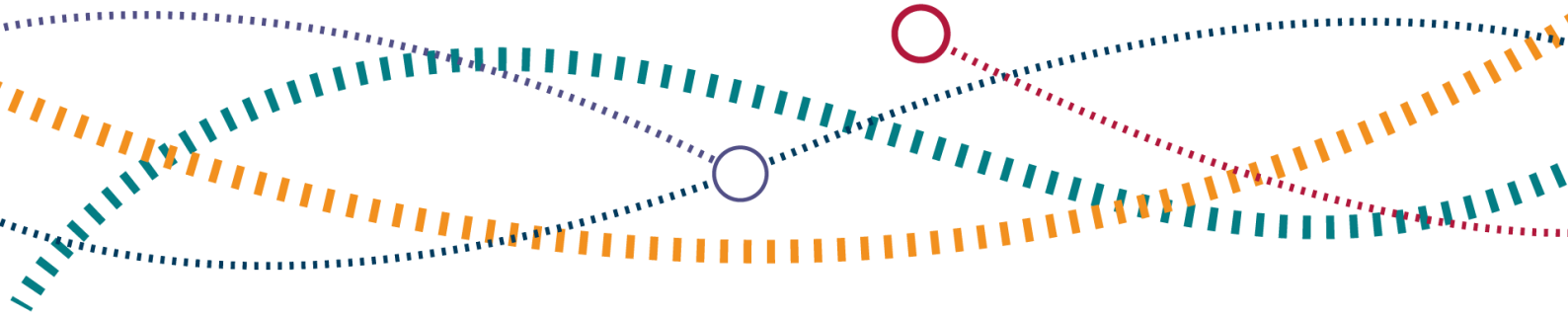
ROGS Safety Certificate and Safety Authorisation Assessment Manual

Guidance on the assessment process for applications under Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) – Sixth Edition

18 March 2026



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1. Purpose of the Document

1.1 This guide provides a stage by stage summary of the assessment process for safety certificate and safety authorisation applications under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) (ROGS).

1.2 You may find it helpful to read this guide alongside the ROGS regulations and also Assessment Criteria for Mainline Railway Safety Certificate and Safety Authorisation applications, or Assessment Criteria for Non-Mainline Safety Certificate and Safety Authorisation applications.

1.3 This guide will allow you to:

(a) Understand your role and responsibilities when carrying out a ROGS assessment.

(b) Understand the competence requirements for carrying out a ROGS assessment

(c) Understand the key milestones and deliverables during a ROGS assessment.

(d) Know who to contact for further advice and guidance with ROGS assessments.

1.4 Applying this guide enables a consistent approach to ROGS assessments and demonstrates ORR as being an accountable and transparent regulator in its approach to handling ROGS applications.

Useful Links

A Guide to ROGS

https://www.orr.gov.uk/sites/default/files/2022-12/rogs-guidance.pdf

ROGS Regulations

https://www.orr.gov.uk/sites/default/files/2024-01/rogs-2006-consolidated-with-amendments.pdf

Assessment criteria for mainline railway safety certificate and safety authorisation applications

https://www.orr.gov.uk/sites/default/files/om/cert_auth_criteria_mainline.pdf

Assessment criteria for non-mainline railway safety certificate and safety authorisation applications

https://www.orr.gov.uk/sites/default/files/om/non-mainline-rogs-certificates-guidance.pdf

2. Who Is This Guide For

2.1 This Guide is aimed at anyone who needs to understand the processes involved with ROGS assessments and is required to carry one out as part of their role. It is also a useful document for applicants as it provides an outline of how they can expect their application to be assessed.

2.2 Further information or questions about this guidance can be made by emailing ROGS@orr.gov.uk

3. Legal Requirements

3.1 Following the UK exit from the European Union (EU), ROGS has been subjected to some minor amendments. The key changes made by the 2019 and 2020 Exit Regulations were to remove redundant terminology or provisions that are no longer relevant as a result of the UK withdrawing from the EU. There were also changes made in 2023 to Regulation 18(A)(1) in relation to entities in charge of maintenance certification requirements for freight wagons.

3.2 Some provisions have been removed whilst others are reworded or replaced with new terminology to ensure they continue to make sense in the context of the UK being outside of the EU. However, the majority of the requirements contained within ROGS remain in place.

3.3 The 2019 Exit Regulations revoked several pieces of EU tertiary legislation that became redundant in the UK after 31 December 2020.

3.4 The changes that have been made to ROGS are covered by the following statutory instruments:

(a) The Rail Safety (Amendment etc.) (EU Exit) Régulations 2019 (S.I. 2019/837)

(b) The Railways (Safety, Access, Management and Interoperability) (Miscellaneous Amendments and Transitional Provision) (EU Exit) Regulations 2019 (S.I. 2019/1310)

(c) The Railways (Miscellaneous Amendments, Revocations and Transitional Provisions) (EU Exit) Regulations 2020 (S.I. 2020/786)

(d) The Railways (Interoperability) (Miscellaneous Amendments and Revocations) (EU Exit) Regulations 2020 (S.I. 2020/318)

(e) The Railways (Interoperability) (Amendment) (EU Exit) Regulations 2019

The Rail Safety (Amendment etc.) (EU Exit) Regulations 2019

3.5 The primary purpose of this legislation is to correct the inoperabilities that are contained in ROGS and other EU retained legislation that arise from the UK leaving the EU.

3.6 Some of the corrected inoperabilities are listed below:

(a) obligations to share information with the European Union Agency for Railways (ERA) and the European Commission, for example, on the status of safety certificates and safety authorisations;

(b) obligations to share annual safety reports with ERA;

(c) references to the EU and Technical Specifications for Interoperability (TSIs), which are replaced in the UK by National Technical Specification Notices (NTSNs) – published by the Secretary of State under Regulation 3B of the Railways (Interoperability) Regulations 2011 (S.I. 2011/3066), as amended by the Railways (Interoperability) (Amendment) (EU Exit) Regulations 2019 (S.I. 2019/345). An overview of the changes to RIR 2011 are available at

https://www.gov.uk/guidance/railways-interoperability-eu-exit-regulations

(d) EU symbols, databases and certificates.

3.7 Table 3.1 below sets out the schedules within the ROGS regulations and the relevant EU legislation they replicate, in a corrected form.

Table 3.1 EU Legislation and ROGS Schedules

Relevant EU legislation	Topic covered	ROGS Schedule
Annex I, II, III and IV of Commission Regulation (EC) No 653/2007	Safety Certificates	8 - Format for Safety Certificates and Applications
Annex IV and V of Commission Regulation (EU) 445/2011	Entities in Charge of Maintenance (ECM)	9 - Applications for UK-issued ECM Certificates by entities in charge of maintenance (only valid on the mainline in Great Britain)
Commission Regulation (EU) 445/2011	Entities in Charge of Maintenance (ECM)	10 - System of Certification of Entities in Charge of Maintenance in respect of Great Britain
Commission Decision 2009/460/EC, Commission Decision 2012/226/EU and Commission Implementing Decision 2013/753/EU	Common Safety Targets (CSTs)	11 – Common Safety Targets (CSTs)

What remains the same?

3.8 The scope of the safety regime under ROGS in Great Britain remains unchanged. Those transport systems that are currently excluded from mainline requirements will continue to be excluded. In summary, there are minimal changes as to the requirements that organisations must meet as part of their operations on the railway.

3.9 The Common Safety Method (CSM) for monitoring and the CSM for risk evaluation and assessment remain in use although need to be read in conjunction with the Exit Regulations to correct any inoperabilities within the CSM text that arise due to the UK Exit from the EU.

3.10 More information about the impact of the UK leaving the EU in relation to ROGS is available in ORR's publication, "A Guide to ROGS". https://www.orr.gov.uk/sites/default/files/2022-12/rogs-guidance.pdf

3.11 Regulations 3 and 4 of ROGS state "no person shall operate a train or vehicle in relation to any infrastructure on a mainline railway / transport system" without the appropriate safety certificate (for transport undertakings) or safety authorisation (infrastructure managers) being in place.

3.12 All mainline transport undertakings and infrastructure managers are required to hold a safety certificate and / or safety authorisation. Some "lower risk" non-mainline

operators do not require one but still need a safety management system (SMS) in place for their operations.

3.13 The transport systems below do not require a safety certificate or safety authorisation.

(a) A transport system that does not operate at speeds above 40km/h (25mph);

(b) Tramways, no matter what speed they operate at.

3.14 A **Tram-Train operation** will require a non-mainline safety certificate and / or non-mainline safety authorisation if it is going to operate on the mainline railway. Further details are provided in paragraphs 3.24 and 3.25.

3.15 Chapter 1 of the "A Guide to ROGS (December 2022)" provides an overview on the parts of ROGS that apply to individual transport systems.

3.16 If further guidance is required as to whether a safety certificate or safety authorisation is required, please contact the ROGS team, who will consult legal and policy colleagues as appropriate.

Heritage Railways

If a heritage railway runs or crosses a transport system (whether mainline or non-mainline) that runs at speeds above 40km/h (25mph), they will need to hold a safety certificate.

However, the heritage railway would only need a certificate for the part of the railway that runs on or crosses the system with the running speed above 40km/h (referred to as the "+40km/h system"). The heritage railway can choose to make arrangements with an approved third party to run the part of the railway that crosses or runs on the +40mk/h system.

3.17 Safety certificates and authorisations can be either for mainline or non-mainline operations. A railway is a mainline railway unless we determine that it falls within one or more of these categories:

(a) Metros and other light rail systems;

(b) Networks that are functionally separate from the rest of the mainline railway system and intended only for the operation of local, urban or suburban passenger services, as well as transport undertakings operating solely on these networks;

(c) Heritage, museum or tourist railways that operate on their own networks; or

(d) We determine that heritage vehicles that operate on the mainline railway and comply with national safety rules are deemed not to operate on the mainline railway for the purposes of the Regulations (If the vehicle is predominantly operated on heritage railways (non-mainline) but occasionally operates on the mainline for steam charters, the vehicle remains outscoped from mainline requirements. The vehicles must also comply with RIS-2003-TOM; Certification and Registration of Heritage Rail Vehicles Operating on the GB Mainline Railway, in order to meet the conditions of this exclusion); or

(e) It is privately owned infrastructure that exists solely for use by the infrastructure owner for its own freight operations.

3.18 Those listed in the first two bullets under 3.16 are described as non-mainline railways. ORR publishes a list of these at: http://orr.gov.uk/__data/assets/pdf_file/0017/2555/rogs-exclusion-approved-list.pdf

3.19 Mainline transport undertakings and infrastructure managers must hold either a safety certificate and / or safety authorisation for their intended operation or both.

Mainline Safety Certificates

3.20 A mainline transport undertaking applying for a safety certificate for the first time must apply for both a Part A and Part B. Similar arrangements apply for renewals. Applications for updated/amended safety certificates can be for both Parts A & B, or the Part B only depending on the nature of the changes.

(a) Part A sets out the general safety management arrangements.

(b) Part B relates to a single named transport system. It would include details of how the specific transport system requiring a safety certificate is operated safely.

