on risk evaluation and assessment

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:121:0008:0025:EN:PDF>

### **ORR guidance**

ORR policy statement on the relationship between the CSM for risk evaluation and assessment and other risk assessment requirements

[http://orr.gov.uk/data/assets/pdf\\_file/0016/6028/rgd-2013-06.pdf](http://orr.gov.uk/data/assets/pdf_file/0016/6028/rgd-2013-06.pdf)

ORR guidance on the application of the CSM on risk evaluation and assessment

<http://orr.gov.uk/what-and-how-we-regulate/health-and-safety/regulation-and-certification/european-railway-safety-legislation/common-safety-methods>

### **Other guidance for the industry**

'Approved Code of Practice on Management Regulations', Health and Safety Executive (HSE)

[www.hsebooks.com](http://www.hsebooks.com)

HSE guidance on 5 steps (INDG163)

[www.hse.gov.uk/pubns/indg163.pdf](http://www.hse.gov.uk/pubns/indg163.pdf)

HSE web pages on risk management, including example risk assessments

[www.hse.gov.uk/risk/index.htm](http://www.hse.gov.uk/risk/index.htm)

Rail Safety & Standards Board safety risk model for the mainline railway

<http://www.rssb.co.uk/SPR/Pages/SAFETYRISKMODEL.aspx>

Rail Safety & Standards Board risk profile bulletin for the mainline railway

<http://www.safetyriskmodel.co.uk/Pages/default.aspx>

'Risk Assessment' guidance note (HGA-S0001), Heritage Railway Association (available only to HRA members)

[http://www.heritagerailways.com/mem\\_docsdb.php](http://www.heritagerailways.com/mem_docsdb.php)

## 5. Annual reports

### In the regulations

Regulation 20: Annual safety reports

Regulation 21: Document and record keeping

Schedule 3: Common Safety Indicators

### Timing

Reg 20(2)

5.1 If you are a mainline railway transport operator, you must provide us with an annual safety report by 30 June every year. The report covers your safety performance during the previous calendar year. (So, the report you need to send us by 30 June 2015 will cover the period from January 2014 to December 2014, and so on.)

### Contents

Reg 20(1)

5.2 The annual report must include the following information.

***Information on how you are meeting the safety targets identified in the safety management system (see [chapter 1](#))***

#### ***Your own safety targets***

Specific examples might include the following:

- Reducing the number of ‘signals passed at danger’ (SPADs) (for example, by providing extra training for drivers and holding briefings on ‘SPAD of the month’).
- Reducing slips, trips and falls at stations (for example, by improving how surfaces are maintained and providing training for cleaning staff).
- Improving how staff assaults are reported (for example, through a new briefing programme).

#### ***Common Safety Methods (CSMs)***

The European Commission has published:

- [Implementing Regulation \(EU\) 402/2013](#), which adopts a common safety method on risk evaluation and assessment; and
- [Regulation \(EU\) 1078/2012](#), which adopts a common safety method for monitoring of contractors by transport operators and ECMs.

The CSMs give transport operators a duty to report on their use of CSMs in their annual safety report. The report should briefly set out the operator’s experience with applying the CSMs. ECMs must report in their annual maintenance report their experience of applying the CSM for monitoring.

5.3 These will be your own safety targets as described in your safety management system.

5.4 In each case, you should provide basic information on the plans you have in place for meeting the targets.

## **The results of plans put in place to try and meet those targets**

5.5 This section should present information relating to each of the targets, including how much progress you made in achieving the expected results. You could take this information from the company's safety progress reports and review processes for that year.

## **Statistics for Common Safety Indicators (CSIs)**

5.6 You must provide information against a number of common indicators. Broadly speaking, CSIs cover the following:

- The number of accidents, broken down to give figures for specific types of accidents, such as:
  - collisions;
  - derailments;
  - accidents at level crossings;
  - people being hit by trains;
  - suicides; and
  - fires.
- The number of injuries and deaths, broken down to give figures for:
  - passengers;
  - workers;
  - level-crossing users; and
  - trespassers.
- The number of incidents and near misses, broken down to give figures for:
  - broken rails;
  - buckled rails;

- wrong-side signalling failures (that is, where a signal failure creates danger);
  - 'signals passed at danger'; and
  - broken wheels and axles on vehicles being used.
- The technical safety of the infrastructure, broken down to give figures for:
    - coverage of train protection systems; and
    - the number of level crossings (including percentages for the ones that work manually or automatically).
  - How your company manages its safety measures, particularly how often it carries out audits.

## Findings of audits

5.7 The report should explain your own audit of your safety management system, and set out the main safety-related findings.

