



OFFICE OF RAIL REGULATION

Assessment criteria for mainline railway safety certificate and safety authorisation applications

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Amendment log

Amendment no.	Date introduced	Criteria affected	Detail
1	June 2010	MTU C4 and MIM C4	Expected evidence revised to make it clear that accurate and complete safety information should be provided to the employees of all parties.
2	April 2011	All	Alignment with Commission Regulations (EU) 1158/2010 and 1169/2010 establishing a common safety method for assessing conformity with requirements for obtaining safety certificates and safety authorisations respectively.
3	November 2014	MTUA, MTUB, MTUC, MTUM, MTUBA, (MTUBC), MIMC, MIMM, and MIMT	<p>To take in to account</p> <ul style="list-style-type: none"> • the Railways and Other Guided Transport Systems (Safety)(Amendment) Regulations 2011; • the Railways and Other Guided Transport Systems (Miscellaneous Amendments) Regulations 2013; • Commission Regulation (EU) 402/2013 on a common safety method (CSM) for risk evaluation and assessment; and • Commission Regulation (EU) 1078/2012 (the CSM for monitoring).

Introduction

1. European Commission Regulations (EU) 1158/2010 and 1169/2010 establishing a common safety method for assessing conformity with requirements for obtaining safety certificates and safety authorisations respectively, came into force on 3 January 2011. These Regulations set out criteria for assessing conformity with these requirements across the European Union.
2. This guidance contains the EU criteria along with an indication of the evidence which ORR expects to be provided when applications for certificates or authorisations are submitted. It amends our previous guidance 'Assessment Criteria for Safety Certificate and Authorisation applications for mainline railways' dated April 2011 to take into account the entry into force of:
 - the Railways and Other Guided Transport Systems (Safety)(Amendment) Regulations 2011; and
 - the Railways and Other Guided Transport Systems (Miscellaneous Amendments) Regulations 2013.
3. Both of these amend the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS).
4. This guidance also takes into account the entry into force of
 - Commission Regulation (EU) 402/2013 on a common safety method (CSM) for risk evaluation and assessment; and
 - Commission Regulation (EU) 1078/2012 (the CSM for monitoring).
5. Ultimately, interpretation of the criteria is a matter for the courts, but where an applicant supplies information which meets the expected evidence set out here, ORR will generally accept this as sufficient for the issue of a certificate or authorisation.

The permissioning process and the overall regime

6. ROGS requires evidence of the management capability of an applicant to operate safely. The duty is a high-level one, and consequently it is not necessary to provide very detailed evidence when submitting an application. A satisfactory application will provide

- clear and coherent evidence that there is a safety management system (SMS) in place, which is capable of delivering safety; and
- 'signposts', to where more detailed information can be found, with specific references to named company procedures and standards.

7. The assessment process will test the evidence submitted in applications and provide confidence in the applicant's capability. This is done in two ways. Firstly by an examination of application documents before the issue of a certificate or authorisation and then a more detailed verification through inspection after they have been issued. The overall regime is therefore rigorous and well-balanced between a paper-based assessment of systems, and checking and testing on the ground.

Amendment and renewal of safety certificates and authorisations

8. Applicants seeking amended or renewed certificates or authorisations are advised to contact their lead inspector in the first place to discuss the renewal/amendment of their certificate or authorisation. In the case of amendments, the relevance of the criteria will depend on the nature of the alterations to the operation and the consequential changes arising from them. In the case of renewal applications the submission need only describe changes to information previously sent to ORR for the first application and an indication of where the evidence to each criterion can be found in the SMS. This may be in the information previously provided. The relevant criteria will then be used by ORR to assess the application.

Risk of serious accidents

9. The Railway Safety Directive places an onus on EU Member States to give priority to the prevention of serious accidents. A railway operator should be able to demonstrate that its SMS can control the risks which might lead to serious accidents and this process is therefore one of the means by which Member States, through their national safety authorities, help achieve this.

Structure of the guidance

10. The assessment criteria are divided into three sections:

- Safety certificates – Part A (transport undertakings [i.e. train operations on the mainline network]) ;
- Safety certificates – Part B (transport undertakings; and
- Safety authorisations (infrastructure managers).

11. There is considerable overlap between the categories but they are organised this way for ease of use.

12. Each criterion is structured in the following way.

- The sub-criteria;
- A brief description of its purpose, where this is not self-evident; and
- A list of items of evidence that the applicant is generally expected to cover in a narrative summary (see paragraphs 13-17).

Expected evidence

13. The evidence that ORR expects applicants to submit to fulfil each criterion should comprise

- a concise narrative summary which provides an overview of the subject; and
- a description of how the applicant manages that aspect of its operation.

14. Whenever the expected evidence refers to an “overview”, “summary” or “description”, all these terms mean a low level of detail. The evidence should refer by name to

- company procedures and specific parts of the SMS where further details can be found; and
- relevant industry standards.

15. Applicants should **not** provide copies of these documents, or copies of their risk assessments unless an inspector specifically requests them as supporting evidence during the assessment process (see paragraph 18).

16. For some applications, not all the listed items of evidence will be relevant. Applicants should exercise common sense in determining which aspects need to be addressed and, if not obvious, explain why it is not relevant to the assessing inspector.

17. Where an assessor is not satisfied that the evidence provided is of suitable quality, or covers all the necessary ground, they will ask for further evidence from the applicant. The assessment process set out in Chapter 4 of the [Assessment Manual](#) describes this, but it is likely that a meeting with the applicant will be necessary before further evidence is submitted. **Once submitted, this forms part of the application.**

Further information

18. ORR expects an applicant to have a developed safety management system and associated procedures in place to underpin the high-level information provided in an application. We also expect an applicant to

refer to these extensively in its application. An assessor may ask for additional information which will not form part of the application but which will be used

- to satisfy the assessor of the applicant's capability; or
- to clarify the evidence the applicant has submitted.

19. This is likely to occur for new applicants or where an existing duty holder proposes to run an operation significantly different from its current one. To help meet the timescale, applicants should respond rapidly to such requests.

Assessment timescale

20. ORR is required to notify the applicant of its decision within four months of receiving comments from affected parties, although we are entitled to "reset the clock" each time we receive further information. It is ORR's policy to meet this four-month deadline without resetting the clock. So we will only do so when there is a good reason. Chapter 4 of the [Assessment Manual](#) provides further details. Assessors will therefore only ask for further information and supporting evidence at certain points in the process to avoid prolonging it unnecessarily.

Too much evidence

21. If evidence is provided that is significantly in excess of what the criteria require, the assessor may limit the assessment to what is required, informing the applicant accordingly.

Proportionality

22. Assessors will consider whether the evidence provided by the applicant for each criterion is in proportion to the overall level of risk arising from the operation. This is a qualitative judgement, but will be based on

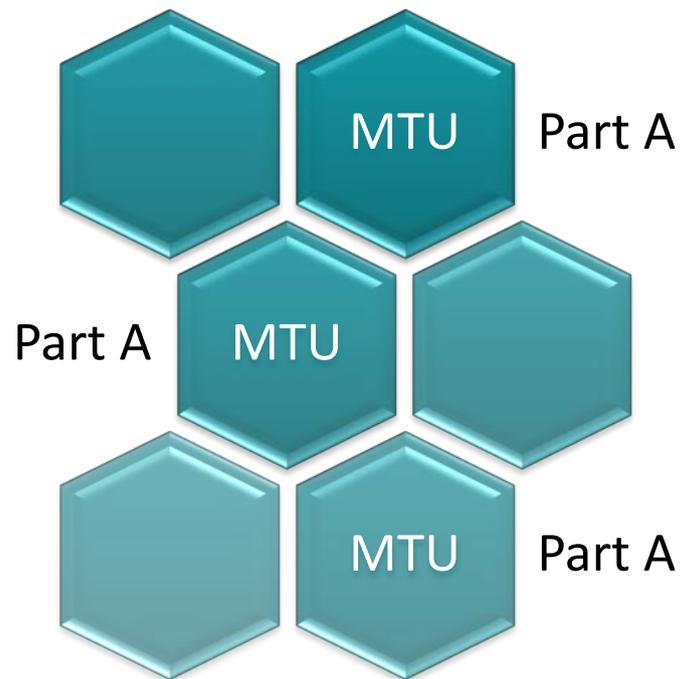
- the information provided under criterion E (about the type and extent of the operation);
- the risks associated with this activity; and
- any relevant information already held by ORR relating to the operation.

23. In general, smaller or lower risk operators, who have simpler management structures will not need to submit as much evidence.

Freedom of information

24. Applicants should be aware that evidence submitted to ORR is subject to disclosure under the Freedom of Information Act 2000. Where it is necessary to submit commercially or personally confidential information this should be clearly indicated as there are exemptions on disclosure for such material.

Section 1: Safety certificates - Part A (Transport Undertakings)



MTU Criterion A: Risk control measures for all risks associated with the activity of the transport undertaking

<p>Sub-criteria</p>	<p>A.1. There are procedures put in place to identify risks associated with railway operations, including those directly arising from work activities, job design or workload and the activities of other organisations/persons.</p> <p>A.2. There are procedures in place to develop and put in place risk control measures.</p> <p>A.3. There are procedures in place to monitor the effectiveness of risk control arrangements and to implement changes when required.</p> <p>A.4. There are procedures in place to recognise the need to work together with other entities (such as the infrastructure manager, transport undertakings, manufacturer, maintenance supplier, entity in charge of maintenance, railway vehicle keeper, service provider and procurement entity), where appropriate, on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures in accordance with Article 4(3) of the Railway Safety Directive.</p> <p>A.5. There are procedures for agreed documentation and communication with the relevant entities including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges.</p> <p>A.6. There are procedures to monitor the effectiveness of these arrangements and to implement changes when required.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that it has the ability to identify, assess and control risks which arise both from its own activities and those caused by others. This does not require a list of all risks or categories of risk relevant to the applicant, but requires the applicant to show how its systems and procedures are designed and organised to facilitate the assessment of risks and their subsequent control.</p>

	<p>This criterion provides a practical interpretation of the general risk identification requirements. They require the TU/IM to identify the risks associated with its operations and put in place measures to control all these identified risks. It is important to remember that these criteria do not deal with managing the risks from changes (this is dealt with under Assessment Criterion N).</p> <p>How this information is organised and communicated is a matter for the applicant to describe in the application. In terms of job design, it is important to avoid an excessive volume of tasks and a conflict between different safety-related duties. It is also important that job design maintains or improves the existing level of safety. Under criterion A.4, it is important to develop co-operation arrangements to address interface risks or risks which are shared between concerned parties.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • how the applicant identifies risks associated with its operations (A1 part); • how it identifies risks arising from the activities of 'other persons' where appropriate and reasonable (A1 part); • how it goes about controlling risk in terms of selecting appropriate risk mitigation measures (A2); • systems for monitoring the effectiveness of risk management arrangements (including procedures to identify and report risks arising from defects and construction non-conformities and malfunctions) and how changes are implemented when required (A3) (A6); • particular arrangements and procedures for controlling risk from <ul style="list-style-type: none"> (i) the supply of maintenance and material; (ii) the use of contractors (including how safety responsibilities and tasks are known and allocated with them); and (iii) verifying safety performance complies with contract requirements ([A5 part] and [A4]); and • procedures to verify the competence of contractors (including subcontractors) and suppliers at the time of their selection (A5 part).

For 'significant' changes, the common safety method (CSM) for risk evaluation and assessment will need to be applied. [ORR guidance](#) gives advice on when this is the case. Applicants should provide a summary of their procedure and a reference to the full procedure, setting out how they will comply with the CSM.

MTU Criterion B: risk control related to the supply of maintenance and material

<p>Sub-criteria</p>	<p>B.1. There are procedures to derive maintenance requirements/standards/processes from safety data and from the assignment of rolling stock.</p> <p>B.2. There are procedures to adapt maintenance intervals according to the type and extent of service performed and/or data from rolling stock.</p> <p>B.3. There are procedures to ensure that the responsibility for maintenance is clearly defined, to identify the competencies required for maintenance posts and to allocate appropriate levels of responsibility.</p> <p>B.4. There are procedures to collect information on malfunctions and defects arising from day-to-day operation and to report them to those responsible for maintenance.</p> <p>B.5. There are procedures to identify and report risks arising from defects and construction non-conformities or malfunctions throughout the lifecycle to interested parties.</p> <p>B.6. There are procedures to verify and control the performance and results of maintenance to ensure that they comply with corporate standards.</p>
<p>Purpose</p>	<p>The purpose of this information is to check that the rolling stock[†] has undergone the appropriate scrutiny with regards to its initial integrity and provide evidence that maintenance is managed according to set standards and/or programmes.</p> <p style="background-color: #e0e0e0; padding: 10px;">† "Rolling stock" in this case means any carriage, wagon or other vehicle used on track and includes a locomotive</p> <p>The main risk arising from maintenance activities is that vehicles become unsafe because of degradations, damages, wear and tear appearing during operations. Entities in charge of maintenance (ECMs) and TUs/IMs each have a role in</p>

managing risks arising from maintenance activities.