Non-Mainline Safety Certificates

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

Operating on Mainline and Non-Mainline Railway Infrastructure

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

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

3.24 Non-mainline transport undertakings that also run on the mainline infrastructure should apply for a non-mainline certificate only. For example, Tyne and Wear Metro and North Yorkshire Moors Railway. Those non-mainline operators must also show

that their safety management systems are adequate for operation on the mainline railway.

3.25 Where a holder of an existing mainline or non-mainline certificate proposes to operate a tram-train service on the mainline railway and they have not previously done so, this is likely to constitute a substantial change to their safety certificate. They must show that their safety management systems are adequate for tram-train operation on the mainline railway. Tram-trains will need a non-mainline certificate when they operate on the mainline railway. An application for a determination under Regulation 2A of ROGS to be excluded from mainline railway requirements, may also be required for the infrastructure that is to become solely used for tram-train operations. It is recommended that a meeting is held at an early stage between the dutyholder and ORR if such proposals are being considered.

Who should hold the safety certificate if operations are contracted out?

3.26 If a transport undertaking proposes to contract out the safety critical functions (such as the provision of train crew i.e. Driver and / or Guard, or control resources) of their operation to another transport undertaking who also holds a safety certificate, questions are often asked as to whose safety certificate the operation comes under. The transport undertaking that is the operator of the train service is required to hold the safety certificate regardless of the contractual arrangements in place relating to the supply of Driver and / or Guard, control resources, and rolling stock maintenance. In these situations, the transport undertaking should discuss such changes and confirm what elements of the operation are being contracted out with their lead inspector. This is to ensure that the proposal can comply with regulation 3(1) of ROGS.

Safety Certificate Requirements and Hauling Mark I & Mark II Rolling Stock that are exempt from Regulations 4 and 5 of The Railway Safety Regulations 1999 (RSR99)

3.27 The operation of charter services involves input from a number of different parties including transport undertakings. The transport undertaking who is the operator of the charter train, and will be a safety certificate holder, remains responsible for managing risks to employees, passengers and other rail users. The safety certificate holder must ensure it has oversight of any activities that could be

undertaken by third parties. The transport undertaking must be able to satisfy itself that any health and safety risks associated with the operation are being managed effectively and legal provisions are being complied with. There are conditions relating to safety management systems and safe operation of trains in the certificate of exemption from Regulation 4 and / or Regulation 5 of RSR99 which are allocated to “the operator”. From a ROGS perspective, it is the transport undertaking that is “the operator”.

On Track Plant & On Track Machine Operators

3.28 If the vehicles operate solely within possessions, there is no requirement to hold a safety certificate. If the vehicles operate outside of possessions and on the mainline under their own power to and from the worksites, a safety certificate will be required.

Safety Authorisations

3.29 Mainline and non-mainline authorisations are specific to the relevant infrastructure being managed, operated and maintained. The main difference in applying for a mainline or non-mainline authorisation is the size and nature of the infrastructure. Infrastructure managers who are responsible for operating, maintaining and managing railway assets that are not stations will be expected to provide more evidence in their application as to how their SMS can demonstrate activities being delivered safely, than an applicant who is solely responsible for operating, managing and maintaining stations. Proportionality of evidence is key.

4. Roles and Responsibilities

4.1 The following personnel have roles and responsibilities in the assessment process for safety certificate or safety authorisation applications.

HM Chief Inspector of Railways (Director of Railway Safety)

Role

- Ensures an effective policy for decision making concerning all ROGS issues. This includes the processes for safety certificates and safety authorisations, exemptions and revocation are developed, maintained and implemented in accordance with wider policies as directed by ORR.

Responsibilities

- Endorse the policy on ORR safety certificate and safety authorisation processes
- Provide adequate resource for delivering safety certificate and safety authorisation processes.
- Provide final authority and formal sign off on behalf of ORR of safety certificate and safety authorisation applications.
- Provide overall direction for dispute resolution cases concerning safety certificates and safety authorisations.
- Represent ORR at an appeal if a safety certificate or safety authorisation is refused or revoked.
- Ensure that the organisational structure can respond to the needs of the procedures relating to safety certificates and safety authorisations.
- Ensure effective communication links are maintained with organisations that have an interest in the safety certificate and safety authorisation process.

HM Deputy Chief Inspector of Railways (Deputy Director of Railway Safety)

Role

- Maintain a strategic overview of safety certificate and safety authorisation applications along with supervision activities. Ensure there is adequate resource within teams to carry out safety certificate and safety authorisation assessments.

Responsibilities

- Manage resources to ensure the safety certificate and safety authorisation process is maintained, developed and reviewed as appropriate.
- Manage resources to ensure timely completion of assessments and that they are carried out in line with procedures as well as performance standard timescales.
- Where delegated authority has been granted by HM Chief Inspector, provide final authority on behalf of ORR for accepting or refusing safety certificate or safety authorisation applications.
- Ensure effective communication is maintained between the parties involved in the safety certificate and safety authorisation process.
- Manage the development and implementation of inspection plans post issue of safety certificates and safety authorisations.

Heads of Inspection or Heads of Operations

Role

- Manage resources to ensure timely completion of assessments and that they are carried out in line with processes in place.

Responsibilities

- Manage compliance with the requirements of the safety certificate and safety authorisation procedures including control of documentation and adherence to performance standards.

- Where delegated authority has been granted by HM Chief Inspector, provide final authority on behalf of ORR for accepting or refusing safety certificate or safety authorisation applications.
- Make decisions on recommendations for safety certificates and safety authorisations to be revoked and convene revocation panels to hear the evidence in support of the recommendation.
- Contribute to the ongoing continuous improvement of the safety certificate and safety authorisation process and procedures.
- Assist in the resolution of disputes and liaise with ORR managers / industry stakeholders as appropriate.
- Ensure sufficient (numbers) and capable (competent persons) resources are allocated to an assessment.
- Ensure team workplans include assessments that are due or can accommodate an out of course assessment such as a new entrant or operator of last resort application.
- Ensure application assessments contain coverage of ORR strategic health and safety priorities or other emerging high profile risk topics through liaison with inspection teams and specialist inspectors.

Assessment Manager

Role

- Manage the planning of safety certificate and safety authorisation assessment work as part of the overall team workplan.
- Manage the handling and assessment of allocated certificates / authorisations to the team in accordance with the procedures and performance standards.

Responsibilities

- Review team resources and appoint a suitable Lead Assessor for each application.
- Liaise with the Head of Inspection if there are going to be resourcing issues that impact upon the delivery of an assessment.

- Liaise with specialist team managers if the application requires specialist inspector resources.
- Monitor progress of the assessment against the approved milestones and implement corrective measures as appropriate to ensure the milestones are met.
- Ensure matters raised in the assessment are clear, reasonable and reflect the assessment criteria.
- Ensure the applicant has sufficient time to resolve matters which affect acceptance of the application.
- Maintain effective interface between assessment, supervision and enforcement matters.
- Ensure the assessments are carried out as per procedures in place and in accordance with timescales.
- Approve the final assessment report by the Lead Assessor and make appropriate recommendations to the Case Manager.
- Assist in the resolution of disputes concerning applications for safety certificates or safety authorisations.
- Participate in the revocation process.
- Identify and appoint deputies for the Assessment Manager and Lead Assessor roles in the event of any long-term absence.

Lead Assessor / Assessor (HM Inspector or Inspector Assistant including Trainees)

Role

- Manage applications for safety certificates and safety authorisations within the required timescales and ensure that areas of non-compliance are identified and resolved in accordance with assessment procedures
- Provide a single point of contact for the duty holder for matters concerning safety certificates, safety authorisations and supervision issues.

Responsibilities

- Plan assessments allocated to them, carry them out in accordance with the processes in place and the statutory timescale of 4 months.
- Arrange and attend any pre-application meetings with the applicant. These meetings should outline the assessment process and agree timescales for submission of the application.
- Remind dutyholders who hold existing safety certificates and safety authorisations that their renewal application is due. This should be at the 12 month and 8 month stages prior to the due date of the submission. Liaison meetings are suitable opportunities to provide reminders.
- For multiple Assessor applications, organise the assessment areas that they will assess and advise the Assessment Manager and Case Manager.
- Carry out the initial screen (stage 2) and complete the relevant assessment form. If the application fails the initial screen, advise the applicant in writing why this occurred and explain the work required by the applicant to enable a resubmission, this also needs to be communicated to the Case Manager.
- Ensure the applicant has identified the relevant affected parties and has contacted them correctly in accordance with ORR processes in place.
- Determine points of non-compliance within the assessment criteria and obtain further information from the applicant.
- Review representations made by affected parties and consider as part of the overall assessment of the application.
- Prepare and send to the applicant, the issues that require further information and arrange a meeting to discuss findings. The issues log (S5 form) should include representations made by affected parties.
- Review the responses in relation to the issues raised from the applicant and prepare final assessment report for the Assessment Manager to approve.
- Identify any matters for further inspection and assign a priority to them. These should be recorded on the S5 form.
- In event of revocation to a duty holder safety certificate / authorisation, provide background information and evidence to the revocation panel.

- Ensure all documentation relating to the assessment is uploaded to the PRM-SCA case.
- Ensure the assessment timetable (S2) is maintained throughout the assessment process.
- Use case reference during all correspondence. This is the PRM-SCA series.

Senior Executive: Safety Permissioning (Process Owner)

Role

- Act as process owner for ROGS safety certificate and safety authorisation assessments, and, non-mainline railway determinations under Regulation 2A.
- Updating the RSD internal guidance, assessment manuals and related documents associated with the processes, undertaking training and support for colleagues as needed.
- Enable ORR to meets its statutory obligations under the ROGS regulations and Common Safety Methods for assessing conformity with the requirements for obtaining railway safety certificates and railway safety authorisations.

Responsibilities

- Maintain and update the documents supporting statutory permissioning processes.
- Facilitate individual and group training needs on the permissioning processes.
- Ensure safety certificates and safety authorisations are legally correct.
- Undertake assurance activities of safety certificate and safety authorisation applications to ensure assessment processes have been followed and assessments are of suitable quality by the assessment team.
- Provide advice and guidance both internally & externally on changes to Dutyholder activities that have potential to impact on their SMS and safety certificate / safety authorisation.
- Review draft application submission documents received for a safety certificate and / or safety authorisation to ensure they address the correct assessment criteria for the application & provide feedback to applicants.

- Support colleagues in explanations of the assessment processes to applicants through attending meetings with them to provide a consistent approach to assessments. Support at meetings in relation to the issues log may also be required.

- Liaise with policy colleagues and support the update of webpages containing ROGS information to ensure it is current and accurate.

Case Manager

Role

- This role will be performed by the Senior Executive: Safety Permissioning, L&D Support Team Officer, or SMS Policy Manager may undertake the role if required, for example in cases of absence or resource constraints.

- To ensure that assessment teams deliver applications for safety certificates and / or safety authorisations, within the statutory timescales, to the required quality standards, liaising with legal colleagues as required.

Responsibilities

- Advise the inspection teams of planned forthcoming applications and estimated submission dates. This includes Public Ownerships transfers once the dates are advised by DfT.

- Create PRM-SCA cases on Intapp and populate the relevant sections of the assessment forms to be used during the assessment

- Carry out initial screen stage 1 of the assessment process and advise of the result to the Lead Assessor and Assessment Manager.