This could include an assessment of:

- whether the safety policy is suitable and detailed enough;
- whether line managers accept their health and safety responsibilities, and the quality of arrangements to secure control by managers of the safety management system;
- the effectiveness of arrangements to consult employees or their safety representatives on safety matters;
- whether arrangements to train all employees and provide safety advice are suitable;
- whether management arrangements and risk-control systems are suitable;
- whether staff at all levels are keeping to the management arrangements;
- the design of monitoring systems and whether these are still relevant; and
- whether your review systems allow your organisation to learn from experience, improve performance, develop the safety management system and respond to changes.

## Comments on 'deficiencies and malfunctions'

5.8 This section should comment on serious accidents or 'near misses' which could have resulted in serious accidents, along with the lessons you have learnt and the action you have taken (if any). Incidents involving people committing suicide or trespassing

should not be covered in this section, and you do not need to repeat information you provided earlier in the report.

This section is likely to range from a few sentences to around half a page, depending on the type of incidents or information you are commenting on. Examples of 'deficiencies and malfunctions' include the following.

- An increase in signals passed at danger, identifying common causes for these incidents and the action you have taken as a result.
- A door fault, common to a particular class of train, which could result in serious injury. The action you have taken to put right the fault.
- An increase in the number of broken rails, identifying the causes of this and the action you have taken to limit the risk.
- A significant increase in the number of injuries to passengers in stations, identifying any causes (such as passengers messing around or misusing alcohol) and the action you have taken to reduce the risk.
- Any incidents or trends that show that safety is getting worse and are not covered elsewhere in the report.

## Annual reporting on the mainline railway

5.9 If you are a mainline operator, your annual report must cover your performance against CSIs. As well as the indicators described above, your report on the mainline railway should also include:

- in relation to accidents, a breakdown of all other types of accidents not mentioned above;
- in relation to injuries and deaths, information broken down by all other types of people; and
- a full account of the total costs of accidents, including:
  - compensation;
  - repairs to vehicles or the infrastructure;
  - disruption to service; and
  - any working time lost.

Reg 20(1)(c)

- 5.10 Where an operation is carried out in part on the mainline railway and in part on another transport system the report shall include only information in respect of the part carried out on the mainline railway.
- 5.11 Non-mainline operators operating on the mainline railway must cooperate with mainline dutyholders so that relevant information is included in the mainline duty holder's annual report.

### More information

More information

Guidance on annual safety reports

[http://orr.gov.uk/data/assets/pdf\\_file/0019/2728/asr-mnln.pdf](http://orr.gov.uk/data/assets/pdf_file/0019/2728/asr-mnln.pdf)

European Commission Implementing Regulation (EU) 402/2013 - common safety method on risk evaluation and assessment

<http://eur->

[lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:121:0008:0025:EN:PDF](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2013:121:0008:0025:EN:PDF)

## 6. Cooperation

- 6.1 A large part of the safety risk on the railways arises at the 'interfaces' between operators (for example, where different operators cross or run on the same infrastructure). For this reason, it is essential that operators, and their contractors, work together to make sure the system is safe.
- 6.2 Co-operation is one of the main themes of ROGS. This section of the guide refers only to the duty transport operators have to co-operate with each other under ROGS. It does not refer to co-operating with, for example, us or recognised trade unions.

### In the regulations

Regulation 22: Co-operation

(Regulation 26: Co-operation requirements for safety critical work)

- 6.3 The regulations introduce a specific duty of co-operation between operators (and other people such as contractors) whose activities affect one another. The duty is designed to make sure the railway is safe.

### Who does the duty apply to?

- Reg 22(3)
- 6.4 The duty to co-operate applies to all transport undertakings and infrastructure managers, and to everyone who must have a safety management system. This includes those operators who do not need a safety certificate or authorisation under ROGS. Importantly, the duty also applies to contractors - including those who are self-employed.
- 6.5 Employers who are not affected by ROGS but whose work affects the safety of a transport system have a duty to co-operate with transport operators under the Health & Safety at Work etc Act.

### Equal partnership

- 6.6 Under The Railways (Safety Case) Regulations 2000, which have now been revoked (withdrawn), 'infrastructure controllers' were responsible for making sure train (and station) operators kept to their safety cases. They had a duty to tell the safety regulator if they did not.
- 6.7 Transport operators are now equally responsible for co-operating to keep the railway system safe. Our role is to carry out inspections and provide advice to encourage operators to keep to ROGS, and to mediate (bring about an agreement) where operators cannot sort out problems between themselves.

## What does co-operation involve?

6.8 The aim of co-operating is to make sure the railway is safe. This means operators doing all they reasonably can to allow other operators to keep to ROGS. This particularly includes keeping to:

- the requirements of the safety management system duties (see [chapter 1](#)); and
- their risk assessment duties (see [chapter 4](#)).