According to regulation 18A of ROGS, the system of maintenance of the ECM ensures that vehicles are in a safe state of running. The degradations and damage (not always visible) may lead to an unsafe state of running. The ECM has to put in place the necessary maintenance measures to ensure these are under control and are returned in a safe state when necessary. The use of a process, which includes details of how information is exchanged between the parties involved, is an accepted way of managing these risks. In particular the ECM has to ensure that the vehicles are in a safe state after maintenance and before returning to operation.

TUs/IMs manage the operational risks of running trains in an unsafe state. This is often achieved through pre-departure checks and monitoring en-route by operational staff and should be described in the TU/IM's SMS.

An ECM for freight wagons with a certificate demonstrates an effective and efficient way of supporting the control of risks associated with the supply of maintenance. This provides assurance to the transport undertaking that the ECM complies with regulation 18A of ROGS.

TUs must recognise this ECM certificate, but this does not remove their day to day responsibilities to operate safe trains (as set out in the SMS).

If TUs/IMs/ECMs identify any relevant safety risk concerning defects or malfunctions of technical equipment they are required under the CSM for monitoring to report those risks to the other parties involved so that they can take any necessary corrective actions to ensure system safety.

Expected evidence

All applicants are expected to:

- reference the maintenance plans for each type/broad category, including the formal procedures to ensure it is carried out to the above requirements and safety data is used in getting maintenance requirements, standards and the processes (B1) (the formal procedures to adjust maintenance intervals from this data should be explained) (B2);
- provide details of the responsibilities for maintenance in the organisation and the procedures for identifying maintenance post competencies (B3);
- provide details of the procedures to collect information on malfunctions and defects arising from day to day operations and report them to those responsible for maintenance ([B4] and [B5 part]);
- the procedures and methods used to evaluate new risks and implement new control measures (B6 part);
- the process for implementing, and monitoring the implementation of relevant TSIs, NSRs and other standards, where appropriate showing how these are applied throughout the lifecycle of any equipment or operation; this should include reference to how the applicant deals with standards that are inappropriate for a given task even though they apply, and those which contain errors (B5 and B6 part); and
- for freight wagons: provide details of the certified ECM and keepers for vehicles.

Note: It is acceptable for the applicant to provide information for the first five bullets in table format. No copies of certificates, letters or other documentation confirming conformance with the relevant approval, authorisation or certification regime should be included.

MTU Criterion C : Risk control related to the use of contractors and control of suppliers

<p>Sub-criteria</p>	<p>C.1. There are procedures to verify the competence of contractors (including subcontractors) and suppliers.</p> <p>C.2. There are procedures to verify and control the safety performance and results of all contracted services and products supplied either by the contractor or supplier to ensure that they comply with the requirements set out in the contract.</p> <p>C.3 Responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties.</p> <p>C.4. There are procedures to ensure traceability of safety-related documents and contracts.</p> <p>C.5. There are procedures to ensure that safety tasks, including the exchange of safety-related information, are performed by the contractors or the supplier according to relevant requirements set out in the contract.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that it has the ability to identify, assess and control risks which arise from the activities of contractors and other suppliers. This is not simply a question of risk assessment and neither does it require a list of all risks or categories of relevant risk, but it requires the applicant to show how its systems and procedures as a whole are designed and organised to facilitate the identification, assessment and control of these risks.</p> <p>The use of contracts is a generally accepted way to manage risks. However, the prime responsibility for managing contractors and checking their delivery against the set specifications rests with the TU/IM. The use of contractors or sub-contractors does not mean that the TU/IM delegates any of their responsibilities for ensuring that the contracted services are carried out to the standards specified before operation.</p>

	<p>Each TU/IM is responsible for</p> <ul style="list-style-type: none"> • carrying out a monitoring process set out in the CSM for monitoring; and • ensuring that, through contractual arrangements, risk control measures implemented by their contractors are also monitored in compliance with the CSM. <p>If TUs/IMs identify any relevant safety risk concerning defects or malfunctions of technical equipment they are required under the CSM for monitoring to report those risks to the other parties involved so that they can take any necessary corrective actions to ensure system safety.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • procedures to verify the competence of contractors (including subcontractors) and suppliers at the time of their selection (C1); • particular arrangements and procedures for controlling risk from <ul style="list-style-type: none"> (i) the supply of maintenance and material; (ii) the use of contractors(including how safety responsibilities and tasks are known and allocated with them); and (iii) verifying safety performance complies with contract requirements and ([C2] and [C3]); • the arrangements and procedures for the provision of accurate and complete safety information. These should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation. It should also describe how employees (from all parties) are made aware of the relevant documentation and how any changes to existing information are controlled (C4); • how and to whom sufficient information is communicated concerning the following: <ul style="list-style-type: none"> ▪ urgent issues affecting operational safety (arising both from within the applicant's own operations and those notified by others); ▪ lessons learned from accident reports and incident investigations;

- emergency plans;
- plus other operational information such as: speed restrictions;
- diversionary routes; engineering works; single line working;
- equipment failures; and other defects (C5 part); and
- how the SMS facilitates corrective action when it is found that standards and other requirements are not being adhered to (C5 part).

For 'significant' changes, the CSM for risk evaluation and assessment will need to be applied, particularly where contractors/suppliers are working on a significant change project. [ORR guidance](#) gives advice on when this is the case.

MTU Criterion D: Risks arising from the activities of other parties external to the railway system

Sub-criteria	<p>D.1. There are procedures to identify potential risks from parties external to the railway system where appropriate and reasonable.</p> <p>D.2. There are procedures to establish control measures to mitigate the risks identified under D1 insofar as the responsibilities of the applicant are concerned.</p> <p>D.3. There are procedures to monitor the effectiveness of the measures identified under D2 and implement changes where appropriate.</p>
Purpose	<p>The applicant has to demonstrate that it has the ability to identify, assess and control risks which arise from actions by others who are not working within the railway system. This is not simply a question of risk assessment and neither does it require a list of all risks or categories of risk relevant to the applicant, but requires the applicant to show how its systems and procedures are designed and organised to facilitate the assessment of risks and their subsequent control.</p> <p>For risks which may arise from activities which are not directly associated with the running of the operation e.g. trespassers, road users, the criterion will be satisfied if the high-level points about managing risk are shown to be relevant to this type of risk, plus an indication of any special arrangements in place.</p>
Expected evidence	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • how it identifies risks arising from the activities of ‘other persons’ where appropriate and reasonable (D1); • how it goes about controlling risk in terms of selecting appropriate risk mitigation measures, devising and implementing management procedures and providing appropriate training (D2); and • how safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made

(D3).

For 'significant' changes, the CSM for risk evaluation and assessment will need to be applied. [ORR guidance](#) gives advice on when this is the case.

MTU Criterion E: Documentation of the safety management system

<p>Sub-criteria</p>	<p>E.1 There is a description of the activity that makes clear the type, extent and risk of operation.</p> <p>E.2 There is a description of the structure of the safety management system, including the allocation of roles and responsibilities.</p> <p>E.3 There is a description of safety management system procedures required by Article 9 and Annex III consistent with the type and extent of services operated.</p> <p>E.4 Safety-critical processes and tasks relevant to the type of activity/service are listed and briefly described.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that the overall safety management system is adequate for the type and extent of services operated. This requires</p> <ul style="list-style-type: none"> • an explanation of the applicant's safety policy, organisation and high level arrangements of the SMS; and • more detailed arrangements regarding <ul style="list-style-type: none"> ▪ employee involvement: ▪ availability of resources; ▪ management accountability; and ▪ continuous improvement. <p>Together, these provide a framework within which the other, more specific, aspects of the SMS required by the criteria can be assessed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to show:</p> <ul style="list-style-type: none"> • a description of the operation (i.e. passenger, freight; suburban, intercity, rural etc.) and its scale e.g. a map of routes covered, numbers of passengers

carried, amount of freight carried, etc. (E1 part);

- how the applicant identifies risks associated with its operations (E1 part);
- an organogram showing the applicant's SMS structure, allocation of roles and responsibilities (E2);
- details of where and how the SMS is documented including references to supporting documentation (actual copies are not required) and how information on the SMS is given to staff (E3); and
- a list of categories of work with a safety element required for the applicant's operation (E4).

Note: There may be situations where an application results from the applicant taking over the operation of another company and adopting its SMS with longer term plans to develop a new one. In these circumstances, the applicant should provide, as part of its evidence for continuous improvement of the SMS, a development plan with dates by which the key stages of the new SMS will be achieved. This applies whether the takeover is the result of a refranchising exercise or a normal commercial venture.

Descriptions of the procedures and processes developed should be in writing. This helps the TU/IM initially to judge the adequacy of its procedures to manage the identified risk, to monitor their on-going effectiveness in managing the identified risks and to audit whether the procedures meet the original objectives of managing the risks identified. It also helps in providing traceability of safety related decisions.

MTU Criterion F: Distribution of responsibilities

<p>Sub-criteria</p>	<p>F.1. There is a description of how coordination of safety management system activities across the organisation is ensured, based on proven knowledge and lead responsibility at management level.</p> <p>F.2. There are procedures to ensure that staff with delegated responsibilities within the organisation have the authority, competence and appropriate resources to fulfil their duty.</p> <p>F.3. Safety-related areas of responsibility, and the distribution of responsibilities to specific functions associated with them, together with their interfaces, are clearly defined.</p> <p>F.4. There is a procedure to ensure that safety tasks are clearly defined and delegated to staff with appropriate competence.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that the overall safety management system has</p> <ul style="list-style-type: none"> • adequate organisation; • competent staff to manage and carry out safety-related work; and • appropriately identified safety tasks. <p>This requires an explanation of the detailed arrangements regarding</p> <ul style="list-style-type: none"> • employee involvement; • availability of resources; • management accountability; and • continuous improvement. <p>Together, these four provide a framework within which the other, more specific, aspects of the SMS can be assessed.</p>

Expected evidence

The applicant must provide a summary of:

- roles in the company with main responsibilities for:
 - taking operational decisions within the SMS;
 - ensuring training;
 - ensuring maintenance of competence; and
 - ensuring there are resources for competence (F1);
- the processes for recruitment, training, assessment, competence monitoring and record-keeping, indicating how all these contribute to achieving and maintaining competence (F2);
- the system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (F3 part);
- how staff with the appropriate competence are allocated to relevant tasks (F3 part); and
- the arrangements for tasks which ensure that staff comply with their training and work instructions, and corrective actions can be taken where required (F4).

If the applicant has a formal Competence Management System (CMS) points 1 and 4 can be addressed by stating the aims of the CMS and describing its structure, showing where overall responsibility has been assigned at senior management level. A reference to company documents setting out the details of the company's CMS including assignment of responsibilities in full should be included.

Note: There may be situations where an application results from the applicant taking over the operation of another company and adopting its SMS with longer term plans to develop a new one. In these circumstances, the applicant should provide, as part of its evidence for continuous improvement of the SMS, a development plan with dates by which the key stages of the new SMS will be achieved. This applies whether the takeover is the result of a refranchising exercise or a normal commercial venture.

MTU Criterion G: Securing control by the management on different levels

<p>Sub-criteria</p>	<p>G.1. There is a description of how responsibilities are allocated for each safety-related process throughout the organisation.</p> <p>G.2. There is a procedure for regular monitoring of task performance assured by the line management chain that must intervene if the tasks are not being properly performed.</p> <p>G.3. There are procedures to identify and manage the impact of other management activities on the safety management system.</p> <p>G.4. There are procedures to hold those with a role in the management of safety accountable for their performance.</p> <p>G.5. There are procedures to allocate resources to deliver the tasks under the safety management system.</p>
<p>Purpose</p>	<p>The applicant must show that there are procedures in place to monitor, manage and resource safety performance as part of the SMS. This requires an explanation of the high level arrangements for management accountability, allocation of responsibilities and resources for safety related tasks and how they will be monitored.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide:</p> <ul style="list-style-type: none"> • an organogram showing the applicant's SMS structure, allocation of roles and responsibilities (G1 part); and • brief descriptions of: <ul style="list-style-type: none"> ▪ how employees and their representatives at all levels within the applicant's company are involved in and consulted about the SMS and

safety aspects of operations; (G1 part)

- how safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made;(G2)
- how the SMS is integrated with other management activities;(G3) and
- how those with a role in the management of safety are held accountable for their performance. (G4)

MTU Criterion H: Involving staff and their representatives on all levels

Sub-criteria	<p>H.1. There are procedures in place to ensure that staff and staff representatives are adequately represented and consulted in defining, proposing, reviewing and developing the safety aspects of operational procedures that may involve staff.</p> <p>H.2. Staff involvement and consultation arrangements are documented.</p>
Purpose	<p>The applicant should demonstrate that staff and their representatives are appropriately involved in the safety aspects of operational procedures and this is duly documented. This should not only cover day to day operations but also when wider changes are being proposed.</p>
Expected evidence	<p>The applicant is expected to show evidence of:</p> <ul style="list-style-type: none"> • how employees and their representatives at all levels within the applicant's company are involved in and consulted about the SMS and safety aspects of operations(H1); and • how staff and their representatives' involvement is documented(H2).