- Ensure the submission pack provided for the application contains the correct application form(s) where applicable, and submission documents. These will include an SMS summary document(s) and if required, a cross-reference document which maps the content of the summary document against the assessment criteria. Check that the criteria referred to in the documents corresponds with the application being made.

- Support colleagues in explanations of the assessment processes to applicants through attending meetings with them to provide a consistent approach to assessments.

- Act as Case Manager for applications to ensure they are completed to statutory timescales and quality standards.
- Undertake assurance activities of safety certificate and safety authorisation applications to ensure assessment processes have been followed by the assessment team
- Upload responses from Affected Parties received into the ROGS email account into subfolder 06. Affected Parties of 01. Registered File of the Intapp PRM-SCA case
- Act as lead contact point in ORR for DfT Public Ownership / OLR ROGS applications and attend the routine liaison meetings between ORR, DfT and their Consultants to discuss OLR and Public Ownership matters. Similar activities may also be required with the devolved administrations of Scotland and Wales.
- Prepare covering letter, safety certificate and / or safety authorisation template documents including the allocation of Identification Numbers (IDN's) for formal sign off.
- Arrange for formal sign off of the safety certificate and / or safety authorisation and provide the authorised signatory with access to the Intapp PRM-SCA case.
- Issuing electronic copies of signed covering letters and safety certificate and or safety authorisation documents to the applicant.
- To liaise with I&E team administrator and Webteam to ensure that updates to the ORR website database to show safety certificates and safety authorisations issued.

Head of Capability

Role

- Ensure ORR staff have been offered the appropriate training, level of competence and confidence to undertake assessments of safety certificate and safety authorisation applications.

Responsibilities

- Ensure all ORR staff who undertake assessments have had the opportunity to attend a training course.

Legal Team

Role and Responsibilities

- Provide legal advice on queries that require further in depth analysis of ROGS regulations and; ensure ORR is advising applicants of the correct type of safety certificate or safety authorisation required.

SMS Policy Manager

Role and Responsibilities

- Act as line manager for Senior Executive: Safety Permissioning.
- Maintain an overview of ROGS assessment cases that team members are progressing in the Case Manager role.
- Raise assessments that are a going concern at Ops Forum and with RSD Senior Leadership Team to ensure completion within timescales.
- Provide support to the Case Manager where assurance highlights issues with the assessment carried out.
- Review bi-annually, the assessment process and assessment forms unless other factors lead to an earlier review.
- Raise and escalate disputes where there are instances of assessment processes not being followed.
- Undertake the role of Case Manager for assessments if required.

5. Competence and Training

5.1 All personnel should be familiar with and understand the content of this guide.

5.2 Those in the role of Assessment Managers, Lead Assessors and Assessors should be warrant holding HM Inspectors or Inspector Assistants. An Inspector Assistant can undertake an assessment of an application from an existing dutyholder such as a small TOC or an infrastructure manager who manages a single station. A trainee inspector can undertake an assessment of a single TOC, yellow plant operator, or small infrastructure manager.

5.3 In circumstances where the assessment team are unfamiliar with processes relating to assessments of safety certificate and safety authorisation applications, the Senior Executive: Safety Permissioning will offer advice and guidance where required.

5.4 Experienced Assessors will be able to demonstrate:

(a) An understanding of the assessment processes in place for assessing applications for safety certificates and safety authorisations.

(b) The application of assessment criteria for both mainline and non-mainline applications.

5.5 In addition to the above, it is desirable that they have carried out an assessment within the last 12 months. If this is not possible, there will need to be a discussion as to whether the person appointed as Lead Assessor requires refresher training on the assessment process or would benefit from being mentored.

5.6 Prior to undertaking an assessment of a safety certificate or safety authorisation application, individuals must have attended the “SMS, ROGS and RM3” training event. This is a mandatory event and part of the learning package for Trainee HM Inspectors of Railways and HM Inspector Assistants. There may be an opportunity for established Inspectors and Principal Inspectors to also attend the event for refresher purposes subject to capacity. These sessions will cover the assessment process and applying the assessment criteria through worked examples.

5.7 In addition to the training event described above in 5.6, there will be an update on ROGS at the Field Capability Programme (FCP) events for Inspectors & Inspector Assistants. ROGS sessions will generally be every 18 months or earlier. These events cover a range of issues ranging such as refreshers on the assessment process, case studies of interest, updates on legislation and changes to assessment

forms or processes. Briefings on changes to the assessment process or legislation will still take place at team meetings as and when required.

5.8 As part of the planning process, route team managers are notified of known applications due in the forthcoming workyear that their teams will lead on. This is also an opportunity for less experienced individuals to request refresher training on assessment processes if their dutyholder is to be submitting an application in the forthcoming workyear. If the Senior Executive: Safety Permissioning is unavailable, the SMS Policy Manager, will deputise on this task. Where Public Ownership transfers are concerned, information around mobilisation dates will be provided upon receipt of these from DfT.

5.9 Assessment Managers and Lead Assessors who have not undertaken an assessment of a safety certificate or safety authorisation application for 18 months or more, should request a refresher on the process from either the Senior Executive: Safety Permissioning or the SMS Policy Manager. You can also request to be mentored through the assessment process, but this must be done in advance of an application arriving so that resources can be allocated.

5.10 The Assessment Manager should have oversight of assessments being carried out by less experienced individuals. The level of oversight required should be agreed between the Assessment Manager and Lead Assessor. Where **both** roles involve persons of limited experience, the Senior Executive: Safety Permissioning will need to provide oversight of an assessment. It is advisable that the Assessment Manager and Case Manager have sight of the issues log prepared on the S5 form by the Lead Assessor prior to it being issued to the applicant.

5.11 No individual shall commence an assessment if they do not hold the pre-requisites to undertake such work or have a suitable mentor allocated to support them during the assessment.

5.12 The Senior Executive: Safety Permissioning will provide briefings to teams on any changes to the assessment process and these will be carried out prior to changes taking effect.

5.13 Any individual requiring training, mentoring, advice or guidance on assessment processes should contact either the Senior Executive: Safety Permissioning or SMS Policy Manager, in the absence of the Senior Executive. The SMS Policy Manager will then allocate appropriate resources accordingly.

6. Summary of Assessment Process

6.1 This chapter provides a summary of the assessment stages. Further detailed guidance is available in the chapter covering the stage. Figures 6.1 and 6.2 below shows the assessment process. The left-hand side of the charts are the actions required by the applicant and the right-hand side, actions required by ORR personnel involved with the assessment.

Figure 6.1 Flowchart of assessment process showing pre-application, application submission, main assessment and commencement of formal sign off stages of a ROGS assessment

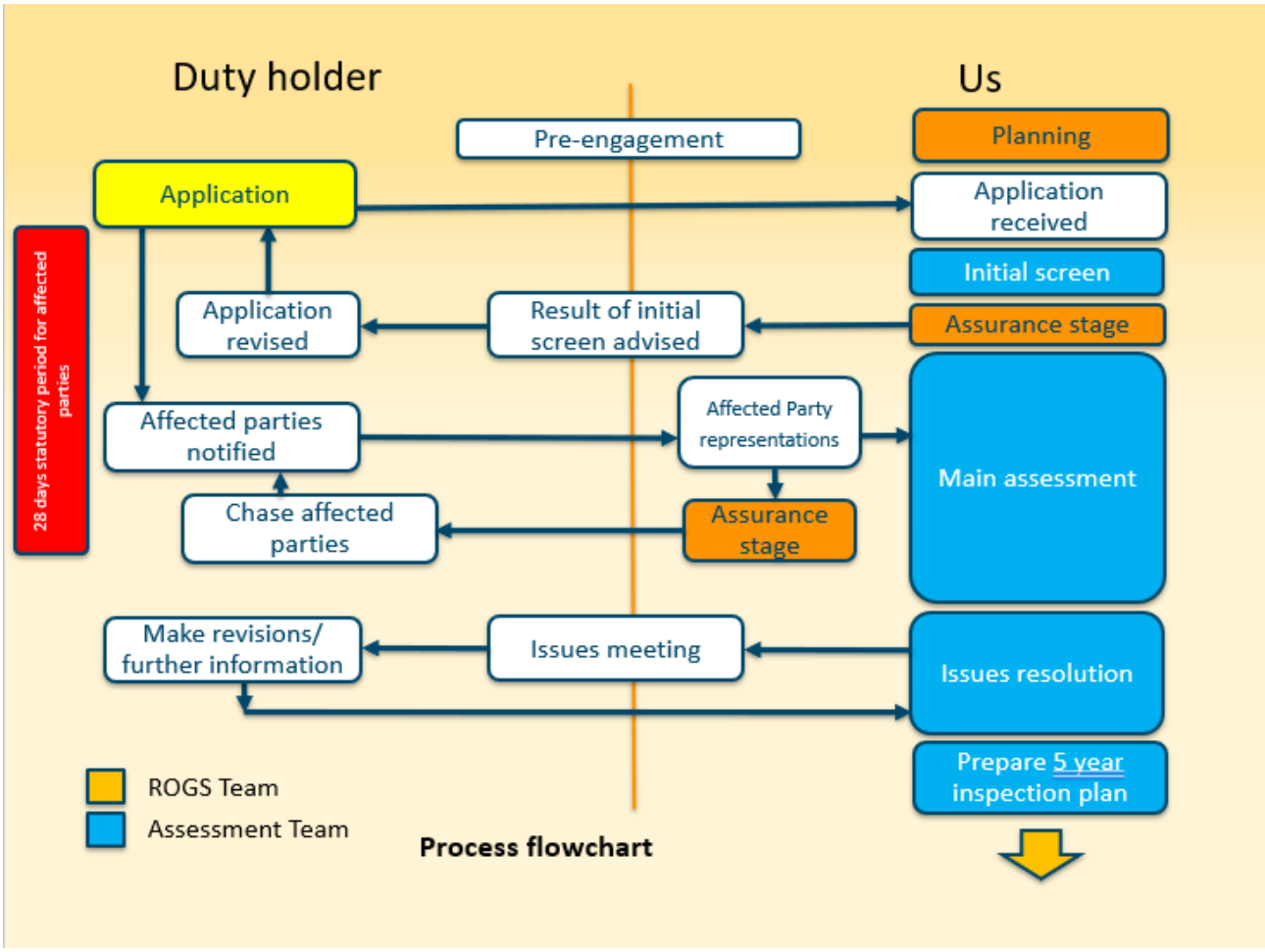
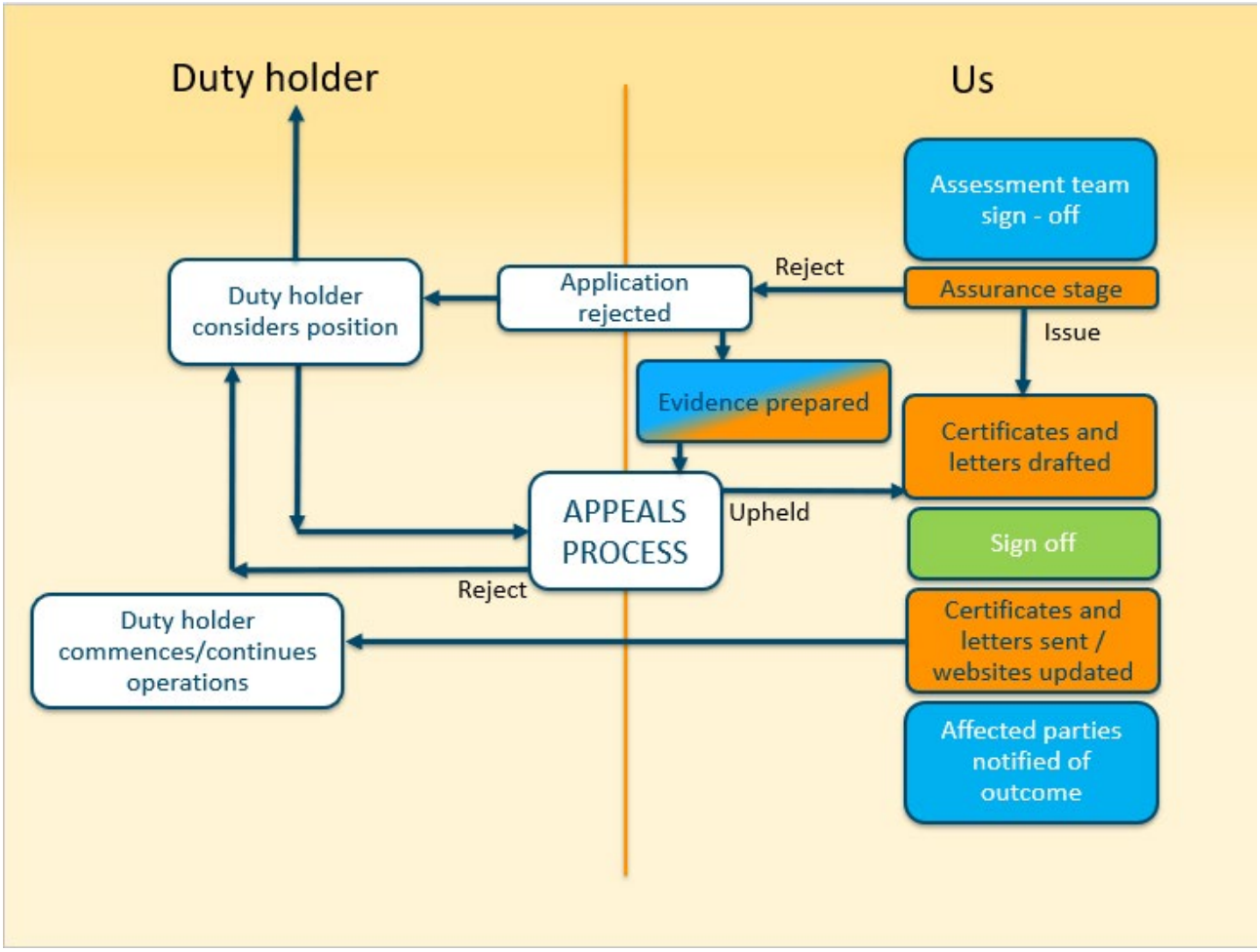