### ***For operators***

Many areas of your safety management system give you a responsibility to co-operate with other operators (or give them a duty to co-operate with you). For example, it would be impossible for you to carry out an effective risk assessment of a part of the infrastructure that both you and they use without them co-operating with you. So, each area of the safety management system that needs you or another operator to co-operate should explain the procedures for doing so.

There is a range of processes for successfully co-operating with other operators. These processes include:

- consulting operators you share infrastructure with to make sure all the risks are recorded in writing in an application for a safety certificate or authorisation;
- meeting the relevant standards (for example, [Railway Group Standards](#) and company standards);
- taking part in national schemes that aim to reduce risk (such as programmes to reduce the risk of signals passed at danger);
- being involved in the process of setting industry standards;
- planning emergency procedures; and
- allowing access to premises and vehicles for risk assessment purposes.

### ***For contractors***

The duty means that you will need evidence that your contractors are:

- meeting your standards and targets;
- keeping to your risk assessments;
- keeping and providing evidence that their staff are trained and fit to carry out their roles; and
- managing the fatigue levels of any staff performing safety-critical work (see [chapter 7](#)).

## More information

### ***ORR guidance***

Our role in cooperation

<http://orr.gov.uk/what-and-how-we-regulate/health-and-safety/regulation-and-certification/rogs/dispute-resolution>

### ***Other guidance for the industry***

Rail Safety & Standards Board guidance on cooperation

<https://www.rssb.co.uk/improving-industry-performance/safety-management-systems/rogs-and-duty-of-cooperation>

## 7. Managing safety-critical work

7.1 ROGS give employers specific duties to make sure employees who perform safety-critical tasks are competent and fit enough to do so, and are not affected by fatigue. ROGS also give employers a duty to keep records of its assessment of safety-critical workers, and make these records available for us to inspect. Finally, organisations that control safety-critical work must co-operate with each other to make sure they can all keep to the requirements.

### In the regulations

Regulation 23: Defines safety critical tasks and terms

Regulation 24: Duty to manage competence and fitness of safety critical workers

Regulation 25: Duty to manage fatigue of safety critical workers

Regulation 26: Co-operation requirements

### What is safety-critical work?

7.2 There are a dozen broad areas of work that ROGS define as 'safety-critical tasks'. The regulations apply to how organisations manage all employees who perform these tasks where they could have a significant effect on the health and safety of people working on or using the transport system.

7.3 The first group of tasks must only be performed by someone who has been assessed as competent and fit to carry them out. They are as follows.

- (a) Driving and train dispatch
- (b) Operating signals and level crossings, and related communication
- (c) Coupling or uncoupling vehicles
- (d) Controlling the power supply connected to track and vehicles
- (e) Checking vehicles are working properly and, if loaded, loaded correctly
- (f) Protecting the safety of people working on or near to the track

7.4 The work involved in supervising and checking a second group of tasks is also classed as safety-critical work under ROGS. The important thing here is that these tasks are at least supervised, or the work checked, by someone who has been assessed as competent and fit to do so before the work has the opportunity to affect the health and safety of people working or travelling on the transport system. These tasks are as follows:

- (a) Installing vehicle parts.
- (b) Maintaining vehicles that are being used (and their parts)
- (c) Installing or maintaining any part of the infrastructure
- (d) Installing or maintaining the power supply
- (e) Installing, maintaining or operating the communications systems used to control vehicles' movement or call the emergency services

7.5 The final safety-critical task is training - or supervising training - in any of the above tasks where the training involves carrying out the actual task.

We have published guidance for industry that gives more detail on the safety-critical tasks defined in ROGS. This includes a list of the equivalent jobs for tramways and heritage railways.

Safety-critical tasks – clarification of ROGS requirements can be found at [http://orr.gov.uk/\\_data/assets/pdf\\_file/0014/2633/rsp004-rogs-crtcl\\_tasks.pdf](http://orr.gov.uk/_data/assets/pdf_file/0014/2633/rsp004-rogs-crtcl_tasks.pdf)

## What about work in sidings and depots?

Reg 23(1)

7.6 Your arrangements for managing safety-critical work must include times when the work is not carried out on the transport system (for example, in a maintenance depot or siding that is not part of the transport system). You must mainly consider:

- if the work is being carried out on vehicles that are in use on a transport system; and
- if the work could significantly affect the safety of people working on or travelling on the transport system.

### ***Example 1 – Coupling and uncoupling vehicles***

Coupling vehicles in a depot so they can then be driven onto the transport system is a safety-critical task. However, coupling vehicles to be able to shunt them around within the depot is not.