MTU Criterion I: Ensuring continuous improvement

<p>Sub-criteria</p>	<p>I.1. There are procedures in place to ensure, where reasonably practicable, the continuous improvement of the safety management system; these shall include:</p> <ul style="list-style-type: none"> (a) procedures for periodic reviews of the safety management system, as found to be necessary; (b) procedures for describing arrangements to monitor and analyse relevant safety data; (c) procedures for describing how identified shortcomings are rectified; (d) procedures for describing the implementation of new safety management rules based on development and lessons learnt; and (e) procedures for describing how internal audit findings are used to bring about improvement in the safety management system.
<p>Purpose</p>	<p>The applicant should show that continuous improvement in the SMS is being achieved by reviewing its effectiveness using information from periodic reviews, monitoring data and audit findings. The methods for identifying areas of improvement and how they are implemented should be detailed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide an overview of:</p> <ul style="list-style-type: none"> • arrangements for regular reviews of the SMS (including monitoring and analysing safety data) with a view to facilitating its continuous improvement (I1[a] & [b]); • how safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made(I1[c]); • how new safety developments, lessons learnt from incidents etc. are

implemented to promote continuous improvement of the SMS (I1[d]);

- arrangements for the internal audit of the SMS and main risk control systems (I1[e]);
- procedures to
 - analyse and evaluate the results of audits;
 - recommend follow up measures;
 - look at their effectiveness; and
 - document the results (I1[e]); and
- how audit findings are used to bring about improvement in the SMS (I1[e]).

“**Audit**” is here taken to mean a process by which the adequacy of the management system itself is assessed, providing evidence for a review of its structure and high level functions. This includes routine monitoring arrangements for ensuring compliance with company procedures and standards. The auditing system should be independent, impartial and transparent.

See further [ORR guidance](#) on SMS arrangements.

MTU Criterion J: Safety policy approved by the organisation's chief executive and communicated to all staff

Sub-criterion	<p>J. A document describing the organisation's safety policy exists and is:</p> <ul style="list-style-type: none"> (a) communicated and made available to all staff, e.g. via the organisation's intranet; (b) appropriate to the type and extent of service; and (c) approved by the organisation's Chief Executive.
Purpose	<p>The applicant should demonstrate that the organisation has a written safety policy approved by the Chief Executive and that all staff are made aware of it. This requires an explanation of the applicant's</p> <ul style="list-style-type: none"> • safety policy; • organisation; and • high level arrangements of the SMS.
Expected evidence	<p>The applicant is expected to provide:</p> <ul style="list-style-type: none"> • a copy of the applicant's safety policy statement, appropriate to the type and the extent of service being provided, which has been approved and signed by the Chief Executive together with a description of how this policy has been communicated to all employees (J[a, b & c]).

MTU Criterion K: Qualitative and quantitative targets of the organisation for maintaining and enhancing safety, and plans and procedures for reaching these target

<p>Sub-criteria</p>	<p>K.1. There are procedures to determine relevant safety targets in line with the legal framework, and there is a document stating these targets.</p> <p>K.2. There are procedures to determine relevant safety targets consistent with the type and extent of the railway operations covered and the relevant risks.</p> <p>K.3. There are procedures to regularly assess overall safety performance in relation to its corporate safety targets and to those established on member state level.</p> <p>K.4. There are procedures in place to regularly monitor and review operational arrangements by:</p> <ul style="list-style-type: none"> (a) collecting relevant safety data to derive trends in safety performance and assess compliance with targets; (b) interpreting relevant data and implementing necessary changes. <p>K.5. There are procedures in place by the transport undertaking to develop plans and procedures for reaching its targets.</p>
<p>Purpose</p>	<p>The achievement of safety targets is now part of the overall safety regime and these criteria require evidence from the applicant to show how this is facilitated.</p> <p>Note: Safety management systems of mainline operators should be established to ensure that the mainline railway system can achieve Common Safety Targets (CSTs). CSTs are European wide targets set by the European Railway Agency and are designed to be achieved at Member State level. Consequently the relationship between the SMS of an individual rail operator and the achievement of CSTs is qualitative rather than a direct or quantitative one. Therefore, an SMS complying with all relevant requirements at all times</p>

	<p>(not just at the time of application) will be taken as an assurance that the operator contributes to achieving CSTs and no specific evidence is required from applicants for this purpose.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide:</p> <ul style="list-style-type: none"> • reference to the company documents which set out how it determines, sets, lists and describes its targets (K1); • a brief description of the process for determining and setting targets consistent with type, extent and relevant risks; and regularly assessing performance against targets (K2 & K3 part); • a brief description of the procedures to use safety data to assess performance and compliance with targets and how this is used to monitor and review operational arrangements (K3 part & K4); and • a brief explanation of how the SMS ensures that plans for meeting targets are put into action, including what action is taken when a target is not met or it becomes apparent that it will not be met (K5).

MTU Criterion L: Procedures to meet existing, new and altered technical and operational standards or other prescriptive conditions

<p>Sub-criteria</p>	<p>L.1. For safety-related requirements relevant to the type and extent of operations, there are procedures for:</p> <ul style="list-style-type: none"> (a) identifying these requirements and updating relevant procedures to reflect changes made to them (change control management); (b) implementing them; (c) monitoring compliance with them; (d) taking actions when non-compliance is identified. <p>L.2. There are procedures in place to ensure that the right staff, procedures, specific documents, equipment and rolling stock are used for the purpose intended.</p> <p>L.3. The safety management system has procedures in place to ensure that maintenance is carried out according to the relevant requirements.</p>
<p>Purpose</p>	<p>Standards play an important role in the operation of a railway and the safety of that operation. It is essential therefore that any applicant has the procedures and systems to implement, monitor and maintain appropriate standards. Standards will increasingly be replaced by TSIs but where they are not, Railway Group Standards (RGSs) may apply. Some RGSs have been notified as National Technical Rules (NTRs) and National Safety Rules (NSRs)[†]. The applicant is not required to show how each is complied with, but should describe the overall approach to compliance.</p> <p>The term ‘other relevant safety requirements’ refers to wider applicable health and safety legislation (i.e. not specifically railway related) and other RGSs not classified as NSRs. The applicant should have a process in place for identifying what is relevant and implementing them.</p>

† NSRs are 'legislation and other requirements' which need to be notified to the European Commission by each EU Member State. In the case of Great Britain these include ROGS, other railway specific legislation and some Railway Group Standards. They also include legislative instruments specific to Northern Ireland and therefore, as a package, should be regarded as NSRs applying to the whole UK mainline rail system. NTR's need to be notified by each EU Member State according to Article 17(3) of Directive 2008/57/EC.

Expected evidence

The applicant is expected to provide an outline of:

- the decision processes for triggering application of the Railways (Interoperability) Regulations 2011 (as amended) (RIR) (within change control management) and, identification of relevant TSIs, NTRs and other standards applicable to the undertaking (information about specific standards or groups of standards is not required as this will form part of the evidence for the Part B application) (L1[a]);
- the process for implementing, and on-going monitoring of relevant TSIs, NTRs and other standards, where appropriate, showing how these are applied throughout the lifecycle of any equipment or operation (L1[b]);
- how the SMS facilitates corrective action when it is found that standards and other requirements are not being adhered to (L1[c]);
- the system which ensures that tasks and posts with a safety element, including safety-critical tasks, are identified (L2 part);
- how staff with the appropriate competence are allocated to relevant tasks (L2 part);
- how the organisation delivers maintenance aims safely, referring where appropriate to elements of the SMS, including clear management control and documented audit and inspection (L3 part); and
- reference to
 - recognised industry maintenance standards which have been adopted; and

- relevant company standards (L3 part).

MTU Criterion M: Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or on operation

<p>Sub-criteria</p>	<p>M.1. There are management procedures for changes in equipment, procedures, organisation, staffing or interfaces.</p> <p>M.2. There are risk assessment procedures to manage changes and to apply the CSM for risk evaluation and assessment as set out in Commission Regulation (EU) 402/2013 when required.</p> <p>M.3. The transport undertaking has procedures in place to feed the results of risk assessment into other processes within the organisation and make them visible to relevant staff.</p>
<p>Purpose</p>	<p>It is important for the applicant to be able to identify and respond to new risks which may arise in its operation. Its SMS should include procedures for evaluating these risks and implementing new risk control measures where appropriate. This should cater for all types and levels of change - major and minor, permanent and temporary, immediate and long term. It should apply to changes in</p> <ul style="list-style-type: none"> ▪ types of activity; ▪ equipment; ▪ procedures; ▪ organisation; ▪ staffing; or ▪ interfaces. <p>The process should allow for risks to be assessed in a proportionate and robust manner and for reasonably practicable control measures to be adopted.</p>

Expected evidence

The applicant is expected to provide evidence of:

- a description of the change management process for changes in equipment, procedures, organisation, staffing or interfaces (M1);
- the procedures and methods used to evaluate new risks and implement new control measures (M2 part);
- how the organisation identifies significant changes and decides when to apply the processes in the CSM for risk evaluation and assessment (M2 part);
- how the results of the risk assessment are fed into other processes and what the arrangements are for promoting awareness of the changes to relevant staff (M3 part); and
- how it goes about controlling risk in terms of selecting appropriate risk mitigation measures, devising and implementing management procedures and providing appropriate training (M3 part).

[ORR guidance](#) on the use of the CSM for risk evaluation and assessment provides for a formal process to assess significant risks arising from changes.

MTU Criterion N: Provision of staff training programmes and systems to ensure that the staff competence is maintained and tasks carried out accordingly

Sub-criteria

N.1. There is a competence management system that includes at least:

- (a) identification of the knowledge and skills required for safety-related tasks;
- (b) selection principles (basic educational level, mental aptitude and physical fitness required);
- (c) initial training and certification of acquired competence and skills;
- (d) on-going training and periodical update of existing knowledge and skills;
- (e) periodic checks of competence where appropriate;
- (f) special measures in case of accidents/incidents or long absence from work, as required/where appropriate; and
- (g) specific safety management system training for staff directly involved in ensuring that the safety management system works.

N.2. There are procedures within the competence management system providing for:

- (a) the identification of posts that perform safety tasks;
- (b) the identification of posts that entail responsibilities for taking operational decisions within the safety management system;
- (c) staff to have the necessary knowledge, skills and aptitude (medical and psychological) appropriate to their tasks and periodically refreshed/updated;
- (d) allocating staff with the competence appropriate to relevant tasks; and
- (e) monitoring how tasks are performed and implementing corrective actions where required.

<p>Purpose</p>	<p>Competence plays a pivotal role in ensuring that activities are carried out satisfactorily. The need for competence extends to both front-line support (including contractors, consultants and suppliers of health and safety-related services) and management personnel. Management competence requirements are frequently overlooked. But managers make important decisions that can have fundamental and wide-ranging effects on health and safety.</p> <p>Adequate arrangements for managing competence should be in place and properly resourced. These should include provisions for training all staff to the required safety standards, for maintaining competency, irrespective of circumstances, such as staff availability and turnover and for monitoring levels of competency in relation to required standards.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • the competence management system, including, <ul style="list-style-type: none"> • identification of the knowledge and skills needed; • training, maintenance and resources for competence; • the processes for recruitment, assessment, competence monitoring and record-keeping, <p>indicating how all these contribute to achieving and maintaining competence (N1[a], [b], [c part] & [e]);</p> • the procedures for initial training and certification of acquired competence and skills and on-going training and update of existing knowledge and skills (N1[c part] and [d], N2[c]); • how accidents, incidents and long absences from work are catered for in the CMS (N1[f]); • how staff who directly make sure the SMS works are identified and what specific training is given to them (N1[g] & N2[b]); • the system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (N2[a]); • how staff with the appropriate competence are allocated to relevant tasks

(N2[d]); and

- the monitoring arrangements for tasks, which ensure that staff comply with their training and work instructions, and corrective actions can be taken where required. (N2[e]).