Figure 6.2 Figure 2: Flowchart showing the formal sign off stages of a ROGS assessment and process for appeals in the event that an application is refused.



Notification of forthcoming applications

6.2 The Senior Executive: Safety Permissioning or SMS Policy Manager notifies team managers, where known, of forthcoming applications that their team will lead on. Where Public Ownership transfers are concerned, information around mobilisation dates will be provided upon receipt of these from DfT. For training arrangements, see para 5.7.

Pre application meetings

6.3 These are held to outline assessment processes to applicants, establish contact points within the applicant, understand the applicant's business and confirm the type of safety certificate and / or safety authorisation that will be applied for. The meetings

are optional and the submission can be discussed during a liaison meeting with an existing dutyholder if more convenient.

Assessment Planning

6.4 The Assessment Manager and Lead Assessor discuss the amount of time required to undertake the assessment. The S2 assessment timetable and assessment plan section of the S3 or S4 forms interlink with each other at this stage. In summary, the assessment must be **completed by the date that the safety certificate and / or safety authorisation are due by**. This includes the assurance processes and formal sign off of a safety certificate and / or safety authorisation.

Initial Screen Stage 1

6.5 This is carried out by the Case Manager. It ensures that the applicant has applied for the correct safety certificate and / or safety authorisation, provided the relevant supporting documentation for an application and that the correct legal entity has been identified.

Initial Screen Stage 2

6.6 This is carried out by the Lead Assessor. The purpose of this stage is to provide assurance that the applicant has provided sufficient evidence to enable progress to the main assessment. This stage also covers affected parties consultation.

Main Assessment

6.7 This is a detailed assessment of the application against the relevant assessment criteria. The representation by affected parties is part of this stage and these are considered by the Lead Assessor when formulating the issues log in section 5 of the S5 form. This stage also covers reviewing responses from applicants and where required, a meeting to discuss the issues raised.

Preparation of assessment report

6.8 This stage summarises the assessment carried out. A decision should be made on whether to issue or refuse the safety certificate or safety authorisation and reasons as to why. This stage should also consider if issuing with a reduced validity period and why this is required. Consideration of matters for early or later inspection that form the rolling annual supervision plan are part of this stage and recorded on the S5 form. Production of the annual supervision plan is carried out separately from the assessment process although matters for inspection form part of this. The report produced by the Lead Assessor is then forwarded to the Assessment Manager for their review and sign off. Following completion of milestones by both the Lead

Assessor and Assessment Manager, the Assessment Manager must notify the Case Manager that the assessment is ready for their assurance. The Case Manager assurance is to ensure that the assessment process has been followed throughout.

Formal Sign Off

6.9 This stage is the sign off or refusal of a safety certificate or safety authorisation. The registered file should be made available to the authorised signatory for review and final decision. The authorised signatory can be the HM Chief Inspector of Railways or one of the deputies who hold delegated authority. The delegation is by job role as opposed an individual.

Assurance

6.10 The Case Manager will carry out assurance activity associated with the tasks described in 6.6, 6.7 and 6.8. The purpose is to ensure the assessment processes are being followed and provide guidance or advice on any emerging issues with applications that could prevent issuing a safety certificate and / or safety authorisation.

7. Assessment Forms

7.1 The Case Manager uploads the relevant assessment forms during the first stage of the initial screen.

7.2 The S2, S3, S4 and S5 are macro enabled forms. To ensure full functionality of the form, you must have the macros enabled. The chapters covering the use of these forms will show how this is achieved.

S2 Assessment Timetable

7.3 This provides the dates of the key milestones associated with the assessment. The Lead Assessor and Case Manager should review and update regularly to ensure that the assessment is being delivered to correct timescales.

S3.1 Initial Screen (Mainline Safety Certificate & Mainline Safety Authorisation) "S3 series"

7.4 This form is used for initial screens of applications that for mainline safety certificates, mainline safety authorisations and combined applications i.e. safety certificate & safety authorisation. The assessment plan is built into this form and is located after the initial screen stage 2 summary section. The Case Manager, Lead Assessor and Assessors complete the form.

S4 Initial Screen (Non-Mainline Safety Certificate & / or Non-Mainline Safety Authorisation)

7.5 This form is used for initial screens of applications that are for either a non-mainline safety certificate and non-mainline safety authorisation or both. The assessment plan is built into this form and is located after the initial screen stage 2 summary section. The Case Manager, Lead Assessor and Assessors complete the form.

S5 Assessment Record

7.6 This is a key document in the assessment process. It provides a full record of the assessment carried out and forms the basis of the decision as to whether ORR accepts or refuses an application. The Case Manager, Lead Assessor, Assessors and Assessment Manager complete this form.

8. Pre-Application Meetings

8.1 Prior to submission of an application, the applicant may request a meeting with ORR about the possibility of them applying for a safety certificate and / or safety authorisation. It is beneficial for them to do so as it reduces the risk of the application being rejected at the initial screen stage or having to pause the assessment due to deficiencies with the submission documentation. However, the meetings are not mandatory.

8.2 Where renewal applications are concerned, it is reasonable to cover the renewal application process as part of liaison meetings if one is scheduled to take place before the renewal application is due to arrive. If there isn't then a one-off meeting to discuss the renewal process should be arranged if the dutyholder requests one.

8.3 The meeting shall focus on the following items of discussion:

(a) Outline of the applicant's intended operations and the required safety certificate and/or safety authorisation they will need to hold.

(b) Outline of ORR's assessment process including timescales.

(c) Affected parties - this includes why an applicant needs to contact affected parties, who possible affected parties are, the method of contact and what happens with any representations made. Applicants are also reminded of the requirements of ROGS Regulation 17(9) and consulting their Health and Safety Representatives or equivalent roles on the draft submission.

(d) Formatting of the submission document including the highlighting of changes (for updated/amended/renewal applications) which can be in the form of different colour text or a change log within the document, production of a cross-reference matrix (if the submission document is not laid out criteria by criteria and showing any changes made to it if not the initial application) that maps SMS evidence to the applicable assessment criteria.

(e) An indication of timescales as to when ORR can expect to receive a submission (draft & formal). For new entrants, it is strongly advised that they provide a draft submission document for review to reduce the possibility of a formal application failing the initial screen. Those submitting renewal applications can supply a draft for review if they wish to do so. ORR will provide

feedback on draft submissions and arrange a meeting to discuss the feedback if the submission is not developed to a level that enables assessment.

8.4 For existing holders of safety certificates or authorisations, the lead inspector for the dutyholder should include on liaison meeting agendas, an item on the renewal of the safety certificate and / or safety authorisation. It is advised that this is around 8 months prior to the renewal date where possible, to avoid any delays in the application being submitted. A separate meeting to discuss the renewal process is also considered reasonable if there is no liaison meeting scheduled before the submission is required.

8.5 The Senior Executive: Safety Permissioning will attend some pre-application meetings. If the applicant or lead inspector are less experienced with ROGS assessments or proposing to make changes that impact on the existing safety certificate or safety authorisation, the Senior Executive: Safety Permissioning will attend to provide advice and guidance on assessments. If attendance of the Senior Executive: Safety Permissioning is required, the lead inspector should request this.

8.6 If a potential application is from a new entrant or new franchisee/concessionaire, the Senior Executive: Safety Permissioning will discuss with the relevant team manager, the request from the applicant to meet with ORR. The lead assessment team manager may wish to nominate a representative from their team. These meetings could also include representatives of ORR's licensing and access teams so as that the applicant is provided with an understanding of key regulatory requirements to access railway infrastructure.

8.7 Where the dutyholder proposes to carry out a substantial change to their operations or organisation, which impacts on the SMS and the existing safety certificate and / or safety authorisation, the dutyholder should request a meeting at the earliest opportunity. Depending on what is being proposed, it may also be useful to invite representatives from ORR's licensing team as new licences etc. may also be required.

8.8 There may on occasions be a scenario whereby a dutyholder's existing safety certificate and / or safety authorisation is close to its expiry date, and they are also needing to submit an amendment application. This has potential to increase the workload for both the applicant and ORR if separate simultaneous applications are made. There is also potential of assessments overlapping and SMS submission documents becoming out of sync of each other. In this instance, the dutyholder may request that they renew early and as part of the renewal application, include the amendment within that. In the event of the dutyholder not raising the early renewal

option, it is beneficial to explore this with them and set out the benefits of them adopting the approach.