### ***Example 2 – Maintenance and repairs to vehicles***

Supervising or checking maintenance work on a 'hot spare' vehicle that is in a depot on standby for use is a safety-critical task under ROGS. However, 'maintaining' parts or vehicles that are not available to be used (such as where parts have been sent away for reconditioning) is not a safety-critical task.

7.7 However, even if safety-critical duties under ROGS do not apply, there is still a general duty under the [Health & Safety at Work etc Act 1974](#) to manage the quality of this kind of work.

## Who has the duty to manage safety-critical work?

7.8 ROGS give this responsibility to the 'controller of safety-critical work'. This means those organisations that actually control the people doing the safety-critical tasks. ROGS do not give individuals within organisations a duty to be 'appointed' as controllers of safety-critical work, as the reference to 'any person' in the definition includes corporate organisations. So, the duty is on those organisations to have systems in place to make sure that individuals under their control are competent and fit.

### Example

#### *Who is the controller of safety critical work?*

- A is an agency worker for agency B.
- Agency B provides staff to subcontractor C.
- C is the subcontractor for main contractor D.
- D are the infrastructure manager's contractor.
- The infrastructure manager is the client.

If worker A is asked to carry out a safety-critical task, the controllers of the safety-critical work are C, D and the infrastructure manager.

Agency B is not a controller of safety-critical work as it does not 'control the carrying out of safety-critical work on a transport system or in relation to a vehicle used on a transport system'. However, as part of its general health and safety responsibilities, it would be appropriate for Agency B, when taking on a new employee, to carry out basic checks to make sure the employee is suitably trained and fit to carry out the work.

Subcontractor C must make sure that worker A has been assessed to make sure they are trained and fit, and make available accurate and up-to-date records for main contractor D or the infrastructure manager (the other controllers).

All operators and controllers of safety-critical work have a duty to co-operate with each other so that everyone can carry out their duties. The infrastructure manager will need systems to make sure their contractors (as people under their control) only use trained and fit people who are not too affected by fatigue to carry out safety-critical work. This may mean providing access to the information their contractors hold on the people carrying out safety-critical work, and information on contractors' management arrangements for dividing their responsibilities as controllers of safety-critical work.

# What duty holders must do

## Making sure people are competent and fit

Reg 24(1) 7.9 ROGS do not give safety-critical workers a duty to carry identity cards. However, the controller of safety-critical work has a duty to make sure that every person who is under their management, supervision or control and is carrying out safety-critical tasks is competent and fit to do so (except when they are receiving practical training to carry out the task). Controllers of safety-critical work must:

- make sure an objective, trained assessor assesses safety-critical workers as being trained and fit to carry out the work;
- keep and update a written record of the worker's training and fitness, including the conditions against which they were assessed;
- make their written records available for us to inspect, or for other affected controllers or operators to inspect after making a reasonable request to do so;
- put in place a suitable and sufficient system to monitor the training and fitness of safety-critical workers; and
- review and reassess safety-critical workers' competence or fitness if they have reason to doubt it or if the task changes significantly.

Reg 24 (2)&(3) 7.10 ORR's Railway Safety Publication 1 ['Developing and Maintaining Staff Competence'](#) provides detailed guidance on monitoring the competence and fitness of staff - see in particular:

- Principle 10: Monitoring and re-assessing staff performance; and
- Appendix 1: Fitness

### Competence-management systems

The most effective way for you to manage the competence and fitness of your workers is to develop a competence-management system (CMS). Setting up a CMS is a five-stage process.

#### 1 ***Deciding what the CMS needs to cover***

- Identify the work activities involved and assess the associated risks.
- Choose or develop standards to make sure the identified risks are controlled consistently.

## **2 Design the CMS**

- Define the roles and responsibilities of the managers running the CMS.
- Develop a quality-assurance process to make sure each part of the system consistently achieves the results you want.
- Put in place the most suitable methods for developing and assessing staff to meet the standards you have set. For normal tasks, the assessment might just involve interviewing the relevant person. For emergency situations, this should be supported with techniques like group exercises or drills.
- Identify the training, development and assessments which staff, managers and employees need.
- Make sure the managers running the system (trainers, assessors and so on) continue to receive the training they need.

## **3 Put the CMS in place**

- Choose and recruit staff using suitable standards and methods (for example, questionnaires, worked test examples, structured interviews). For a complicated task, it may be helpful for the candidate to work alongside a member of staff for a day or two.
- Train, develop and assess staff to your standards. Contractors should work to the same standards as permanent staff.
- Put a control process in place to make sure staff only carry out the tasks they are competent to do.