MTU Criterion O: Arrangements for the provision of sufficient information within the organisation and, where appropriate, between organisations operating on the same infrastructure

<p>Sub-criteria</p>	<p>O.1. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) staff have knowledge and understanding of the safety management system and information is easily accessible; and (b) appropriate documentation on the safety management system is given to relevant safety personnel. <p>O.2. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) key operational information is relevant and valid; (b) staff are aware of its existence before it must be applied; and (c) it is available to staff and where required copies are formally given to them. <p>O.3. There are arrangements in place for the sharing of information between railway organisations.</p>
<p>Purpose</p>	<p>The adequate management and provision of safety information internally and the exchange of safety information between train and station operators and infrastructure managers is an essential part of the control of safety risks.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • arrangements and procedures for the provision of accurate and complete safety information within its own operation to all workers (O.1[a]) (these should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation) (O.1[b]); • arrangements for the layout of vital safety information and how changes to this information are managed (O.2[a]) (it should also describe how employees are made aware of the relevant documentation and how any changes to existing

information are controlled) (O.2[b] & [c]); and

- arrangements for the provision of safety information between it and other transport operators, including those applying for a certificate or authorisation for operations on the same infrastructure (O.3).

MTU Criterion P: Procedures and formats for documenting safety information, and designation of a procedure for configuration control of vital safety information

Sub-criteria	<p>P.1. There are procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated, and duly documented.</p> <p>P.2. There are procedures to:</p> <ul style="list-style-type: none"> (a) format, generate, distribute and manage control of changes to all relevant safety documentation; and (b) receive, collect and store all relevant documentation/information on paper or by other registration systems. <p>P.3. There is a procedure for configuration control of vital safety information.</p>
Purpose	<p>The adequate management of safety information internally and the exchange of safety information between train and station operators and infrastructure managers is an essential part of the control of safety risks.</p>
Expected evidence	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • arrangements and procedures for the provision of accurate and complete safety information (P1) (this should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation) (P2); and • arrangements for the layout of vital safety information and how changes to this information are managed (P3).

MTU Criterion Q: Procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are reported, investigated and analysed and that necessary preventive measures are taken

<p>Sub-criteria</p>	<p>Q.1. There are procedures to ensure that accidents, incidents, near misses and other dangerous occurrences:</p> <ul style="list-style-type: none"> (a) are reported, logged, investigated and analysed; and (b) are reported, as required by relevant legislation, to national bodies. <p>Q.2. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) recommendations from the national safety authority, from the national investigating body, and from industry/internal investigations are evaluated and implemented if appropriate or mandated; and (b) relevant reports/information from other transport undertakings, infrastructure managers, entities in charge of maintenance and keepers are considered and taken into account. <p>Q.3. There are procedures for relevant information relating to the investigation and causes of accidents, incidents, near misses and other dangerous occurrences to be used to learn and, where required, to adopt preventive measures.</p>
<p>Purpose</p>	<p>Arrangements for investigating and learning from accidents, incidents and near misses that could lead to harm are a central part of an effective health and safety management system. Accident and incident investigation procedures need to be sufficiently thorough and comprehensive to ensure that the underlying causes are clearly identified and that actions to rectify problems are implemented effectively. For near misses, the collection and analysis of data can provide real value in preventing accidents and incidents.</p> <p>For investigation arrangements to be adequate, it is essential that incidents that have a potential to endanger people be examined effectively. Those that could</p>

	<p>lead to more serious consequences should be treated with a similar rigour to accidents that actually do cause harm. The investigation, the report and recommendations should cover not only the actions of the transport undertaking but also other transport undertakings, the infrastructure manager and any contractors that may be involved. The applicant also needs to demonstrate awareness of its statutory responsibilities for reporting accidents and incidents and how it acts on enforcement decisions made by ORR following accidents and incidents.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • procedures for reporting, logging, investigation and analysis of accidents, incidents, near misses and other dangerous occurrences (Q1[a]) (this should cover procedures for reporting those accidents and incidents which are statutorily reportable to ORR and RAIB) (Q1[b]); • how the investigation process takes into account any effects arising from the operations of other transport undertakings (Q2[a] part); and • procedures for: <ul style="list-style-type: none"> ▪ implementing actions required by ORR following an official (RAIB and/or ORR) investigation (Q2[a] part); ▪ reviewing reports of accidents, incidents, near misses and dangerous occurrences received from all other sources, including employees, other transport operators, members of the public (Q2[b]); and ▪ considering and implementing preventative measures following analysis and review of relevant information from all sources, other than when directly mandated by ORR (Q3).

MTU Criterion R: Provision of plans for action and alerts and information in case of emergency, agreed with the appropriate public authorities

Sub-criteria

R.1. A document identifies all types of emergency, including degraded operations, and there are procedures in place to identify new ones.

R.2. There are procedures in place to ensure that, for each identified type of emergency:

(a) the emergency services can be promptly contacted; and

(b) the emergency services are provided with all relevant information both in advance, to prepare their emergency response, and at the time of an emergency.

R.3. The roles and responsibilities of all parties are identified and set out in a document.

R.4. Plans for action, alerts and information exist and include:

(a) procedures to alert all staff with responsibility for emergency management;

(b) arrangements to communicate these to all parties, including emergency instructions for passengers; and

(c) arrangements for contacting competent staff immediately so they can take any decisions required.

R.5. There is a document describing how resources and means have been allocated and how training requirements have been identified.

R.6. There are procedures in place to re-establish normal operating conditions as soon as possible.

R.7. There are procedures for testing emergency plans in cooperation with other parties to train staff, test procedures, identify weak points and verify how potential

	<p>emergency situations are managed.</p> <p>R.8. There are procedures to ensure that competent staff in charge (particularly relating to dangerous goods services), with adequate language skills, can be contacted easily and without delay by the infrastructure manager.</p> <p>R.9. There is a procedure to contact the entity in charge of maintenance or the keeper in the event of an emergency.</p>
<p>Purpose</p>	<p>Robust systems for emergency planning are essential for any duty holder and must cover the information that needs to be supplied to the emergency services to enable them to draw up their major incident response plans. Also important are those aspects of the SMS that are directly relevant to the emergency response arrangements, e.g. training for emergencies and testing of emergency plans.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide an overview of:</p> <ul style="list-style-type: none"> • a document that identifies the types of emergency covered, including degraded operations and the procedures in place to identify new ones (R1); • the information supplied by the applicant to enable the Emergency Services to plan their response to a major accident on the railway, where appropriate referring to duties under the Civil Contingencies Regulations (R2); • the plans, roles and responsibilities, training and arrangements to maintain competence, and the arrangements for effective communications with emergency services, relevant staff and passengers (this should include a document which sets out the roles and responsibilities of all parties, how resources and means have been allocated and training requirements have been identified) (R3, R4, R5 & R8); • the procedures to return to normal operations after an emergency (R6); • those specific aspects of the SMS that are directly relevant to the emergency response arrangements, e.g. training for emergencies and testing of emergency plans to identify any weaknesses (R7); and • the procedure to contact the entity in charge of maintenance or the keeper in the event of an emergency (R9).

Where emergency procedures for any aspect of the applicant's operation are covered by requirements of a TSI, it will be sufficient to refer to compliance with that TSI. All types of emergency that can reasonably be expected to occur on the railway should be covered.

MTU Criterion S: Provisions for recurrent internal auditing of the safety management system

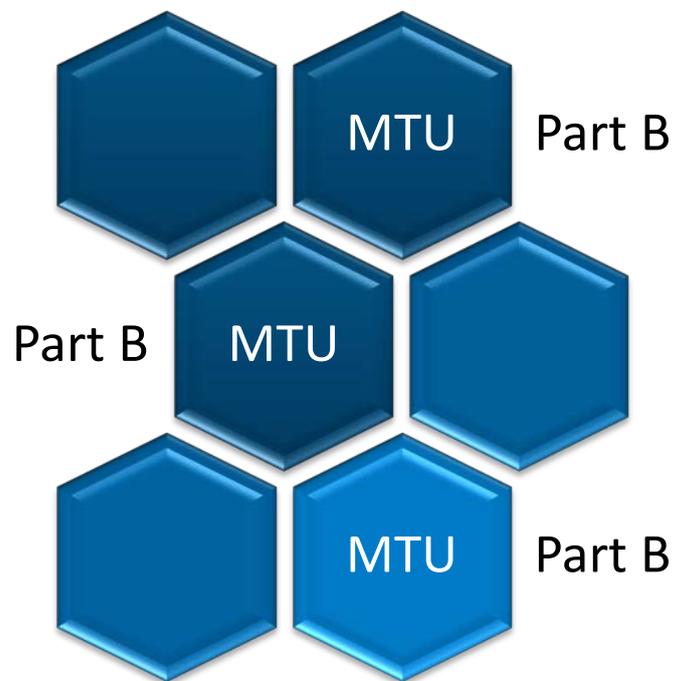
<p>Sub-criteria</p>	<p>S.1. There is an internal auditing system which is independent and impartial and which acts in a transparent way.</p> <p>S.2. There is a schedule of planned internal audits which can be revised depending on the results of previous audits and monitoring of performance.</p> <p>S.3 There are procedures in place to identify and select suitably competent auditors.</p> <p>S.4. Procedures are in place to:</p> <ul style="list-style-type: none"> (a) analyse and evaluate the results of the audits; (b) recommend follow-up measures; (c) follow up the effectiveness of measures; and (d) document the execution of audits and the results of audits. <p>S.5. There are procedures to ensure that senior levels of the management chain are aware of the results of audits and take overall responsibility for implementation of changes to the safety management system.</p> <p>S.6. There is a document showing how audits are planned in relation to routine monitoring arrangements to ensure compliance with internal procedures and standards.</p>
<p>Purpose</p>	<p>The applicant should describe its provisions for internal auditing of the safety management system, and for ensuring continuous improvement in the SMS by reviewing its effectiveness using information including audit findings.</p>
<p>Expected</p>	<p>The applicant is expected to provide an overview of:</p>

evidence

- the auditing system, which should be independent, impartial and transparent (S1);
- the schedule of planned internal audits and how this can be revised depending on the results of previous audits and monitoring of performance (S2);
- arrangements for the internal audit of the SMS and main risk control systems, including how a suitably competent auditor is selected (S3);
- procedures to analyse and evaluate the results of audits, recommend follow up measures, look at their effectiveness and document the results (it should explain how senior managers take account of audits and implement changes to the SMS) (S4 and S5); and
- the routine monitoring arrangements for ensuring compliance with company procedures and standards (S6).

‘**Audit**’ is here means a process by which the adequacy of the management system itself is assessed, providing evidence for a review of its structure and high level functions. Audits should include the management of interfaces with the operations of other transport undertakings and the infrastructure manager.

Section 2: Safety certificates – Part B (Transport undertakings)



Introduction

25. Where a Part B-only application is made, the following particulars concerning the type and extent should be provided:

- (i) the proposed operation for which the Part B application is made;
- (ii) the operation for which the Part A certificate was granted and under which Part B operation will apply; and
- (iii) any changes to the type and extent of the operation for which the Part A certificate was originally granted.

26. This information is required to enable the assessor to determine whether the operation for which the Part B application is made is equivalent. Details for item (i) should be provided according to MTU criterion E. Details for items (ii) and (iii), which concern the operation for which the Part A certificate was granted, should be described as in the evidence submitted to the safety authority which granted the original certificate, and any subsequently amended certificate. The lead assessor may request further information should this be insufficient to make a judgement on equivalence.

27. Where the Part B applicant is a subsidiary of the holder of the Part A (a parent company), the application must give evidence that the parent has direct and controlling links over its SMS. If the evidence fails to show this, the lead assessor will seek further information.

28. The criteria which follow specify different levels of evidence depending on the type of application and the nature of the applicant.

MTU Criterion BA: Compliance with network-specific rules

<p>Sub-criteria</p>	<p>BA.1. There are documents containing results to show that the specific rules and specific risks associated with operating on the network for which a Part B application is being submitted have been considered and to show that the transport undertaking can comply with any network-specific rules and any exceptions to or derogations from those rules.</p> <p>BA.2. Network interfaces with other parties involved in railway operation on the network concerned are identified.</p> <p>BA.3. There are documents showing how the transport undertaking will interact with the infrastructure manager for the network and other transport undertakings operating on the network, including details on how information is shared.</p> <p>BA.4. There are documents showing how the transport undertaking will deal with emergency situations, including coordination with the infrastructure manager and the relevant public authorities.</p> <p>BA.5. There are documents identifying any specific accident/incident investigation rules and showing that the applicant can comply with them.</p>
<p>Purpose</p>	<p>To give confidence that the applicant is aware of relevant TSIs, national safety rules and wider applicable safety requirements (which include other relevant health and safety legislation, any Railway Group Standards not classified as national safety rules and notified technical rules) and can demonstrate that the applicant, through its SMS, has the capability of applying and adapting them to the specific characteristics and environment of the network concerned.</p>
<p>Expected evidence</p>	<p>(a) General</p> <p><i>All applicants</i></p>

All applicants should provide evidence that they are aware of and can implement all categories of mandatory safety requirements which apply to its operation and outline how the SMS ensures compliance with them (BA1).