8.9 A record of the meeting will be made and placed onto the registered file of the PRM-SCA case.

8.10 An outline of discussions will be issued to the potential applicant / dutyholder. This should include reference to:

(a) The type of safety certificate and / or safety authorisation required for the operation.

(b) Affected parties consultation process.

(c) ORR assessment timescales

(d) The required documents to be submitted by the applicant as part of the formal application and the format of these.

(e) In addition to the above points, it is beneficial to provide copies of the mainline safety certificate and safety authorisation application forms if the applicant requires or requests these.

9. Application Submission

9.1 The submission pack from the applicant must contain:

(a) A completed application form for a mainline safety certificate and / or mainline safety authorisation.

(b) A covering email from an applicant applying for a non-mainline safety certificate and / or safety authorisation providing details of what they wish to apply for and provide details of any existing safety certificate and / or safety authorisation, Companies House registration number, VAT number.

(c) A document that describes the safety management system (SMS) and demonstrates compliance with the requirements set out in the ROGS regulations and relevant assessment criteria. Where the application is for a renewal or an amended safety certificate and / or safety authorisation, the document should show the changes made to the SMS in a format agreed at the pre-application meeting.

(d) A cross-reference matrix which maps the evidence contained in the SMS document against the assessment criteria applicable to the application. This is only required for submissions that do not follow the layout of the ORR assessment criteria documents i.e. criterion by criterion. Applicants need to ensure the matrix is accurate at the time of submission.

(e) Details of affected parties consulted. Further information on the affected parties' process is covered in Chapter 11.

9.2 At present, there is no application form for non-mainline applicants. Applicants in this category will need to state in the covering letter or email, whether they are applying for a safety certificate, safety authorisation or both. Information on legal denomination, trading name, company registration number and, VAT number are also required. Some of this information will also be found in the application submission document or on the existing safety certificate and / or safety authorisation if the application is for an update/amendment or renewal of the safety certificate and / or safety authorisation.

9.3 Applications are submitted by e-mail to ROGS@orr.gov.uk There is no requirement for hard copy submissions.

9.4 All applications are acknowledged upon being received by ORR.

10. Assessment Planning

10.1 Route teams will have been informed towards the end or start of calendar years, of known forthcoming applications to enable production of workplans. This will have provided an opportunity for the Assessment Manager and Lead Assessor to discuss the amount of time required to undertake the assessment. It is acknowledged that some applications can arrive at short notice or unexpectedly. These are usually new entrants, Public Ownership Operators, Operators of Last Resort, and amendment applications. The Senior Executive: Safety Permissioning or SMS Policy Manager, will notify the respective route team managers of any potential forthcoming submissions that were not known about prior to the workyear commencing. This could include Public Ownership transfers once DfT advise of mobilisation dates.

10.2 Once the formal submission arrives, the Assessment Manager and Lead Assessor will need to establish if not done so previously and record the amount of time required to undertake the assessment. This may require other work to be reallocated or rescheduled and priority given to the ROGS application which is statutory work.

10.3 The Case Manager will populate the S2 Assessment Timetable form with details regarding the application.

10.4 The S2 calculates the overall time available for ORR to undertake the assessment. This includes stages delivered by everyone involved in the process. The Case Manager will populate the following cells on the S2:

(a) Date of expiry of existing safety certificate or safety authorisation.

(b) Date of application submission to ORR.

(c) Date when the safety certificate or safety authorisation is required by -This will be the day after expiry of an existing safety certificate and / or safety authorisation for a renewal, or that when operations are proposed to commence where updated/amended or new applications are concerned. Where no date is provided or stipulated by the applicant, it will be 4-months from the date of the submission being received.

(d) Has there been a reduced timescale agreed between the applicant and Lead Assessor.

(e) Affected parties consultation commenced.

(f) Dates of when the clock was stopped during the assessment.

10.5 For new entrants or applications for an updated / amended safety certificate or safety authorisation, the assessment timescale will be 4 months from the date of submission. However, in some instances, a reduced timescale may be required; in particular, where a mobilisation date of a concession, franchise or contract is not allowing the 4-month timeframe to be adhered to due to factors beyond the applicant's control. A decision which considers the risk of operations not commencing on the planned date against the risk not having a safety certificate and / or safety authorisation should be considered, to determine if it is reasonable the assessment can be carried out in reduced time. The expectation would be early inspection activity is undertaken to follow up matters that would normally have been raised during an assessment. The S2 form will assist in determining the time available for assessment.

10.6 The S2 will provide dates of when assessment milestones need to be completed. These are indicative and, in some instances, may be completed ahead of schedule or later than indicated. To avoid delays later in the assessment and having to condense milestones into a shorter timeframe, completion of a milestone within 10 days of the date shown on the timetable is strongly advised. Where this is not possible, the Lead Assessor and Assessment Manager will need to discuss and agree an alternative completion date. The Case Manager should be informed at the earliest opportunity and note this date on the S2 in the comments column. The important element is the application is assessed and concluded within the time available as shown on the S2.

10.7 The Lead Assessor and Assessment Manager should review the overall time available to deliver the assessment. A decision should then be reached as to the number of days required for the Lead Assessor / Assessor(s) to deliver their part of the assessment. Consideration should be given to the type of application, previous supervision activity with the applicant, and the quality of the submission documentation received, which will become known at the initial screen stage. It is also beneficial to consider the Lead Assessor's familiarity of the applicant's SMS and their experience of carrying out an assessment.

10.8 The Lead Assessor should allow time for producing the issues log, reviewing responses received from the applicant, producing the assessment report and recording matters for early/later inspection when allocating start and finish dates on the assessment plan.

10.9 The Lead Assessor records in the assessment plan section of the S3 or S4 initial screen form form, the start and finish dates of their assessment along with the areas of the application that will be assessed in detail. In terms of the overall assessment dates i.e. the 4-month statutory timeframe, these are those listed on the S2:

(a) Date of submission of application to ORR (start date of assessment).

(b) Date certification must be issued by (end date of assessment).

10.10 The purpose of producing the assessment plan is to set out the areas of the SMS and assessment criteria that will be assessed in detail. It can also cover the methodology to be used during the assessment such as on-site inspection or examination of a sample of SMS policies and procedures.

10.11 An application for a new safety certificate and / or safety authorisation requires all the assessment criteria to be assessed in detail. The Lead Assessor may also choose to request further evidence such as supporting policies or procedures to check that they are in place.

10.12 Where the application is for an update/amended safety certificate and / or safety authorisation, the assessment plan should focus on the changes made to the SMS. Only the assessment criteria that have new or additional evidence need to be assessed.

10.13 Assessments for the renewal of a safety certificate and / or safety authorisation should focus on the changes made to the SMS and areas of the SMS that are still to mature.

10.14 The assessment plan should include the reasoning behind those areas of the SMS or assessment criteria that are selected for detailed assessment.

10.15 All assessments should consider representations made by affected parties and whether they require follow up. The assessment plan does not need to stipulate this but if the Lead Assessor wants to include reference to this, they can.

10.16 The Assessment Manager will review the assessment plan produced by the Lead Assessor. If they are satisfied with the plan produced, they will sign off to advise that the review is complete. The Assessment Manager then notifies the Lead Assessor and Case Manager of this.

10.17 The Case Manager will review the contents of initial screen stage 2, and the assessment plan produced. Providing there have been no significant issues raised, the Case Manager will complete their assurance on these stages. They will record

their result in the section “Case Manager Initial Screen & Assessment Plan Assurance”.

10.18 The Lead Assessor, Assessment Manager, and Case Manager must maintain the S2 assessment timetable throughout the assessment. Commentary may be added alongside the assessment milestone if required.

10.19 Please see Chapter 13 in relation to issues that could arise at initial screen stage 2 that could impact on production of the assessment plan.

11. Consultation with Affected Parties

11.1 Regulation 17(3)(a) states that applicants must send a copy of their application to all people that will be affected by the operations. Alternatively, they can advise where the application can be accessed on a website.

11.2 Regulation 17(10) provides a statutory list of who affected parties are and must be consulted.

(a) For all applications, any recognised trade unions plus any staff safety representatives.

(b) For all safety certificate applications where the type of service is "passenger transport", the appropriate passenger user groups. This will be Transport Focus and / or London Travelwatch. If the service does not operate within the London area or serve a London terminal station, there is no requirement to consult London Travelwatch.

(c) For a safety certificate application, anyone who manages the infrastructure that the applicant will be operating over. This can include those who manage stations the applicant calls at or passes through.

(d) For a safety authorisation application, anyone managing infrastructure the applicant's infrastructure interfaces with and, where the application relates to operating a station, the operators whose services call at the station or pass through it.

Examples of affected parties in a safety certificate application

Scenario 1

A train operating company who is operating passenger train services should include the infrastructure manager(s) whose infrastructure is operated over or stations called at, Trade Unions that are represented within the company, and passenger user groups (Transport Focus and / or London Travelwatch).

Scenario 2

A freight operating company operating services over routes nationally should include infrastructure manager(s) whose infrastructure is operated over including stations services pass through, Infrastructure Maintenance Contractors they interface with, and Trade Unions that are represented within the company.

Scenario 3

An infrastructure maintenance contractor whose vehicles will operate outside of possessions should include infrastructure manager(s) whose infrastructure is operated over including stations services pass through, freight operators interfaced with, and Trade Unions that are represented within the company.

Examples of affected parties in a safety authorisation application

Scenario 1

A station facility operator should include the infrastructure manager whose infrastructure the station is located on, operators whose services operate at that station or pass through it, and trade unions represented within the organisation.

Scenario 2

The infrastructure manager should include those who operate over its infrastructure whether train operating company, freight operating company or contractor and trade unions represented within the organisation

11.3 Regulation 17(6)(a) provides affected parties with 28 days from the date of receipt of an application, to make any comments or provide further information about an application. The affected party can also submit a 'nil return'.

11.4 The affected parties consultation period is part of the 4-month assessment timescale and the 28 days commences when all affected parties have been contacted.

11.5 Consultation with affected parties should commence either on the same day as the formal application submission is made to ORR or the following working day. Consultation, is carried out by the applicant.

11.6 To meet the requirement of Regulation 17(9) of ROGS, the applicant has to consult trade unions and Health and Safety representatives or equivalent roles on the formal application, and during the drafting stage if such groups are in place. How the applicant carries this out, is for them to decide. The applicant should formally record that consultation was carried out and act upon any feedback received.

11.7 Any additional information submitted by the applicant, also needs sending to affected parties that they have consulted with.

Process for consulting with affected parties

11.8 The pre-application meeting should have covered the consultation requirements. Arrangements for consulting affected parties on the application are detailed below:

(a) The applicant advises ORR whom it has identified as an affected party and submits the list to the ROGS@orr.gov.uk email address. ORR does not provide a list of consultees to an applicant. The applicant is expected to identify its affected parties.

(b) The Case Manager will review the list provided and ensure that the statutory consultees are contained. Where an affected party is missing and they form a statutory consultee as per Regulation 17(10), the applicant will be advised of this. Similarly, where the applicants list affected parties that are not determined as statutory, they will be advised of the reasons why consultation is not required with those. The Case Manager will provide contact details for the statutory affected parties only. These contacts have advised ORR that they are the correct recipient for receiving applications relating to safety certificates and / or safety authorisations.