## **Maintain and develop competence**

- Monitor and reassess staff to make sure the CMS works consistently. Monitoring could range from having a structured scheme of formal observation to unannounced checks (such as using a radar gun to check speed).
- Update individuals' training in response to relevant changes.
- Identify the reasons for any performance that fails to meet the standards and take action to correct this by dealing with the causes first.
- Maintain assessment records and make them available

## **5 Check, audit and review CMS**

- Check, audit and review CMS
- Make sure the system is being used correctly and that it is delivering suitable and sufficient training and assessment.
- Create 'feedback loops' so that the people carrying out the work can comment on the CMS arrangements and suggest improvements.

- Improve the system based on the review and information relating to safety performance.

CMS are explained in more detail in our publication [‘Developing and maintaining staff competence’](#).

## Fatigue

7.11 Fatigue (extreme tiredness) has been identified as one of the main causes of incidents on the railways. It can lead to workers becoming less alert or motivated, or making more mistakes or poor decisions. Controllers must make sure that workers do not carry out safety-critical tasks if they are affected by fatigue (or would be affected if they carried out the task) in a way that also affects health and safety. This includes the effects fatigue itself has on the health of the worker.

Reg 25(1)

The work factors that influence fatigue levels normally include:

- how long a worker has been awake;
- how overtime is controlled;
- the nature of the work (for example, where workers have to carry out repetitive tasks or where a task requires a very high level of alertness);
- the workload and working environment;
- a roster that prevents workers from getting enough sleep between shifts;
- workers’ sleep being disturbed because they are ‘on-call’; how often workers have breaks;
- recovery time during periods of work; and
- how long it takes workers to travel to and from work.

7.12 ORR has published detailed revised guidance: [‘Managing Rail Staff Fatigue’](#), which is available on our website. Section 6 of this guidance contains particular considerations for safety critical work. To assess the risk of fatigue, the controller must look at and deal with the causes.

An effective process for managing the risks caused by fatigue in safety-critical workers should include the following stages.

### **1 Identify the workers affected**

Find out who carries out safety-critical tasks, and particularly consider those workers who are most at risk of being affected by fatigue when carrying out these tasks.

## **2 Set standards and design working patterns**

Identify, set and keep to appropriate standards and good practice for working hours and working patterns. The working-time restrictions set out by law are not enough on their own.

## **3 Limit the times when workers go beyond the standards**

Make sure workers only go beyond the standards in exceptional circumstances. A good way of doing this is to record the times this happens to help build a profile.

## **4 Consult safety-critical workers**

Involve employees and their safety representatives when developing the arrangements for managing fatigue, and consult them on the changes you plan to make. You could also consider how workers can be encouraged to report fatigue at the start of or during a shift without being penalised in any way.

## **5 Record the arrangements**

Make and update a record of these arrangements. Make sure the affected workers are aware of and understand the arrangements.

## **6 Provide information**

As well as the above, make sure that employees who carry out safety-critical work know how fatigue should be controlled and have access to all relevant information about health- and-safety risks caused by fatigue.

## **7 Monitor**

Check that the arrangements are effective (for example, by monitoring actual hours worked, levels of overtime, and how often workers go beyond the standards).

## **8 Taking action when safety-critical workers are affected by fatigue**

Make sure that workers who come to work while clearly affected by fatigue do not carry out safety-critical tasks. Similarly, workers who become affected by fatigue during a shift should not continue carrying out a safety-critical task. Providing enough rest is one way of controlling this risk.

## **9 Review the arrangements**

Update your arrangements if you have reason to doubt their effectiveness (for example, if you are concerned they are not working properly or if you make changes to working patterns).

## Co-operation requirements for safety-critical work

7.13 The co-operation requirement in ROGS builds on the existing requirement (in the [Management of Health & Safety at Work Regulations 1999](#)) for employers and self-employed people who share a workplace to co-ordinate their safety measures.

Reg 26(1)

- Controllers of safety-critical work and safety-critical workers must all co-operate with each other to make sure that controllers can keep to their requirements under ROGS. There are two parts to the co-operation requirement, as follows.

- Controllers must co-operate with other controllers or operators whose activities their work affects.

Reg 26(2)

- Anyone carrying out safety-critical tasks must co-operate with controllers affected by safety-critical work.