Applicants submitting a joint Part A/Part B application can reference, as appropriate, evidence provided for the Part A. Part B-only applicants should supply additional evidence as indicated below.

Part B-only applicants

Part B-only applicants should summarise:

- the organisational arrangements of the SMS which facilitate compliance with mandatory safety requirements;
- the arrangements for management accountability for compliance with mandatory safety requirements; and
- the arrangements for monitoring such compliance.

(b) Standards

All applicants should state how their documentation on standards is maintained and updated (BA1 part).

(c) Risk assessment

Part B-only applicants (including those applying for Part B-only amendments) should provide a statement that

- a network-specific risk assessment has been carried out or reviewed; and
- adequate control measures have been identified.

The documentation containing the risk assessment is not required but should be clearly referenced (BA1 part).

(d) Cooperation

All applicants should:

- describe any arrangements for cooperation with other transport

operators on the network in question which differ significantly from the high level description given in the Part A evidence; or

- (if applying for a Part B-only) describe the overall arrangements for cooperation on the network in question and how information is shared (BA2) (BA3)

(e) Emergency procedures

All applicants should state if and why the general emergency procedures referred to in the Part A application have been adapted to the network in question. They should also briefly summarise what adaptations have been made, with a reference to the relevant documentation. In providing evidence here, Part B-only applicants from other EU Member States will need to show that they have identified and adapted their SMS to the specific national requirements which exist in Great Britain (BA4 part).

All applicants should also refer to the documented arrangements for emergency situations including where relevant the coordination with the infrastructure manager and public authorities. (BA4 part)

(f) Reporting of accidents and incidents

Part B-only applicants from other EU Member States should show that they have:

- identified the statutory requirements for reporting and investigating accidents and incidents in Great Britain; and
- adopted procedures both to meet these and implement any actions which ORR may require following an official (RAIB and/ORR) investigation (BA5).

MTU Criterion BB: Compliance with network-specific requirements for staff competence

<p>Sub-criteria</p>	<p>BB.1. The documentation demonstrates that the applicant’s safety management system contains a competence management system to:</p> <p>(a) identify the categories of staff (employed or contracted) involved in providing the service; and</p> <p>(b) deliver competent staff for the network concerned, especially for those staff who are asked to undertake a variety of tasks and assure certification where appropriate.</p> <p>BB.2. The documentation demonstrates that there are arrangements put in place to organise the day-to-day work of the staff to ensure that safety-related tasks are carried out and that staff are assigned to appropriate tasks.</p> <p>BB.3. The documentation demonstrates the applicant’s ability to produce documents to be used in training the relevant staff and its ability to ensure that the documents will be accurate, be kept up to date and be in a language and terminology understood by the staff who need to use them.</p>
<p>Purpose</p>	<p>The purpose of this information is to ensure that the applicant has identified all tasks required to run its operation safely and has a system in place to ensure that staff are appropriately trained, organised and able to undertake their tasks competently.</p>
<p>Expected evidence</p>	<p>(a) Categories of work</p> <p>All applicants should provide a list of categories of work with a safety element required for the applicant’s operation (BB1 part).</p> <p>(b) Identification of TSIs, NSRs</p> <p>All applicants should show how TSIs, national safety rules, national technical rules and other standards relevant to these categories of work are</p>

identified. Where a joint Part A/Part B application is made, evidence provided in the Part A can be cross-referenced, so long as it is made absolutely clear which parts apply to Part B.

(c) Compliance with TSIs, NSRs etc.

All applicants should provide a summary of how their arrangements for managing competence are designed to ensure that such work is carried out in accordance with relevant TSIs and NSRs (BB2). This should refer to the processes for recruitment, training, assessment, competence monitoring and record keeping. Where a joint Part A/Part B application is made, evidence provided for the Part A can be cross-referenced, so long as it is made absolutely clear which parts apply to Part B (BB1 part).

Part B-only applicants (including those applying for Part B-only amendments) should provide:

- evidence of assessment or reviews of specific competence needs of the network in question and of any tailored programmes and/or procedures drawn up to meet these;
- a summary of roles in the company with main responsibilities for:
 - taking operational decisions within the SMS;
 - ensuring training, maintenance and resources for competence;
 - the processes for recruitment, training, assessment, competence monitoring and record-keeping;

indicating how all these contribute to achieving and maintaining competence (BB3 part); and

- a summary of arrangements and procedures for the provision of accurate and complete safety information within its own operation to all workers. These should cover the receipt, identification, selection, dissemination and recording of information, method and formatting of relevant documentation. It should also describe how employees are made aware of the relevant documentation and how any changes to existing information are controlled (BB3 part).

MTU Criterion BC: Compliance with network-specific requirements for management of rolling stock

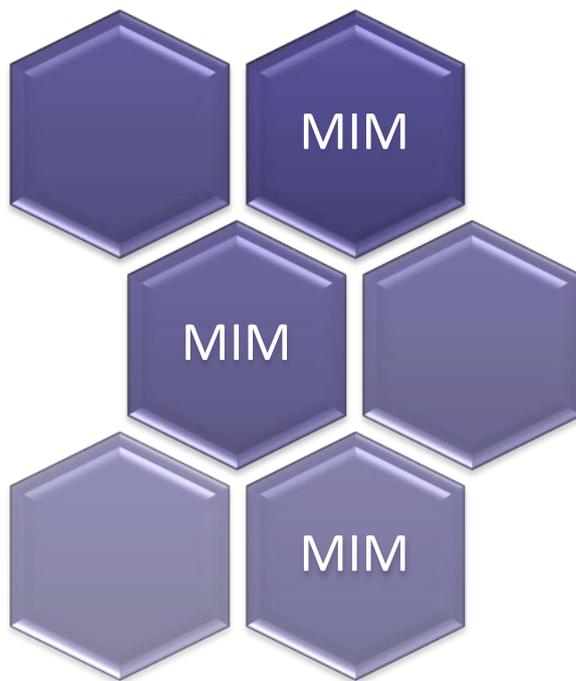
<p>Sub-criteria</p>	<p>BC.1. In the documentation, the types of rolling stock to be used on the specific network and the type of operations to be conducted are clearly indicated.</p> <p>BC.2. The documentation outlines how the transport undertaking complies with any operational restrictions placed on the type of rolling stock used on the network.</p> <p>BC.3. In the documentation, any additional maintenance requirements for the network concerned are identified and appropriate arrangements for maintenance are in place.</p> <p>BC.4. In the documentation, any additional requirements to manage rolling stock incidents for the network concerned are identified and appropriate arrangements are put in place.</p>
<p>Purpose</p>	<p>The purpose of this information is to support and expand on the high level description given for MTU Criterion E for the specific network in question, to act as a check that the rolling stock[†] has undergone the appropriate scrutiny with regards to its initial integrity and provide evidence that maintenance is managed according to set standards and/or programmes.</p> <p>[†] "Rolling stock" in this case means any carriage, wagon or other vehicle used on track and includes a locomotive.</p>
<p>Expected evidence</p>	<p>All applicants should:</p> <ul style="list-style-type: none"> list all types of rolling stock used in its operation and on which networks they are specifically being used (where the number of types or sub-types would make this cumbersome, reference to broad categories would be sufficient)

(BC1);

- list the principal TSIs, other standards and safety requirements which apply in respect of the design of each type (BC2 part);
- describe the formal safety scheme which the rolling stock was subject to for first placing into service and confirm there are procedures to ensure they are only used for the purpose intended (BC2 part);
- list the principal TSIs, other standards and safety requirements which apply in respect of the maintenance of each type;
- reference the maintenance plans for each type/broad category, including the formal procedures to ensure it is carried out to the above requirements and safety data is used in getting maintenance requirements, standards and the processes. The formal procedures to adjust maintenance intervals from this data should be explained (BC3);
- provide details of maintenance arrangements with the ECM; and
- reference any additional requirements to manage rolling stock incidents on the network and what arrangements there are to manage these requirements (BC4).

Note: It is acceptable for the applicant to provide information for points 1-7 in table format. No copies of certificates, letters or other documentation confirming conformance with the relevant approval, authorisation or certification regime should be included.

Section 3: Safety authorisations (Infrastructure Managers)



MIM Criterion A: Risk control measures for all risks associated with the activity of the infrastructure manager

<p>Sub-criteria</p>	<p>A.1. There are procedures in place to identify risks associated with railway operations, including those directly arising from work activities, job design or workload and the activities of other organisations/persons.</p> <p>A.2. There are procedures in place to develop and put in place risk control measures.</p> <p>A.3. There are procedures in place to monitor the effectiveness of risk control arrangements and to implement changes when required.</p> <p>A.4. There are procedures in place to recognise the need to work together with other entities (such as transport undertakings, manufacturers, maintenance suppliers, entities in charge of maintenance, railway vehicle keepers, service providers and procurement entities), where appropriate, on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures in accordance with Article 4(3) of Directive 2004/49/EC.</p> <p>A.5. There are procedures for agreed documentation and communication with the relevant entities, including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges.</p> <p>A.6. There are procedures to monitor the effectiveness of these arrangements and to implement changes when required.</p>
<p>Purpose</p>	<p>The applicant should be able to demonstrate that it has the ability to identify, assess and control risks which arise both from its own activities and those caused by others. This does not require a list of all risks or categories of risk relevant to the applicant, but requires the applicant to show how its systems and procedures are designed and organised to facilitate the assessment of risks and their subsequent control.</p> <p>These criteria provide a practical interpretation of the general risk identification</p>

	<p>requirements. They require the TU/IM to identify the risks associated with its operations and put in place measures to control all these identified risks. It is important to remember that these criteria do not deal with managing the risks from changes (this is dealt with under MIM Criterion M).</p> <p>How this information is organised and communicated is a matter for the applicant to describe in the application. In terms of job design, it is important to avoid an excessive volume of tasks and a conflict between different safety related duties. It is also important that job design maintains or improves the existing level of safety. Under criterion A.4, it is important to develop co-operation arrangements to address interface risks or risks which are shared between concerned parties.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • how the applicant identifies risks associated with its operations (A1 part); • how it identifies risks arising from the activities of ‘other persons’ where appropriate and reasonable (A1 part); • how it goes about controlling risk in terms of selecting appropriate risk mitigation measures (A2); • systems for monitoring the effectiveness of risk management arrangements (including procedures to identify and report risks arising from defects and construction non-conformities and malfunctions) and how changes are implemented when required (A3) (A6); • particular arrangements and procedures for controlling risk from (i) the supply of maintenance and material (ii) the use of contractors(including how safety responsibilities and tasks are known and allocated with them) and (iii) verifying safety performance complies with contract requirements (A5 part) (A4); and • procedures to verify the competence of contractors (including subcontractors) and suppliers at the time of their selection (A5 part). <p>For ‘significant’ changes, the CSM for risk evaluation and assessment will need to be applied. ORR guidance gives advice on when this is the case. Applicants should provide a summary of their procedure and a reference to the full procedure, setting out how they will comply with the CSM.</p>

MIM Criterion B: Risk control related to the supply of maintenance and material

<p>Sub-criteria</p>	<p>B.1. There are procedures to derive maintenance requirements/standards/processes from safety data.</p> <p>B.2. There are procedures to adapt maintenance intervals according to the type and extent of service performed.</p> <p>B.3. There are procedures to ensure that the responsibility for maintenance is clearly defined to identify the competencies required for maintenance posts and to allocate appropriate levels of responsibility.</p> <p>B.4. There are procedures to collect information on malfunctions and defects arising from day-to-day operation and to report them to those responsible for maintenance.</p> <p>B.5. There are procedures to identify and report risks arising from defects and construction non-conformities or malfunctions throughout the lifecycle to interested parties.</p> <p>B.6. There are procedures to verify and control the performance and results of maintenance to ensure that they comply with corporate standards.</p>
<p>Purpose</p>	<p>In the same way that infrastructure must be designed for safety, the infrastructure manager must show how it meets the requirements relating to its maintenance. These include TSIs, national safety rules, national technical rules and applicable rail safety legislation. Applicants may also wish to refer to company rules.</p> <p>A maintenance regime needs to consider all the elements of the infrastructure and how they contribute to the overall safety of the system. Individual components are likely to require periodic inspection, adjustment, repair or replacement, in accordance with standards adopted by the infrastructure manager. The integrity of a subsystem as a whole will also need to be managed.</p>

Expected evidence

The applicant is expected to provide evidence of:

- the aims of the maintenance regime;
- an outline of how the organisation delivers those aims safely, referring where appropriate to elements of the SMS, including how safety data is used to derive requirements/standards/processes for maintenance (B1);
- an explanation of the formal procedures to adjust maintenance intervals (B2);
- details of the responsibilities for maintenance within the organisation and the procedures for identifying maintenance post competences (B3);
- details of the procedures to collect information on malfunctions and defects arising from day to day operations and report them to those responsible for maintenance (B4) and (B5);
- reference to recognised industry maintenance standards which have been adopted, and to relevant company standards (B6 part);
- reference to relevant TSIs, compliance with which involves adherence to a specified maintenance plan (B6 part); and
- a brief explanation of the organisation's procedures to ensure maintenance standards are maintained (B6 part).