(c) The applicant is only required to consult with the persons that ORR identifies as the contact point within the affected party organisation. They should copy ROGS@orr.gov.uk into the email sent to the affected parties. The affected parties require sight of the SMS submission document and where applicable, the cross-reference matrix document to be able to respond to the consultation.

(d) If following commencement of consultation, it is identified that an affected party has not been consulted and meets the requirements of regulation 17(10), the applicant should consult those as soon as they are notified by the Case

Manager. The 28-day statutory consultation period commences as soon as the affected party receives the submission. This may lead to the consultation deadline changing from the initial date advised. Where this occurs, the applicant will be advised of the revised consultation end date by the Case Manager.

(e) The applicant should ask the affected party to acknowledge receipt of the application.

(f) In addition to consulting the trade unions if recognised by the applicant, the applicant can also consult with the internal trade union Health & Safety representatives or equivalent roles, on the application. The applicant can use meetings or forums with these groups to record their representations on the application. This evidence should be provided to ORR as means of how consultation has been conducted and any representations made.

(g) It is good practice for the applicant to keep a log of affected parties acknowledgements and responses. This should include date of receipt, date comments or nil return provided and where necessary; date chasing the affected party for a response if outstanding. The applicant is advised to chase up outstanding replies at the 21-day mark and again after the 28-days has concluded. The Case Manager will provide the applicant with a record of acknowledgments and responses received at the end of the consultation period. This allows them to forward to ORR, any responses that were provided to them directly and / or chase outstanding responses.

(h) All responses including nil returns should be sent by affected parties to ROGS@orr.gov.uk

Affected Parties contact database

11.9 ORR has an affected parties contacts database. These contacts have formally agreed to accept submissions as an affected party by e-mail. ORR maintains this database on an annual basis and ensures it remains updated at other times, should contact points change within an organisation.

Continuity of Rail Services and Operator of Last Resort (OLR)

11.10 Section 30 of the Railways Act 1993 places a duty on the franchising authority to intervene and provide continuity of rail services in the following circumstances:

(a) The failure of an existing franchised operator.

(b) Negotiations for a Direct Award for a National Rail Contract (NRC) do not result in a successful outcome for the existing incumbent.

11.11 Should any of the above occur, the franchising authority will make arrangements to transfer over operations to an Operator of Last Resort. This could occur at short notice and in turn, lead to a reduced timescale to assess an application.

11.12 In the event of an application from an Operator of Last Resort, DfT can apply for an exemption under ROGS regulation 30(2) requesting that the Operator of Last Resort be exempt from consulting with affected parties. This application should be made at the same time an application is submitted for the assessment or when the franchising authority commence their due diligence workstreams on a TOC. Exemptions from consultation only apply to OLR applications new or amended / updated safety certificates and / or safety authorisations. Any renewal application from an OLR should follow the consultation process outlined in paragraph 11.8.

11.13 ORR will consider the request and formally notify in writing, the outcome of the decision. A covering letter and exemption schedule will be issued granting an exemption from consulting with affected parties.

11.14 The exemption if granted will only be applicable to the submission made. More information is available in paragraph 11.12.

Applications from Public Ownership Operators

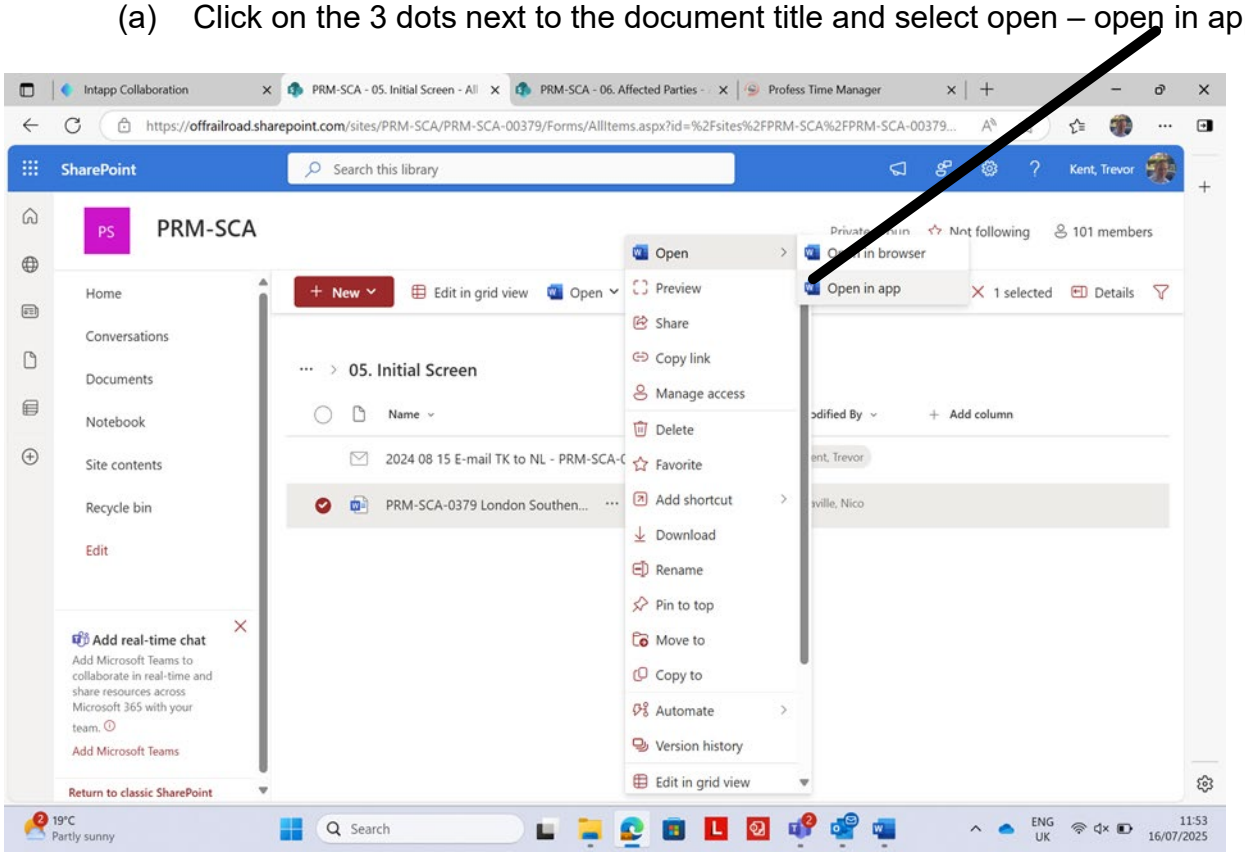
11.15 An application from a Publicly Owned Operator will require consultation with affected parties. The exemption process under Regulation 30(2) that is applicable to Operator of Last Resort applications, will not apply to Publicly Owned Operators.

11.16 The Publicly Owned Operator must consult affected parties in accordance with the arrangements set out in paragraphs 11.1, 11.2 and 11.7.

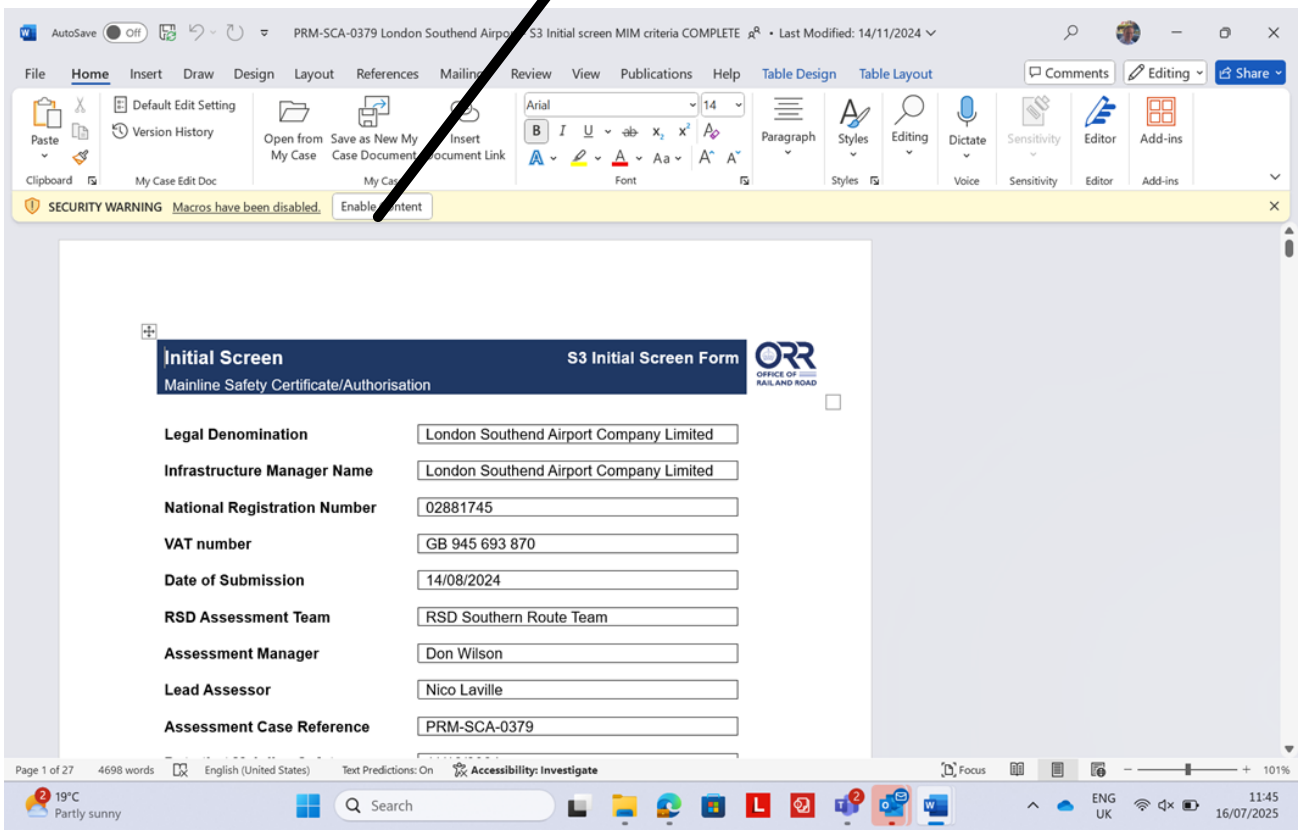
12.Initial Screen Stage 1

12.1 The Case Manager performs this stage. To ensure full functionality of the initial screen forms, please follow the prompts shown in the figures below.