7.14 This co-operation would include things like sharing information, or co-ordinating and following agreed procedures.

### More information

#### **ORR guidance**

Safety-critical tasks - clarification of ROGS requirements

[http://orr.gov.uk/data/assets/pdf\\_file/0014/2633/rsp004-rogs-crtcl\\_tasks.pdf](http://orr.gov.uk/data/assets/pdf_file/0014/2633/rsp004-rogs-crtcl_tasks.pdf)

Developing and maintaining staff competence

[http://orr.gov.uk/data/assets/pdf\\_file/0016/4264/sf-dev-staff.pdf](http://orr.gov.uk/data/assets/pdf_file/0016/4264/sf-dev-staff.pdf)

Managing rail staff fatigue

[http://orr.gov.uk/data/assets/pdf\\_file/0005/2867/managing\\_rail\\_fatigue.pdf](http://orr.gov.uk/data/assets/pdf_file/0005/2867/managing_rail_fatigue.pdf)

Further guidance on terms associated with safety-critical work

[http://orr.gov.uk/data/assets/pdf\\_file/0018/2565/ROGS-Gdnce-SCWterms.pdf](http://orr.gov.uk/data/assets/pdf_file/0018/2565/ROGS-Gdnce-SCWterms.pdf)

#### **Other guidance for the industry**

Health and Safety Executive fatigue and risk index and calculator

[www.hse.gov.uk/research/rrhtm/rr446.htm](http://www.hse.gov.uk/research/rrhtm/rr446.htm)

'Safety Critical Work' (HGA-S0002) guidance note, Heritage Railway Association (available only to HRA members)

[http://www.heritagerrailways.com/mem\\_docsdb.php](http://www.heritagerrailways.com/mem_docsdb.php)

## 8. Entities in Charge of Maintenance (ECM)

Reg 18A(1)

8.1 ROGS requires anyone placing a vehicle in service or using it on the mainline railway to make sure that:

- an entity in charge of maintenance (ECM) has been assigned to the vehicle;
- the details of the ECM are registered on the national vehicle register (NVR); and
- the ECM holds an ECM certificate if the vehicle is a freight wagon.

### In the regulations

Regulation 18A: Maintenance of vehicles on the mainline railway

## Who can become an ECM?

8.2 An ECM is:

- anyone responsible for the safe maintenance of a vehicle; and
- registered as the ECM in the NVR.

8.3 Anyone meeting these criteria can become an ECM. This can include people or organisations such as transport undertakings, infrastructure managers, keepers or maintenance organisations. The parties to a contract that relates to a vehicle can decide who will be the ECM. This applies for example when a rolling-stock leasing company leases a vehicle to a transport undertaking. Under the terms of the lease, either the transport undertaking or the leasing company may be responsible for the maintenance of the vehicle and may be the ECM.

## What is the NVR?

8.4 The [NVR \(National Vehicle Register\)](#) is a database of vehicles authorised or operated in Great Britain under the Railways (Interoperability) Regulations 2011. The Secretary of State has appointed a registration entity to maintain the NVR.

## The registration entity

Network Rail Infrastructure Ltd is the registration entity for the NVR in Great Britain. If you are not sure whether a vehicle has an ECM assigned to it, you can contact the director of asset information, or the senior rail vehicle asset knowledge engineer, as follows:

Address: Infrastructure Asset Data Management  
Network Rail  
The Quadrant: MK  
Elder Gate  
Milton Keynes  
MK9 1EN

Email: [nvr@networkrail.co.uk](mailto:nvr@networkrail.co.uk)

Phone: 01908 781346

## The registration holder

The registration holder is the person that is responsible for providing information about a vehicle to the registration entity. Unless otherwise specified in the registration documents, the keeper of the vehicle is the registration holder.

The registration holder is also responsible for declaring:

- any modification to the data entered on the NVR;
- the destruction of a vehicle; or
- its decision to no longer register a vehicle to the registration entity.

## Who is responsible for assigning an ECM to a vehicle

- 8.5 The registration holder is responsible for assigning an ECM to a vehicle. Manufacturers or 'contracting entities' may also assign an ECM to a vehicle but if they do so, they will be acting in the role of registration holder. A 'contracting entity' is the person who contracts, or intends to contract, with another person for that other person to design, construct, renew or upgrade a subsystem under the [Railways \(Interoperability\) Regulations 2011](#).

## Who is responsible for registering the ECM on the NVR?

- 8.6 The registration holder is responsible for giving the registration entity details of the ECM. If those details change, the registration holder is also responsible for telling the registration entity about those changes. A transport undertaking hauling a wagon for which the ECM changes should satisfy itself that the registration holder has given the registration entity the details of the new ECM for that vehicle.

8.7 Once the registration entity has been given the ECM's details, or details of any changes, it must make sure this information is entered on the NVR. The details that the registration entity needs are:

- the name of the ECM;
- the full address of the ECM;
- the European Vehicle Number (which identifies the vehicle for which the ECM is responsible)
- the ECM's email address.

8.8 The transport undertaking has to ensure that each vehicle it uses has an ECM assigned to it and registered in the NVR. A transport undertaking can check if a vehicle has an ECM assigned to it and registered on the NVR in Great Britain by accessing the GB NVR. Permission to access the NVR is granted by the registration entity.