MIM Criterion C: Risk control related to the use of contractors and control of suppliers

<p>Sub-criteria</p>	<p>C.1. There are procedures to verify the competence of contractors (including subcontractors) and suppliers.</p> <p>C.2. There are procedures to verify and control the safety performance and results of all contracted services and products supplied either by the contractor or supplier to ensure that they comply with the requirements set out in the contract.</p> <p>C.3. Responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties.</p> <p>C.4. There are procedures to ensure traceability of safety-related documents and contracts.</p> <p>C.5. There are procedures to ensure that safety tasks, including the exchange of safety-related information, are performed by the contractors or the supplier according to relevant requirements set out in the contract.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that it has the ability to identify, assess and control risks which arise from the activities of contractors and other suppliers. This is not simply a question of risk assessment and neither does it require a list of all risks or categories of relevant risk, but it requires the applicant to show how its systems and procedures as a whole are designed and organised to facilitate the identification, assessment and control of these risks.</p> <p>The use of contracts is a generally accepted way to manage risks. However, the prime responsibility for managing contractors and checking their delivery against the set specifications rests with the TU/IM. The use of contractors or sub-contractors does not mean that the TU/IM delegates any of their responsibilities for ensuring that the contracted services are carried out to the standards specified before operation.</p>

Expected evidence

The applicant is expected to provide a summary of:

- procedures to verify the competence of contractors (including subcontractors) and suppliers at the time of selection (C1);
- particular arrangements and procedures for controlling risk from
 - (i) the supply of maintenance and material;
 - (ii) the use of contractors (including how safety responsibilities and tasks are known and allocated with them); and
 - (iii) verifying safety performance complies with contract requirements (C2 and C3);
- the arrangements and procedures for the provision of accurate and complete safety information. These should cover the receipt, identification, selection, dissemination and recording of information, and method and format of relevant documentation. It should also describe how employees (from all parties) are made aware of the relevant documentation and how any changes to existing information are controlled;(C4)
- how and to whom sufficient information is communicated concerning the following:
 - urgent issues affecting operational safety (arising both from within the applicant's own operations and those notified by others);
 - lessons learned from accident reports and incident investigations;
 - emergency plans;
 - speed restrictions, diversionary routes, engineering works, single line working, equipment failures and other defects (C5 part); and
- how the SMS facilitates corrective action when it is found that standards and other requirements are not being adhered to. (C5 part)

For 'significant' changes, the CSM for risk evaluation and assessment will need to be applied, particularly where contractors/suppliers are working on a significant change project. [ORR guidance](#) gives advice on when this is the case.

Each TU/IM is responsible for

- carrying out a monitoring process set out in the CSM for monitoring; and
- ensuring that, through contractual arrangements, risk control measures implemented by their contractors are also monitored in compliance with the CSM.

If TUs/IMs identify any relevant safety risk concerning defects or malfunctions of technical equipment they are required under the CSM for monitoring to report those risks to the other parties involved so that they can take any necessary corrective actions to ensure system safety.

MIM Criterion D: Risks arising from the activities of other parties external to the railway system

Sub-criteria	<p>D.1. There are procedures to identify potential risks from parties external to the railway system where appropriate and reasonable.</p> <p>D.2. There are procedures to establish control measures to mitigate the risks identified under D1 insofar as the responsibilities of the applicant are concerned.</p> <p>D.3. There are procedures to monitor the effectiveness of the measures identified under D2 and implement changes where appropriate.</p>
Purpose	<p>The applicant has to show that it has the ability to identify, assess and control risks which arise from actions by others are not working within the railway system. This is not simply a question of risk assessment and neither does it require a list of all risks or categories of risk relevant to the applicant, but requires the applicant to show how its systems and procedures are designed and organised to facilitate the assessment of risks and their subsequent control.</p> <p>For risks which may arise from activities which are not directly associated with the running of the operation e.g. trespassers, road users, the criterion will be satisfied if the high-level points about managing risk are shown to be relevant to this type of risk, plus an indication of any special arrangements in place.</p>
Expected evidence	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • how it identifies risks arising from the activities of ‘other persons’ where appropriate and reasonable (D1); • how it goes about controlling risk in terms of selecting appropriate risk mitigation measures, devising and implementing management procedures and providing appropriate training (D2); • how safety requirements are identified, performance is monitored and

identified shortcomings are rectified and procedures updated to reflect changes made (D3);

For 'significant' changes, the CSM for risk evaluation and assessment will need to be applied. [ORR guidance](#) gives advice on when this is the case.

MIM Criterion E: Documentation of the safety management system

<p>Sub-criteria</p>	<p>E.1. There is a description of the activity that makes clear the type, extent and risk of operation.</p> <p>E.2. There is a description of the structure of the safety management system, including the allocation of roles and responsibilities.</p> <p>E.3. There is a description of safety management system procedures required by Article 9 and Annex III, consistent with the type and extent of services operated.</p> <p>E.4. Safety-critical processes and tasks relevant to the type of activity/service are listed and briefly described.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that the overall safety management system is adequate for the type and extent of services operated. This requires an explanation of the applicant's safety policy, organisation and high level arrangements of the applicant's SMS, as well as some more detailed arrangements regarding employee involvement, availability of resources, management accountability and continuous improvement, which together provides a framework within which the other, more specific aspects of the SMS can be assessed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • a description of the operation and its scale e.g. a map of routes covered, number of stations operated, types of infrastructure, etc. (E1 part); • how the applicant identifies risks associated with its operations (E1 part); • an organogram showing the applicant's SMS structure, allocation of roles and responsibilities (E2); • details of where and how the SMS is documented including references to

supporting documentation (actual copies are not required) and how information on the SMS is given to staff (E3); and

- a list of categories of work with a safety element required for the applicants operations (E4).

Descriptions of the procedures and processes developed should be in writing. This helps the TU/IM initially to judge the adequacy of its procedures to manage the identified risk, to monitor their on-going effectiveness in managing the identified risks and to audit whether the procedures meet the original objectives of managing the risks identified. It also helps in providing traceability of safety related decisions.

MIM Criterion F: Distribution of responsibilities

<p>Sub-criteria</p>	<p>F.1. There is a description of how coordination of safety management system activities across the organisation is ensured, based on proven knowledge and lead responsibility at management level.</p> <p>F.2. There are procedures to ensure that staff with delegated responsibilities within the organisation have the authority, competence and appropriate resources to fulfil their duty.</p> <p>F.3. Safety-related areas of responsibility and the distribution of responsibilities to specific functions associated with them, together with their interfaces, are clearly defined.</p> <p>F.4. There is a procedure to ensure that safety tasks are clearly defined and delegated to staff with appropriate competence.</p>
<p>Purpose</p>	<p>The applicant has to demonstrate that the overall safety management system has</p> <ul style="list-style-type: none"> • adequate organisation; • competent staff to manage and carry out safety-related work; and • appropriately identified safety tasks. <p>This requires an explanation of the detailed arrangements regarding</p> <ul style="list-style-type: none"> • employee involvement; • availability of resources; • management accountability; and • continuous improvement. <p>Together these provide a framework within which the other, more specific,</p>

	<p>aspects of the SMS can be assessed.</p>
<p>Expected evidence</p>	<p>We expect the applicant to provide a summary of:</p> <ul style="list-style-type: none"> • roles in the company with main responsibilities for: taking operational decisions within the SMS; and ensuring training, maintenance of and resources for, competence (F1); • the processes for recruitment; training; assessment; competence-monitoring; and record-keeping (indicating how all these contribute to achieving and maintaining competence) (F2); • the system which ensures that tasks and posts with a safety element, including safety-critical tasks, are identified (F3 part); • how staff with the appropriate competence are allocated to relevant tasks (F3 part); and • the arrangements for tasks which ensure that staff comply with their training and work instructions, and corrective actions can be taken where required (F4). <p>If the applicant has a formal Competence Management System (CMS) points 1 and 4 can be addressed by stating the aims of the CMS and describing its structure, showing where overall responsibility has been assigned at senior management level. A reference to company documents setting out the details of the company's CMS including assignment of responsibilities in full should be included.</p>

MIM Criterion G: Securing control by the management on different levels

<p>Sub-criteria</p>	<p>G.1. There is a description of how responsibilities are allocated for each safety-related process throughout the organisation.</p> <p>G.2. There is a procedure for regular monitoring of task performance assured by the line management chain that must intervene if the tasks are not being properly performed.</p> <p>G.3. There are procedures to identify and manage the impact of other management activities on the safety management system.</p> <p>G.4. There are procedures to hold those with a role in the management of safety accountable for their performance.</p> <p>G.5. There are procedures to allocate resources to deliver the tasks under the safety management system.</p>
<p>Purpose</p>	<p>The applicant must show that there are procedures in place to monitor, manage and resource safety performance as part of the SMS. This requires an explanation of the high level arrangements for management accountability, allocation of responsibilities and resources for safety-related tasks and how they will be monitored.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide:</p> <ul style="list-style-type: none"> • an organogram showing its SMS structure; allocation of roles and responsibilities (G1 part); and • brief descriptions of: <ul style="list-style-type: none"> ▪ how employees and their representatives at all levels within the applicant's company are involved in and consulted about the SMS

and safety aspects of operations (G1 part);

- how safety requirements are identified, performance is monitored and identified shortcomings are rectified and procedures updated to reflect changes made (G2);
- how the SMS is integrated with other management activities (G3);
and
- how those with a role in the management of safety are held accountable for their performance (G4).

MIM Criterion H: Involving staff and their representatives on all levels

Sub-criteria	<p>H.1. There are procedures in place to ensure that staff and staff representatives are adequately represented and consulted in defining, proposing, reviewing and developing the safety aspects of operational procedures that may involve staff.</p> <p>H.2. Staff involvement and consultation arrangements are documented.</p>
Purpose	<p>The applicant must demonstrate that staff and their representatives are appropriately involved in the safety aspects of operational procedures and this is duly documented. This should not only cover day to day operations but also when wider changes are being proposed.</p>
Expected evidence	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • how employees and their representatives at all levels within the applicant's company are involved in and consulted about the SMS and safety aspects of operations (H1); and • how staff and their representatives involvement is documented (H2).



<p>Sub-criterion</p>	<p>I. There are procedures in place to ensure, where reasonably practicable, the continuous improvement of the safety management system; these shall include:</p> <p>(a) procedures for periodic reviews of the safety management system, as found to be necessary;</p> <p>(b) procedures for describing arrangements to monitor and analyse relevant safety data;</p> <p>(c) procedures for describing how identified shortcomings are rectified;</p> <p>(d) procedures for describing the implementation of new safety management rules based on development and lessons learnt; and</p> <p>(e) procedures for describing how internal audit findings are used to bring about improvement in the safety management system.</p>
<p>Purpose</p>	<p>The applicant should show that continuous improvement in the SMS is being achieved by reviewing its effectiveness using information from periodic reviews, monitoring data and audit findings. The methods for identifying areas of improvement and how they are implemented should be detailed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide an overview of:</p> <ul style="list-style-type: none"> • arrangements for regular reviews of the SMS (including monitoring and analysing safety data) with a view to facilitating its continuous improvement (I.1[a] & [b]); • how safety requirements are identified, performance is monitored and identified shortcomings are rectified and procedures updated to reflect changes made (I.1[c]); • how new safety developments, lessons learnt from incidents etc. are

implemented to promote continuous improvement of the SMS (I.1[d]);

- arrangements for the internal audit of the SMS and main risk control systems, including
 - procedures to analyse and evaluate the results of audits, recommend follow up measures, look at their effectiveness and document the results; and
 - how audit findings are used to bring about improvement in the SMS (I.1[e]).

“**Audit**” is here taken to mean a process by which the adequacy of the management system itself is assessed, providing evidence for a review of its structure and high level functions. This includes routine monitoring arrangements for ensuring compliance with company procedures and standards. The auditing system should be independent, impartial and transparent.

See further [ORR guidance on SMS arrangements](#).