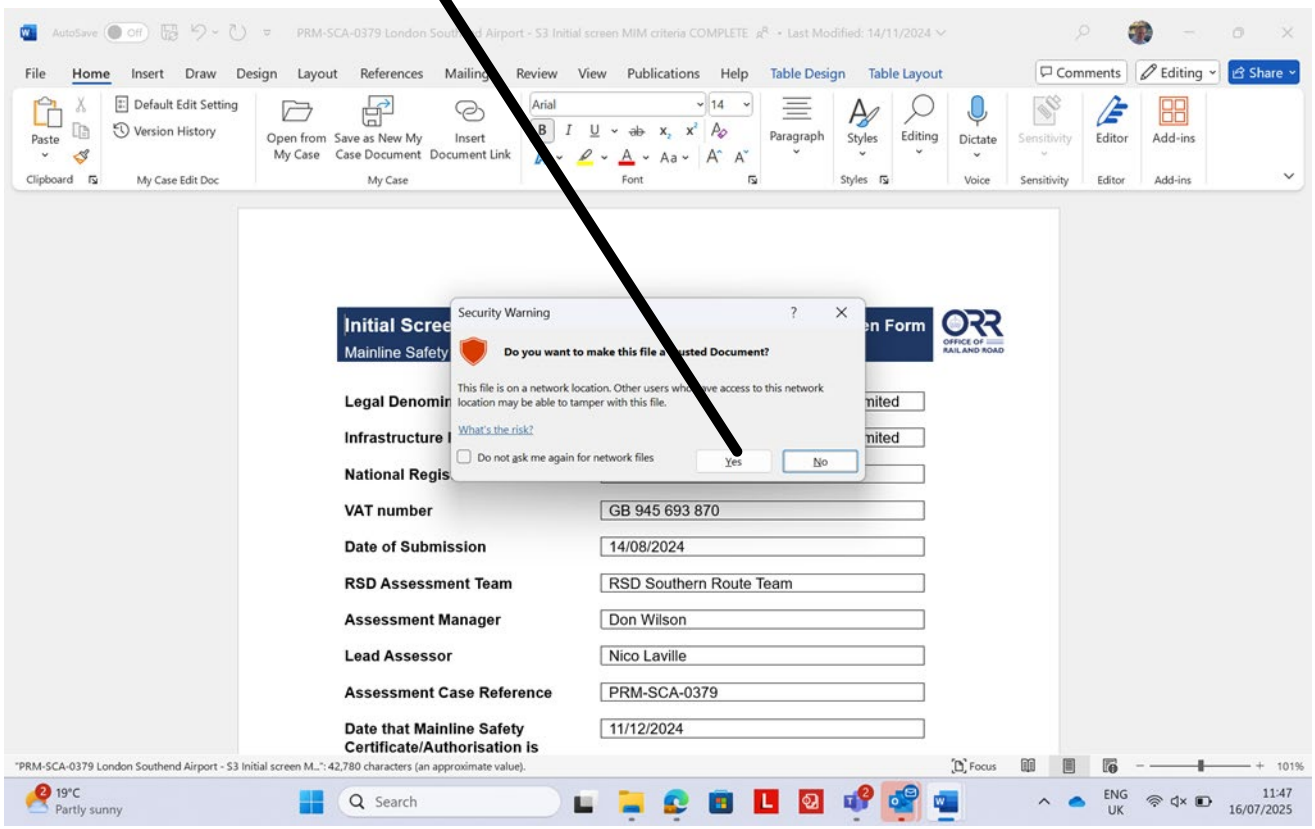
(a) Click on the 3 dots next to the document title and select open – open in app.



(b) When opening the document through the app version of Word, it will display this message about macros, click enable content.



(c) When you see this prompt, click Yes here and this will provide macro enabled functionality on the form.



12.2 Stage 1 of the initial screen covers:

(a) The uploading of the correct assessment forms into the relevant subfolders. In addition, the upload of the correct assessment criteria based on whether the application is mainline, non-mainline or both, and the assessment manual onto the registered file in subfolder 01. Assessment Criteria & Assessment Manual (Guidance Material)

(b) Name and address of the applicant making the application. This is both the legal denomination and trading name. There may also be an acronym listed on the application form or within the SMS submission document.

(c) Companies House registration number of the applicant. Some public bodies such as Passenger Transport Executives do not have company registration numbers but will have VAT numbers.

(d) VAT Number (in some cases, this may be provided at a later date during the assessment if the applicant is in the process of registering with HMRC).

(e) Assessment Manager and Lead Assessor allocated to the application along with any other allocated Assessors.

(f) Date the safety certificate and / or safety authorisation is required by. This will be either the date of expiry of the existing safety certificate and / or safety authorisation or 4-months from the date of receipt of the application, whichever is the earliest date.

(g) Type of application made and if it is correct in terms of the operations being carried out or proposed.

(h) SMS documentation supports the type of application being made and is clearly presented. Where it is an amendment or renewal, there is evidence of changes made to the SMS document either through text being highlighted, set out in a different colour or provision of a change log.

(i) A completed application form has been received for mainline applications.

(j) Timing of submission; is there suitable time to undertake the assessment i.e., 4 months unless agreed a reduced timescale can be applied. Reduced timescales need to have been agreed between the Lead Assessor, Case Manager and the applicant prior to submission.

(k) If the application is for a substantial change, or, an amendment or update to, an existing safety certificate and / or safety authorisation, it meets the requirements of one of these categories.

(l) A list of affected parties the applicant is consulting with has been provided, and there is evidence that consultation with affected parties has commenced, or the applicant has indicated when this will take place. The evidence will be that of an email in the ROGS inbox showing the consultation commencing.

(m) Completion of sections A, B, C and D, on the S2 form, initial screen stage 1 on the S3 (mainline) or S4 (non-mainline) form and, front page of the S5 form. The Case Manager must ensure that macros are enabled on these forms for their functionality to work correctly. If editing a form that is already on the registered file, it must be opened through the app version of word as opposed online version. This is to enable full functionality of the form.

12.3 The results of stage 1 of the initial screen are recorded on the applicable S3 (mainline) or S4 (non-mainline) initial screen forms that correspond with the type of application made. The S2 assessment timetable is updated to show that stage 1 of the initial screen has been completed.

12.4 If during stage 1 of the initial screen, there are deficiencies identified, a discussion will take place between the Case Manager, Assessment Manager and Lead Assessor. This will determine if the applicant can provide the missing information at a later date, or, if the deficiencies relate to the SMS documentation, a requirement for the applicant to resubmit may be the only way forward.

12.5 The following scenarios require immediate rectification. It may also result in the assessment having to be paused if they are matters which prevent progression to initial screen 2 and, cannot be resolved without significant work by the applicant.:

(a) Completed application forms for mainline safety certificates and / or safety authorisations are not provided in the submission pack. For non-mainline applications, the information set out in paragraph 9.2 is not provided.

(b) The application covering e-mail is not clear on what the applicant is applying for and / or documentation attached is not consistent with that of an application for a safety certificate and / or safety authorisation.

(c) The legal entity denomination and / or companies house registration numbers provided do not correspond with the details listed on Companies House Webcheck webpage.

(d) For renewal applications, the legal entity and company registration number to referred to on the application form are different to those currently listed on the existing safety certificate and / or safety authorisation. A search on Companies House Webcheck webpage using the company registration number will provide an indication of changes relating to the legal denomination of an applicant.

(e) The application form(s) contains missing information, signature and date of the applicant representative, or is error ridden and resolution of these items is not feasible by email correspondence. On that basis, the applicant will need to submit a replacement form(s). In most instances, the assessment can progress to initial screen stage 2 providing the remainder of the submission is suitable, whilst the applicant addresses the application form.

(f) The SMS document does not reference the correct assessment criteria for which the application is made in relation to.

(g) A cross-reference matrix that maps the applicable assessment criteria to the content of the submission document(s) is not provided. This is a mandatory requirement if the submission document is not formatted criteria by criteria.

12.6 Following discussions between the Case Manager, Lead Assessor & Assessment Manager, the Case Manager will notify the applicant in writing (an e-mail is satisfactory unless a formal letter is more appropriate), and copy to the Lead Assessor & Assessment Manager, if an application cannot progress beyond initial screen stage 1. The notification will set out why the application has failed. It will also contain advice and guidance on what is required as part of the resubmission to rectify the deficiencies identified. In some instances, the applicant may be recommended that withdrawing their application and spending time developing their SMS before reapplying is necessary. It is the decision of the applicant as to whether they choose to withdraw their application.

12.7 Should the applicant choose to withdraw their application, they must notify ORR of this in writing. An acknowledgement will be issued to the applicant confirming that the withdrawal notice has been received.

12.8 If the initial screen fails at either stages 1 or 2 and the recommendation is the applicant resubmits their application, any initial screens of subsequent resubmissions need to be recorded on separate S3 (mainline) or S4 (non-mainline) initial screen forms. Each form is to be tagged on the Box PRM-SCA case as either “Please Use” or “Do not use – failed initial screen stage 1 or stage 2”. **Please do not delete the forms as they provide an audit trail on the time taken for an application to progress to the next stage of the assessment process.**

13. Initial Screen Stage 2

13.1 The Lead Assessor performs this stage but can also request the Assessors (if applicable) to look at the criterion they have been asked to assess. It is the decision of the Assessment Manager and Lead Assessor as to how they wish stage 2 of the initial screen to be resourced and carried out. Upon reaching their decision, they should notify the Case Manager of arrangements. The Lead Assessor and Assessors need to agree as to how the applicable initial screen form will be populated. One option might be to annotate alongside each of the criteria which Assessor is assessing each one.

13.2 Please see paragraph 12.1 for details on how to open the S3 or S4 initial screen form correctly and enable macro functionality.

13.3 The purpose of this stage is to:

(a) Ensure the application submission document covers the applicable ROGS criteria. It provides an early assurance that the submission document is compliant.

(b) Ensure the application submission document contains sufficient evidence to enable it to be assessed against the relevant assessment criteria. This includes referencing supporting SMS policies / procedures where necessary and where the application is not an initial one, there is evidence of changes made to the SMS.

13.4 The Lead Assessor or Assessor records the following on the applicable S3 (mainline) or S4 (non-mainline) initial screen form:

(a) Whether the applicant has provided evidence against the assessment criteria by selecting Yes or No from the drop-down function.

(b) References the section(s) where evidence is located within the submission document.

Good Practice Tip

Making use of the comments box located within the assessment criteria on the S3 (mainline) or S4 (non-mainline) initial screen forms of items that require following up during the main assessment can save time when producing the issues log.

13.5 Where the SMS submission document does not reference any supporting SMS policies / procedures then that suggests they do not have the capability to manage the safety of the operation. Similarly, a document which expects the Assessor to obtain the evidence of how assessment criteria are met by reading through each individual policy / procedure, that is not how an assessment is carried out. Both of these approaches give grounds for rejecting the application at initial screen stage 2.

13.6 For amendment applications, the initial screen should only focus on the assessment criteria that require amending as part of the change and have been highlighted by the applicant.

13.7 The Lead Assessor shall record on the S2 assessment record, the date that the initial screen stage 2 is completed.

13.8 The Lead Assessor will populate the assessment plan section of the S3 or S4 form to show which elements of the application they are assessing. They can also do likewise for Assessors participating in the assessment or ask the Assessors to populate directly.

13.9 Where an applicant is applying for both a mainline and non-mainline safety certificate & / or safety authorisation, it is beneficial for the Lead Assessor and Case Manager to discuss which initial screen form is to be completed. If the application submission document combines the evidence for both mainline and non-mainline assessment criteria along with clearly referencing the assessment criteria (MTU/MIM/NMC) that the paragraphs are covering, it is feasible to complete just one initial screen form. The S3 mainline series should be used as the mainline application requires a greater level of detail required in the evidence provided against the assessment criteria. Lead Assessors and Assessors can use the comments field under the criteria to record that the NMC criteria is also covered on the form. If the expected evidence required is different between MTU/MIM and NMC criteria, the comments field can reference this. Where separate mainline and non-mainline submissions are made, the S4 form must be completed.