### The keeper

The keeper of a vehicle is the person who owns it, or has a right to use it, and operates it as a means of transport.

The keeper of a vehicle could be, for example:

- the owner;
- a company running a fleet of wagons;
- a company leasing vehicles to a transport undertaking;
- a transport undertaking;
- an infrastructure manager using vehicles for maintaining its infrastructure; or
- a contracting entity (that is, someone who orders the design, construction, renewal or upgrading of a vehicle) .

These people or organisations have control over vehicles used as a means of transport by a transport undertaking or an infrastructure manager. ORR regards the keeper as the registration holder for the purposes of the NVR, (unless other specific arrangements are made and explained to us). Further details on the role of the registration holder can be found in the [Railway Safety Directorate Internal Guidance on the ECM requirements in ROGS](#).

## The role of the ECM

Reg 18A(2)

8.9 The ECM does not have to carry out the maintenance of the vehicle itself. It can subcontract the actual maintenance of the vehicle. But even if the ECM subcontracts the maintenance, it is still responsible for making sure that the vehicle is safe to run on the network. The ECM needs to manage the contract and make sure the contractor is competent to carry out the work.

Reg 18A(3)

8.10 If you are an ECM, you must have a system of maintenance in place for all vehicles you are responsible for. The system of maintenance is the process that allows the vehicles to be maintained in line with:

- the maintenance file for that particular vehicle;
- maintenance rules; and
- technical specifications for interoperability.

8.11 The [Railway Safety Directorate Internal Guidance on the ECM requirements in ROGS](#) gives further guidance on a system of maintenance.

### Maintenance file

The maintenance file is the written file that contains all the technical and management information that is necessary to determine the maintenance activities that need to be carried out on a vehicle.

It is a vital part of the maintenance arrangements of an ECM and allows the ECM to demonstrate that it has suitable maintenance arrangements in place to make sure relevant rules and regulations are followed.

The management information in the maintenance file includes details of the nature of operation of the vehicle.

The [Railway Safety Directorate Internal Guidance Document on the ECM requirements in ROGS](#) gives further guidance on the maintenance file.

### Maintenance rules

Maintenance rules are any rules, applying to the whole of Great Britain, which set out requirements relating to maintaining vehicles. 'Rules applying to the whole of Great Britain' mean national and European laws and standards related to the maintenance of vehicles.

## Certification

8.12 If you are an ECM responsible for the maintenance of freight wagons, you must obtain an ECM certificate from a certification body. In Great Britain, certification bodies will either be an accredited body or, until 31<sup>st</sup> May 2018, the national safety authority (ORR) . A list of accreditation bodies can be found in the [European Railways Agency Database of Interoperability and Safety \(ERADIS\)](#). Guidance on how to apply to ORR for an ECM certificate can be found on our [website](#).

Reg 27(1)

8.13 You can appeal to the Secretary of State if you are not happy because a certification body (including ORR) in Great Britain:

- refused your application for a certificate (including an application to amend or renew your certificate);
- failed to make a decision on your application within four months;
- suspended or revoked your certificate;
- issued an improvement plan that you did not agree; or
- limited the scope of your certificate.

8.14 You can ask for details of the appeals process from the certification body. An appeals process is in ORR's guidance on applying for an ECM certificate on our website.

### More information

#### **ORR guidance**

Railway Safety Directorate Internal Guidance on the ECM requirements in ROGS  
[http://orr.gov.uk/data/assets/pdf\\_file/0015/2283/rgd-2012-01-web.pdf](http://orr.gov.uk/data/assets/pdf_file/0015/2283/rgd-2012-01-web.pdf)

#### **Other guidance for industry**

National Vehicle Register requirements for compliance with ROGS

Available from Network Rail by emailing [nvr@networkrail.co.uk](mailto:nvr@networkrail.co.uk) and including "NVR Guidance Document" in the subject heading.

European Commission Decision 2007/756/EC (as amended by Decision 2011/107/EU) adopting a common specification of the national vehicle register

[http://eur-](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:305:0030:0051:EN:PDF)

[lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:305:0030:0051:EN:PDF](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:305:0030:0051:EN:PDF)

[http://eur-](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:043:0033:0054:EN:PDF)

[lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:043:0033:0054:EN:PDF](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:043:0033:0054:EN:PDF)

European Commission Regulation (EU) 445/2011

[http://eur-](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:122:0022:0046:EN:PDF)

[lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:122:0022:0046:EN:PDF](http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:122:0022:0046:EN:PDF)

Guidance on Railways (Interoperability) Regulations, Department for Transport

<https://www.gov.uk/government/policies/expanding-and-improving-the-rail-network/supporting-pages/rail-interoperability-and-standards>

# Glossary of terms

Reg 2

Regulation 2 of ROGS gives the full legal definitions of most of the terms used in the regulations. This guide gives a simple explanation of terms when they are first used. The most important ones that are not included elsewhere are explained here. However, these explanations do not replace the full legal definitions in the regulations.