MIM Criterion J: Safety policy approved by the organisation's chief executive and communicated to all staff

Sub-criterion	<p>J. A document describing the organisation's safety policy exists and is:</p> <ul style="list-style-type: none"> (a) communicated and made available to all staff, e.g. via the organisation's intranet; (b) appropriate to the type and extent of service; and (c) approved by the organisation's chief executive.
Purpose	<p>The applicant should demonstrate that the organisation has a written safety policy approved by the Chief Executive and all staff are made aware of it. This requires an explanation of the applicant's safety policy, organisation and high level arrangements of the applicant's SMS.</p>
Expected evidence	<p>The applicant is expected to provide a copy of its safety policy statement, appropriate to the type and the extent of service being provided. This must have been approved and signed by the Chief Executive and a description of how this policy has been communicated to all employees must also be provided (J[a, b & c]).</p>

MIM Criterion K: Qualitative and quantitative targets for maintaining and enhancing safety, and plans and procedures for reaching these targets

Sub-criteria	<p>K.1. There are procedures to determine relevant safety targets in line with the legal framework, and there is a document stating these targets.</p> <p>K.2. There are procedures to determine relevant safety targets consistent with the type and extent of the railway operations covered and the relevant risks.</p> <p>K.3. There are procedures to regularly assess overall safety performance in relation to corporate safety targets and to those established at member state level.</p> <p>K.4. There are procedures in place to regularly monitor and review operational arrangements by:</p> <ul style="list-style-type: none"> (a) collecting relevant safety data to derive trends in safety performance and assess compliance with targets; (b) interpreting relevant data and implementing necessary changes. <p>K.5. There are procedures in place by the infrastructure manager to develop plans and procedures for reaching its targets.</p>
Purpose	<p>The achievement of safety targets is now part of the overall rail safety regime and this criterion requires evidence to show how this is facilitated. Infrastructure managers will need to ensure that targets have been set to measure the effects of the operations of transport undertakings on the infrastructure and to allow TUs to work in compliance with their own safety certificates.</p>
Expected evidence	<p>The applicant is expected to provide:</p> <ul style="list-style-type: none"> • reference to the company documents which set out how it determines, sets,

lists and describes its targets (K1);

- a brief description of the process for determining and setting targets consistent with type, extent and relevant risks; and regularly assessing performance against targets (K2);
- a brief description of the procedures to use safety data to assess performance and compliance with targets and how this is used to monitor and review operational arrangements (K3 & K4); and
- a brief explanation of how the SMS ensures that plans for meeting targets are put into action including what action is taken when a target is not met or it becomes apparent that it will not be met (K5).

MIM Criterion L: Procedures to meet existing, new and altered technical and operational standards or other prescriptive conditions

<p>Sub-criteria</p>	<p>L.1. For safety-related requirements relevant to the type and extent of operations, there are procedures for:</p> <ul style="list-style-type: none"> (a) identifying these requirements and updating relevant procedures to reflect changes made to them (change control management); (b) implementing them; (c) monitoring compliance with them; and (d) taking action when non-compliance is identified. <p>L.2. There are procedures in place to ensure that the right staff, procedures, specific documents, equipment and rolling stock are used for the purpose intended.</p> <p>L.3. The safety management system has procedures in place to ensure that maintenance is carried out according to the relevant requirements.</p>
<p>Purpose</p>	<p>Standards play an important role in the operation of a railway and the safety of that operation. It is essential therefore that any applicant has the procedures and systems to implement, monitor and maintain appropriate standards. Standards will increasingly be replaced by TSIs but where they are not, Railway Group Standards (RGSs) may apply, some of which have been notified as National Technical Rules (NTRs) and National Safety Rules (NSRs)[†]. The applicant is not required to show how each is complied with, but should describe the overall approach to compliance.</p> <p>The term ‘other relevant safety requirements’ refers to wider applicable health and safety legislation (i.e. not specifically railway related) and other Railway Group Standards not classified as NSRs. The applicant should have a process in place</p>

for identifying what is relevant and implementing them.

† NSRs are 'legislation and other requirements' which need to be notified to the European Commission by each EU Member State. In the case of Great Britain these include ROGS, other railway specific legislation and some Railway Group Standards. They also include legislative instruments specific to Northern Ireland and therefore, as a package, should be regarded as NSRs applying to the whole UK mainline rail system. NTR's need to be notified by each EU member state according to Article 17(3) of directive 2008/57/EC.

Expected evidence

The applicant is expected to provide evidence of:

- the decision processes for triggering application of RIR (within change control management) and, identification of relevant TSIs, NTRs and other standards applicable to the undertaking (L1[a]);
- the process for implementing, and on-going monitoring of relevant TSIs, NTRs and other standards, where appropriate showing how these are applied throughout the lifecycle of any equipment or operation (L1[b]);
- how the SMS facilitates corrective action when it is found that standards and other requirements are not being adhered to (L1[c]);
- the system which ensures that tasks and posts with a safety element, including safety-critical tasks, are identified (L2 part);
- how staff with the appropriate competence are allocated to relevant tasks (L2 part);
- an outline of how the organisation delivers maintenance aims safely, referring where appropriate to elements of the SMS, including clear management control and documented audit and inspection (L3 part); and
- reference to recognised industry maintenance standards which have been adopted, and to relevant company standards (L3 part).

MIM Criterion M: Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or on operation

Sub-criteria	<p>M.1 There are management procedures for changes in equipment, procedures, organisation, staffing or interfaces.</p> <p>M.2 There are risk assessment procedures to manage changes and to apply the CSM for risk evaluation and assessment as referred to in Article 6(3)(a) of Directive 2004/49/EC when required.</p> <p>M.3 There are procedures in place to feed the results of risk assessment into other processes within the organisation and make them visible to relevant staff.</p>
Purpose	<p>It is important for the applicant to be able to anticipate and respond to new risks which may arise in their operation. Their SMS should include procedures for evaluating these risks and implementing new risk control measures where appropriate. This should cater for all types and levels of change - major and minor, permanent and temporary, immediate and long term. It should apply to changes in types of activity, equipment, procedures, organisation, staffing or interfaces, which arise both in connection with the infrastructure and from transport undertakings that affect the infrastructure. The process should allow for risks to be assessed in a proportionate and robust manner and for reasonably practicable control measures to be adopted.</p>
Expected evidence	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • a description of the change management process for changes in equipment, procedures, organisation, staffing or interfaces (M1); • the procedures and methods used to evaluate new risks and implement new control measures (M2 part);

- how the organisation identifies significant changes and decides when to apply the processes in the CSM for risk evaluation and assessment (M2 part);
- how the results of the risk assessment are fed into other processes and what the arrangements are for promoting awareness of the changes to relevant staff (M3 part); and
- how it goes about controlling risk in terms of selecting appropriate risk mitigation measures, devising and implementing management procedures and providing appropriate training (M3 part);

[ORR guidance](#) on the use of the CSM for risk evaluation and assessment has a process to assess risks arising from significant changes.

MIM Criterion N: Provision of staff training programmes and systems to ensure that staff competence is maintained and tasks carried out accordingly

<p>Sub-criteria</p>	<p>N.1 There is a competence management system that includes at least:</p> <ul style="list-style-type: none"> (a) identification of the knowledge and skills required for safety-related tasks; (b) selection principles (basic educational level, mental aptitude and physical fitness required); (c) initial training and certification of acquired competence and skills; (d) on-going training and periodic update of existing knowledge and skills; (e) periodic checks of competence where appropriate; (e) special measures in case of accidents/incidents or long absence from work, as required/where appropriate; (f) specific safety management system training for staff directly involved in ensuring that the safety management system works. <p>N.2. There are procedures within the competence management system providing for:</p> <ul style="list-style-type: none"> (a) the identification of posts that perform safety tasks; (b) the identification of posts that entail responsibilities for taking operational decisions within the safety management system; (c) staff to have the necessary knowledge, skills and aptitude (medical and psychological) appropriate to their tasks and periodically refreshed/updated; (d) allocating staff with the competence appropriate to relevant tasks; (d) monitoring how tasks are performed and implementing corrective actions where required.
<p>Purpose</p>	<p>Competence plays a pivotal role in ensuring that activities are carried out</p>

	<p>satisfactorily. The need for competence extends to both front-line support (including contractor, consultants and suppliers of health and safety-related services) and management personnel. Management competence requirements are frequently overlooked, but managers make important decisions that can have fundamental and wide-ranging effects on health and safety.</p> <p>Adequate arrangements for managing competence should be in place and properly resourced. These should include provisions for training all staff to the required safety standards, for maintaining competency irrespective of circumstances, such as staff availability and turnover, and for monitoring levels of competency in relation to required standards.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • the competence management system including, identification of the knowledge and skills needed, training, maintenance and resources for competence; the processes for recruitment, training, assessment, competence monitoring and record-keeping, indicating how all these contribute to achieving and maintaining competence (N1[a],[b], [c part] & [e]); • the procedures for initial training and certification of acquired competence and skills and on-going training and update of existing knowledge and skills (N1[c part] & [d]) (N2[c]); • how accidents, incidents and long absences from work are catered for in the CMS (N1[f]); • how staff who directly make sure the SMS works are identified and what specific training is given to them (N1[g] & N2[b]); • the system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (N2[a]); • how staff with the appropriate competence are allocated to relevant tasks (N2[d]); and • the monitoring arrangements for tasks, which ensure that staff comply with their training and work instructions, and corrective actions can be taken where required (N2[e]).

MIM Criterion O: Arrangements for the provision of sufficient information within the organisation and, where appropriate, between organisations operating on the same infrastructure

<p>Sub-criteria</p>	<p>O.1. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) staff have knowledge and understanding of the safety management system and information is easily accessible; and (b) appropriate documentation on the safety management system is given to relevant safety personnel. <p>O.2. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) key operational information is relevant and valid; (b) staff are aware of its existence before it must be applied; (c) it is available to staff and where required copies are formally given to them. <p>O.3. There are arrangements in place for the sharing of information between the infrastructure manager and other transport undertakings.</p>
<p>Purpose</p>	<p>The adequate management of safety information internally and the exchange of safety information between train and station operators and infrastructure managers is an essential part of the control of safety risks.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • arrangements and procedures for the provision of accurate and complete safety information within its own operation to all workers (O.1[a]) (these should cover the receipt, identification, selection, dissemination and recording of information, and method and formatting of relevant documentation) (O.1[b]); • arrangements for the layout of vital safety information and how changes to that

information are managed (O.2[a]) (it should also describe how employees are made aware of the relevant documentation and how any changes to existing information are controlled) (O.2[b] & [c]); and

- arrangements for the provision of safety information between it and other transport operators using the infrastructure, including those applying for a certificate or authorisation for operations on the same infrastructure (O3).

MIM Criterion P: Procedures and formats for documenting safety information, and designation of a procedure for configuration control of vital safety information

<p>Sub-criteria</p>	<p>P.1. There are procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated, and duly documented.</p> <p>P.2. There are procedures to:</p> <ul style="list-style-type: none"> (a) format, generate, distribute and manage control of changes to all relevant safety documentation; (b) receive, collect and store all relevant documentation/information on paper or by other registration systems. <p>P.3. There is a procedure for configuration control of vital safety information.</p>
<p>Purpose</p>	<p>The adequate management of safety information internally and the exchange of safety information between train and station operators and infrastructure managers is an essential part of the control of safety risks.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • arrangements and procedures for the provision of accurate and complete safety information (P1) (this should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation) (P2); • arrangements for the provision of safety information between it and other transport operators using the infrastructure, including those applying for a certificate or authorisation for operations on the same infrastructure (P2); • arrangements for the layout of vital safety information and how changes to that information are managed (P3).

MIM Criterion Q: Procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are reported, investigated and analysed and that necessary preventive measures are taken

<p>Sub-criteria</p>	<p>Q.1. There are procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are:</p> <ul style="list-style-type: none"> (a) reported, logged, investigated and analysed; and (b) reported, as required by relevant legislation, to national bodies. <p>Q.2. There are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) recommendations from the national safety authority, from the national investigating body, and from industry/internal investigations are evaluated and implemented if appropriate or mandated; and (b) relevant reports/information from other transport undertakings, infrastructure managers, entities in charge of maintenance and railway vehicle keepers are considered and taken into account. <p>Q.3. There are procedures for relevant information relating to the investigation and causes of accidents, incidents, near misses and other dangerous occurrences to be used to learn and, where required, to adopt preventive measures.</p>
<p>Purpose</p>	<p>Arrangements for investigating and learning from accidents, incidents and near misses that could lead to harm are a central part of an effective health and safety management system. Accident and incident investigation procedures need to be sufficiently thorough and comprehensive to ensure that the underlying causes are clearly identified and that actions to rectify problems are implemented effectively. For near misses, the collection and analysis of data can provide real value in preventing accidents and incidents.</p> <p>For investigation arrangements to be adequate, it is essential that incidents that</p>

	<p>have a potential to endanger people be examined effectively. Those that could lead to more serious consequences should be treated with a similar rigour to accidents that actually do cause harm. The investigation, the report and recommendations should cover not only the actions of the infrastructure manager but also transport undertakings and any contractors that may be involved. The applicant also needs to demonstrate awareness of its statutory responsibilities for reporting accidents and incidents and how it acts on enforcement decisions made by ORR following accidents and incidents.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide a summary of:</p> <ul style="list-style-type: none"> • procedures for reporting, logging, investigation and analysis of accidents, incidents, near misses and other dangerous occurrences (Q1[a]) (this should cover procedures for reporting those accidents and incidents which are statutorily reportable to ORR and RAIB) (Q1[b]); • how the investigation process takes into account any effects arising from the operations of other transport undertakings (Q2[a] part); • procedures for: <ul style="list-style-type: none"> ▪ implementing actions required by ORR following an official (RAIB and/or ORR) investigation (Q2[a] part); ▪ reviewing reports of accidents, incidents, near misses and dangerous occurrences received from all other sources, including in-house investigations, employees, other transport operators, members of the public (Q2[b]); ▪ considering and implementing preventative measures following analysis and review of relevant information from all sources other than when directly mandated by ORR (Q3).