Term	Definition
<b>Certification body</b>	'Certification body' means an accredited body, a recognised body or a national safety authority responsible for the certification of entities in charge of maintenance and the certification of separate maintenance functions
<b>Duty holder</b>	'Duty holder' means the person responsible for carrying out a particular duty under the regulations
<b>Entity in charge of maintenance (ECM)</b>	'Entity in charge of maintenance' (ECM) means any person or organisation that is responsible for the safe maintenance of a vehicle and is registered as an ECM in the national vehicle register. This can include people or organisations such as transport undertakings, infrastructure managers, keepers or maintenance organisations
<b>ECM Regulation</b>	'ECM Regulation' means Commission Regulation (EC) 445/2011 which establishes a system of certification of entities in charge of maintenance for freight wagons
<b>ECM Certificate</b>	'ECM Certificate' means a certificate issued to an ECM in accordance with the ECM Regulation or a certificate or self-declaration recognised as being equivalent for those purposes
<b>Freight wagon</b>	'Freight wagon' means a non-self-propelled vehicle designed for the purpose of transporting freight or other materials to be used for activities such as construction or infrastructure maintenance
<b>Infrastructure</b>	'Infrastructure' means fixed assets used for running a transport system, including:

	<p>the permanent way or any other method of guiding or supporting vehicles;</p> <ul style="list-style-type: none"> <li>■ any station;</li> <li>■ equipment used for signalling; and</li> <li>■ equipment used only for supplying electricity to run the transport system</li> </ul>
<b>Keeper</b>	<p>'Keeper' means the person who owns a vehicle, or has a right to use it, and operates it as a means of transport</p>
<b>Railway</b>	<p>'Railway' means a system of transport using parallel rails which:</p> <ul style="list-style-type: none"> <li>■ support and guide vehicles carried on flanged wheels; and</li> <li>■ form a track which has a gauge of at least 350 millimetres or crosses a carriageway (whether or not it is on the same level).</li> </ul> <p>'Railway' does not include tramways.</p> <p>A railway is a 'mainline railway' unless:</p> <ul style="list-style-type: none"> <li>■ we determine that it falls within one or more of these categories: <ul style="list-style-type: none"> <li>- metros and other light rail systems;</li> <li>- networks that are functionally separate from the rest of the mainline railway system and intended only for the operation of local, urban or suburban passenger services, as well as transport undertakings operating solely on these networks;</li> <li>- heritage, museum or tourist railways that operate on their own networks; or</li> </ul> </li> <li>■ we determine that heritage vehicles that operate on the mainline railway and comply with national safety rules are deemed not to operate on the mainline railway; or</li> <li>■ it is privately owned infrastructure that exists solely for use by the infrastructure owner for its own freight operations.</li> </ul>

	<p>Railways that fall under (a) and (b) above are contained in an <a href="#">Approved List</a> on our website. These railways are described as non-mainline railways.</p>
<b>Transport system</b>	<p>'Transport system' mainly means a railway (mainline or non-mainline), a tramway, or any other guided transport system used completely or mainly to carry passengers. The exceptions to this are listed <a href="#">Chapter 1</a>.</p>
<b>Tramway</b>	<p>'Tramway' means a system of transport:</p> <ul style="list-style-type: none"> <li>■ which is used completely or mainly to carry passengers;</li> <li>■ where the maximum speed allows the driver to stop a vehicle in the distance he can see to be clear ahead; and</li> <li>■ which uses parallel rails which: <ul style="list-style-type: none"> <li>- support and guide vehicles carried on flanged wheels; and</li> <li>- are laid completely or partly along a road or in any other place to which the public has access (including a place where the public has access only after making a payment).</li> </ul> </li> </ul> <p>Some sections of the mainline railway that are street running, and operate by line of sight, may fit the definition of 'tramway'. These parts of the mainline railway are not excluded. The <a href="#">Approved List</a> shows tramways that are excluded.</p>
<b>Vehicle</b>	<p>'Vehicle' includes a mobile traction unit. In this guidance it is also used to include 'rolling stock', which means any carriage, wagon or other vehicle used on tracks and including locomotives. 'Vehicle' also refers to anything which, whether or not it is built or adapted to carry any person or load, is built or adapted to run on flanged wheels over or along track.</p>



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