MIM Criterion R: Provision of plans for action and alerts and information in case of emergency, agreed with the appropriate public authorities

Sub-criteria

R.1. A document identifies all types of emergency, including degraded operations, and there are procedures in place to identify new ones.

R.2. There are procedures in place to ensure that, for each identified type of emergency:

(a) the emergency services can be promptly contacted; and

(b) the emergency services are provided with all relevant information both in advance, to prepare their emergency response, and at the time of an emergency.

R.3. The roles and responsibilities of all parties are identified and set out in a document.

R.4. Plans for action, alerts and information exist and include:

(a) procedures to alert all staff with responsibility for emergency management;

(b) arrangements to communicate these to all parties, including emergency instructions for passengers; and

(c) arrangements for contacting competent staff immediately so they can take any decisions required.

R.5. There is a document describing how resources and means have been allocated and how training requirements have been identified.

R.6. There are procedures in place to re-establish normal operating conditions as soon as possible.

R.7. There are procedures for testing emergency plans in cooperation with other parties to train staff, test procedures, identify weak points and verify how potential

	<p>emergency situations are managed.</p> <p>R.8. There are procedures in place to coordinate emergency plans with transport undertakings which operate on the organisation's infrastructure and any other infrastructure with which it has an interface.</p> <p>R.9. There are arrangements in place to halt operations and railway traffic promptly, if necessary, and to inform all interested parties of the action taken.</p>
<p>Purpose</p>	<p>Robust systems for emergency planning are essential for any duty holder and must cover the information that needs to be supplied to the emergency services to enable them to draw up their major incident response plans. Also important are those aspects of the SMS that are directly relevant to the emergency response arrangements, e.g. training for emergencies and testing of emergency plans. The emergency procedures of the infrastructure manager should also be capable of co-ordinating the actions of the applicant with transport undertakings in relation to the infrastructure concerned.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide an overview of:</p> <ul style="list-style-type: none"> • a document that identifies the types of emergency covered, including degraded operations and the procedures in place to identify new ones (R1); • the information supplied by the applicant to enable the Emergency Services to plan their response to a major accident on the railway, where appropriate referring to duties under the Civil Contingencies Regulations (R2); • the plans, roles and responsibilities, training and arrangements to maintain competence, and the arrangements for effective communications with emergency services, relevant staff and passengers (this should include a document which sets out the roles and responsibilities of all parties, how resources and means have been allocated and training requirements have been identified) (R3,R4,R5 and R8 part); • the procedures to return to normal operations after an emergency (R6); • those specific aspects of the SMS that are directly relevant to the emergency response arrangements, e.g. training for emergencies and testing of

emergency plans to identify any weaknesses (R7);

- how the infrastructure manager co-ordinates its procedures with those of the transport undertakings using its infrastructure and other infrastructure managers, with which they have an infrastructure interface (R8 part);
- arrangements for stopping operations and railway traffic promptly where necessary and telling all interested parties of the action taken (R9).

Where emergency procedures for any aspect of the applicant's operation are covered by requirements of a TSI, it will be sufficient to refer to compliance with that TSI. All types of emergency that can reasonably be expected to occur on a railway should be covered.

MIM Criterion S: Provisions for recurrent internal auditing of the safety management system

<p>Sub-criteria</p>	<p>S.1. There is an internal auditing system which is independent and impartial and which acts in a transparent way.</p> <p>S.2. There is a schedule of planned internal audits which can be revised depending on the results of previous audits and monitoring of performance. S.3 There are procedures in place to identify and select suitably competent auditors.</p> <p>S.4. Procedures are in place to:</p> <ul style="list-style-type: none"> (a) analyse and evaluate the results of the audits; (b) recommend follow-up measures; (c) follow up the effectiveness of measures; and (d) document the execution of audits and the results of audits. <p>S.5. There are procedures to ensure that senior levels of the management chain are aware of the results of audits and take overall responsibility for implementation of changes to the safety management system.</p> <p>S.6. There is a document showing how audits are planned in relation to routine monitoring arrangements to ensure compliance with internal procedures and standards.</p>
<p>Purpose</p>	<p>The applicant should describe its provisions for internal auditing of the safety management system, and for ensuring continuous improvement in the SMS by reviewing its effectiveness using information including audit findings.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide an overview of:</p> <ul style="list-style-type: none"> • the auditing system, which should be independent, impartial and transparent

(S1);

- the schedule of planned internal audits and how this can be revised depending on the results of previous audits and monitoring of performance (S2);
- arrangements for the internal audit of the SMS and main risk control systems including how a suitably competent auditor is selected (S3);
- procedures to analyse and evaluate the results of audits, recommend follow up measures, look at their effectiveness and document the results (it should explain how senior managers take account of audits and implement changes to the SMS) (S4 & S5); and
- the routine monitoring arrangements for ensuring compliance with company procedures and standards (S6).

'Audit' here means a process by which the adequacy of the management system itself is assessed, providing evidence for a review of its structure and high level functions. Audits should include the management of interfaces with the operations of transport undertakings.

MIM Criterion T: Safe design of the railway infrastructure

<p>Sub-criteria</p>	<p>T.1. There are procedures to ensure the safe design of the infrastructure throughout the life-cycle of the infrastructure, covering design and installation.</p> <p>T.2. There are procedures which take into account technical change of the infrastructure and the management of that change.</p> <p>T.3. There are procedures which show that relevant rules covering the design of the infrastructure and any national safety methods have been identified and that the applicant can comply with them.</p>
<p>Purpose</p>	<p>The design of infrastructure, including track and formation, signalling, traction power supply, earthworks, structures, level crossings, telecommunications and stations, is integral to the safety of the system. Safety should be factored into the design of materials, components and subsystems, and into the way these fit together to form the systems which make up the operational railway. The interface between humans and the hardware of the railway should also be designed with safety in mind.</p> <p>RIR provide a statutory framework governing how safety should be designed in. These are complemented by a range of recognised industry processes. Compliance with the Regulations and industry processes provide the underlying evidence that initial integrity is sound, and it is not the intention of this criterion to duplicate those requirements, but to show how they have been met.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • the aims of the organisation in its various design processes including how it ensures safe design and installation of the infrastructure throughout its lifecycle (T1); • how it goes about controlling technical change of the infrastructure and

implementing management for that change (T2);

- an overview of the arrangements for meeting statutory requirements, and for participating in industry processes, including taking account of the equipment or operations of other duty holders (this overview should describe links between these arrangements and other relevant parts of the safety management system) (T3 part);
- an overview of the relevant standards, or suites of standards, with which the organisation seeks to comply in designing its infrastructure (T3 part); and
- a brief explanation of how the organisation has satisfied itself that designs which predate current standards are fit for purpose (T3 part).

MIM Criterion U: Safe operation of the infrastructure

<p>Sub-criteria</p>	<p>U.1. There are procedures to ensure that the infrastructure is managed and operated safely, taking into account the number, type and extent of operators running services on the network including all necessary interactions depending on the complexity of the operation.</p> <p>U.2. There are procedures which show how safety is managed at the physical and/or operational borders of the infrastructure.</p> <p>U.3. There are procedures which show how effective cooperation and coordination is managed, both in normal and emergency situations.</p> <p>U.4. There are procedures which show that rules covering the safe operation and management of infrastructure/vehicle interfaces have been identified and that the applicant can comply with them.</p>
<p>Purpose</p>	<p>This criterion deals with the operation of the infrastructure. Overall effective control of the infrastructure is critical to ensuring its safe operation in normal, degraded and emergency conditions. Infrastructure managers need to establish an effective control philosophy and agree arrangements with other relevant parties, including transport undertakings and adjacent infrastructure managers. The infrastructure manager must provide sufficient facilities to establish this control philosophy, including status monitoring, signalling, communications, normal operating rules, and an understanding of the expected response to foreseeable events.</p> <p>Control of the operation must be subject to relevant TSIs, national safety rules, national technical rules and rail safety legislation and the applicant should show how it meets these, but applicants may also wish to refer to company rules.</p>
<p>Expected</p>	<p>The applicant is expected to provide evidence of:</p>

evidence

- the aims of the operational arrangements (U.1 part);
- an outline of how the organisation delivers those aims [including for the traffic control and signalling system], while ensuring safety taking into account the number, type and extent of operators running services on the network including all necessary interactions depending on the complexity of the operation (U.1 part);
- how it manages safety at physical and/or operational borders of the infrastructure (U.2);
- how effective cooperation and coordination is managed for normal and emergency situations specifically with transport undertakings and other infrastructure managers (U.3);
- reference to recognised industry operational standards which have been adopted, and to relevant company standards (U.4 part); and
- an outline of how these standards cover the safe operation and management of infrastructure/vehicle interface and the way in which they are complied with (U.4 part).

MIM Criterion V: Provision of maintenance and material

<p>Sub-criteria</p>	<p>V.1. There are procedures to ensure that maintenance of the infrastructure is undertaken safely, including clear management control and documented audit and inspection.</p> <p>V.2. There are procedures which ensure that the maintenance of the infrastructure meets the specific needs of the network.</p> <p>V.3. There are procedures which show that rules covering the supply of maintenance and material have been identified and that the applicant can comply with them.</p>
<p>Purpose</p>	<p>This criterion deals with maintenance and the supply of material. In the same way that infrastructure must be designed for safety, the infrastructure manager must show how it meets the requirements relating to its maintenance and material supplied. These include TSIs, national safety rules, national technical rules and applicable rail safety legislation. Applicants may also wish to refer to company rules.</p> <p>A maintenance regime needs to consider all the elements of the infrastructure and how they contribute to the overall safety of the system. Individual components are likely to require periodic inspection, adjustment, repair or replacement, in accordance with standards adopted by the infrastructure manager. The integrity of a subsystem as a whole will also need to be managed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • the aims of the maintenance regime (V.1 part); • an outline of how the organisation delivers those aims safely, referring to <ul style="list-style-type: none"> ▪ elements of the SMS, where appropriate (including clear

management control and documented audit and inspection); and

- the relevant company procedures (V.1 part);
- reference to relevant TSIs, compliance with which involves adherence to a specified maintenance plan that meets the needs of the network (V.2);
- reference to recognised industry maintenance and supply of material standards which have been adopted, and to relevant company standards (V.3 part);
- an overview of the way in which the standards are maintained (V.3 part);

MIM Criterion W: Maintenance and operation of the traffic control and signalling system

<p>Sub-criteria</p>	<p>W.1. There are procedures to ensure that the traffic control and signalling system is operated and maintained so as to ensure the safe operation of the railway.</p> <p>W.2. There are procedures to comply with existing, new and altered technical and operational standards.</p> <p>W.3. There are procedures which set out how safety is managed at the physical and/or operational borders of the traffic control and signalling system, including how cooperation, if necessary, is managed.</p> <p>W.4. There are procedures which show that rules covering the safe operation and maintenance of the traffic control and signalling system have been identified and that the applicant can comply with them.</p>
<p>Purpose</p>	<p>This criterion is about the traffic control and signalling system. The infrastructure manager must show how it safely meets the requirements relating to its maintenance and operation. These include TSIs, national safety rules, national technical rules and applicable rail safety legislation. Applicants may also wish to refer to company rules.</p> <p>A maintenance regime needs to consider all the elements of the signalling and control system and how they contribute to the overall safety of the system. Individual components are likely to require periodic inspection, adjustment, repair or replacement, in accordance with standards adopted by the infrastructure manager. The integrity of a subsystem as a whole will also need to be managed.</p>
<p>Expected evidence</p>	<p>The applicant is expected to provide evidence of:</p> <ul style="list-style-type: none"> • the aims of the traffic control and signalling regime (W.1 part); • an outline of how the organisation delivers those aims safely, referring to

- elements of the SMS, where appropriate (including clear management control and documented audit and inspection); and
- the relevant company procedures (W.1 part and W.4);
- reference to recognised industry maintenance standards which have been adopted, and to relevant company standards (W.2 part);
- reference to relevant TSIs compliance with which involves adherence to a specified maintenance plan (W.2 part);
- an overview of the way in which the standards are maintained (W.1 part and W.2 part);
- how it manages the safety of the traffic control and signalling system at physical and/or operational borders of the infrastructure (W.3).

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