13.10 Upon completion of initial screen stage 2 and the decision is that the application can progress, the Lead Assessor will complete the assessment plan. Where multiple Assessors are assigned to the assessment, they will provide input to the assessment plan. Please refer to Chapter 10; paragraphs 10.9 to 10.15 for details relating to the assessment plan production.

13.11 As per the guidance set out in paragraph 12.8, where a resubmission is made due to the previous iteration, failing the initial screen stage, a new form in the S3 series (mainline) or S4 (non-mainline) is to be used each time.

14. Initial Screen and Assessment Plan Assurance

14.1 The purpose of this stage is to:

(a) The initial screen has been carried out correctly by the Lead Assessor and that the relevant sections on the applicable S3 (mainline) or S4 (non-mainline) form have been completed.

(b) The submission document provided has been reviewed by the Lead Assessor and they are satisfied it is suitable to be assessed in detail against the relevant assessment criteria.

(c) Ensure the assessment plan has been produced by the Lead Assessor, discussed with the Assessment Manager and both parties are in agreement with the approach to the assessment and timings indicated. This will be evidenced by the assessment plan being signed off by the Assessment Manager.

14.2 The Case Manager will formally sign off the initial screen as completed providing the tasks listed in 13.3, 13.7, 13.8 and 13.9, have been carried out.

14.3 In the event of a resubmission being required, the Case Manager will discuss the reasons with the Lead Assessor and Assessment Manager to decide if this is the most appropriate course of action. If it is, the Case Manager will formally agree to this on the applicable S3 (mainline) or S4 (non-mainline) initial screen form. In some cases, the Case Manager may suggest that the issues are resolved as the assessment progresses and not recommend or formally agree to a resubmission.

14.4 The Case Manager advises the Lead Assessor of the assurance outcome by e-mail and uploads it to the Intapp PRM-SCA case under 05. Initial Screen of the 01. Registered File folder. The S2 assessment timetable is also updated to show the date that the assurance was carried out.

14.5 The Case Manager records on the S2 assessment timetable, the date that initial screen and assessment plan assurance was carried out.

14.6 In the event of a delay in the assessment plan signed off, the Case Manager should record in the comments column alongside the milestone for initial screen and assessment plan assurance, on the S2 timetable, the date that the Lead Assessor

provided sight of the completed S3 or S4 form. This indicates that the Lead Assessor has completed those aspects of the assessment.

15. Affected Parties Assurance

15.1 This stage is carried out following conclusion of the affected parties consultation process. The Case Manager and Lead Assessor discuss:

(a) The list of affected parties provided by the applicant, whom has responded and is still to respond.

(b) Actions required by the applicant to chase up those affected parties still to respond.

15.2 The Case Manager will upload any responses received into the ROGS e-mail account directly into the subfolder 06. Affected Parties of 01. Registered File on the PRM-SCA case. They will also update the list of affected parties consulted by showing a response received in red or acknowledgement in purple. The Case Manager will notify the Lead Assessor by email of responses received.

15.3 To facilitate the assurance process, subfolder 06. Affected Parties of 01. Registered File on the PRM-SCA case in Intapp should contain all the affected parties responses and acknowledgements that have been received.

15.4 The Case Manager will advise the Lead Assessor on the format for recording affected parties comments in sections 4 and 5 of the S5 form.

15.5 Responses must be received from the Infrastructure Manager(s), Trade Unions recognised by the applicant and if a passenger operator, Transport Focus / London Travelwatch. This to demonstrate compliance with ROGS Regulation 17(10). In the event of the applicant not receiving a response from one of the organisations listed above but can demonstrate chasing responses, this will satisfy requirements.

15.6 The Case Manager or Lead Assessor should email the applicant advising that the consultation period has ended, provide evidence of the responses or acknowledgements received by sharing the responses log, and request that the applicant does a final chaser with those still to acknowledge or respond. The applicant should copy that final chasing email to ROGS@orr.gov.uk

15.7 The Case Manager will email the Lead Assessor to confirm the assurance has been carried out and outline any actions discussed. The Case Manager uploads the email to the PRM-SCA case under 06. Affected Parties of the 01. Registered File folder.

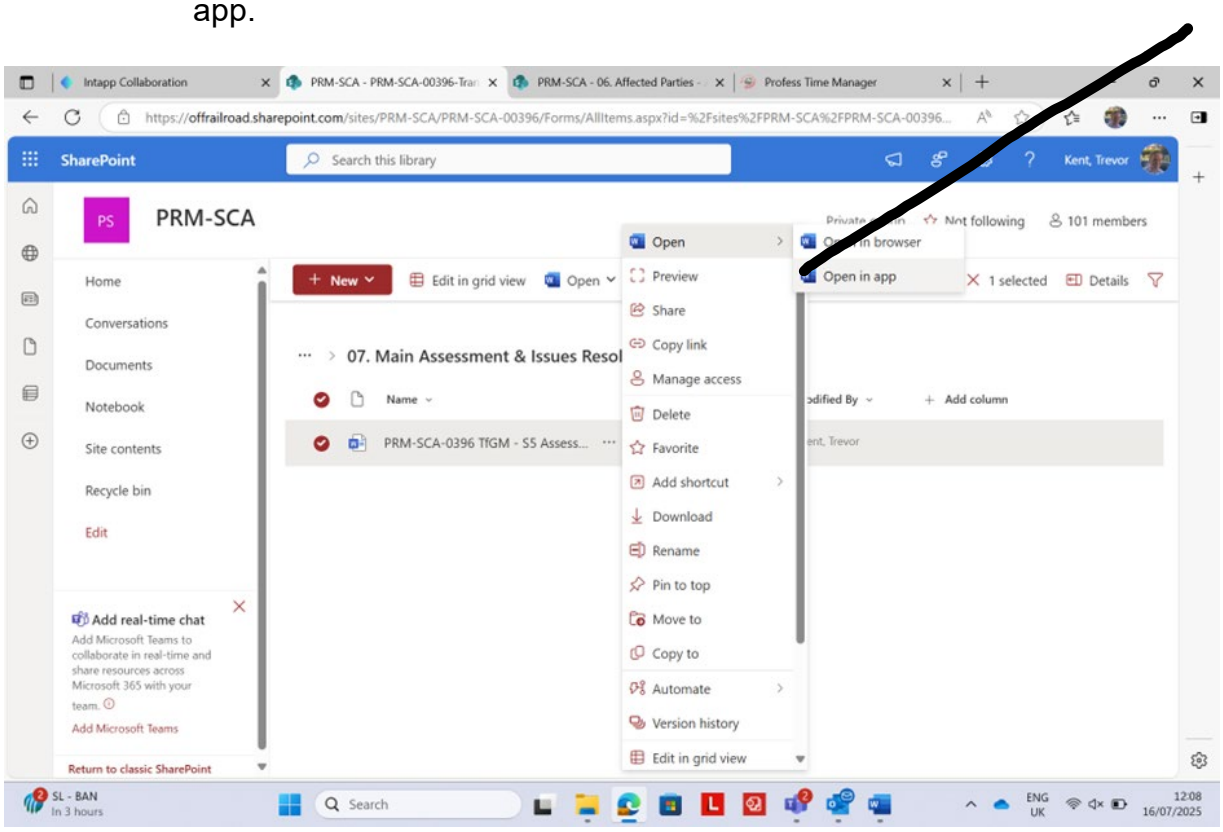
15.8 The Case Manager records on the S2 assessment timetable, the date that affected parties assurance was carried out.

16. Main Assessment

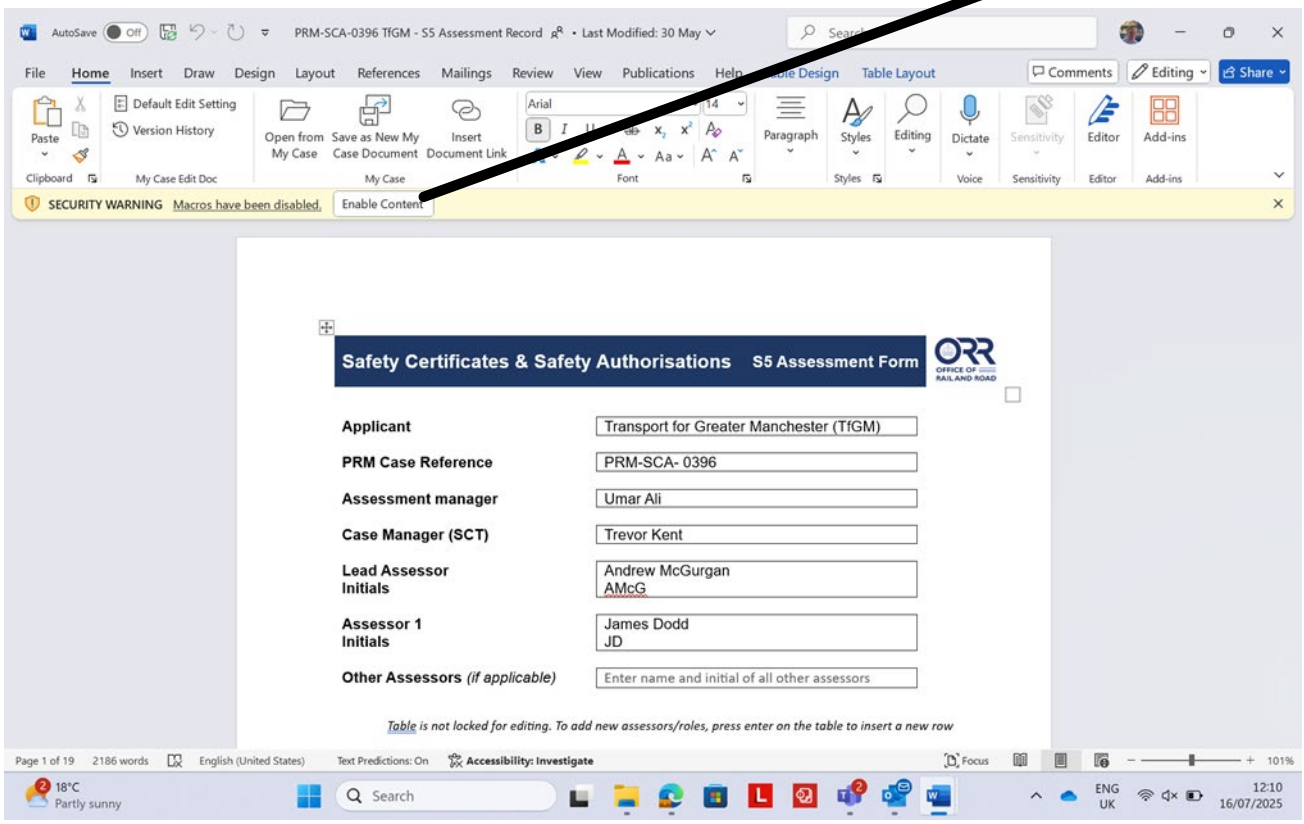
16.1 This stage is the detailed review of the application submission document provided. The assessment is predominantly documentary based unless agreed otherwise with the Assessment Manager. The application document is to demonstrate that the applicant has a safety management system that is capable of managing the operation safely.

16.2 It is important that you follow the steps set out below in a to c, to use the S5 form correctly.

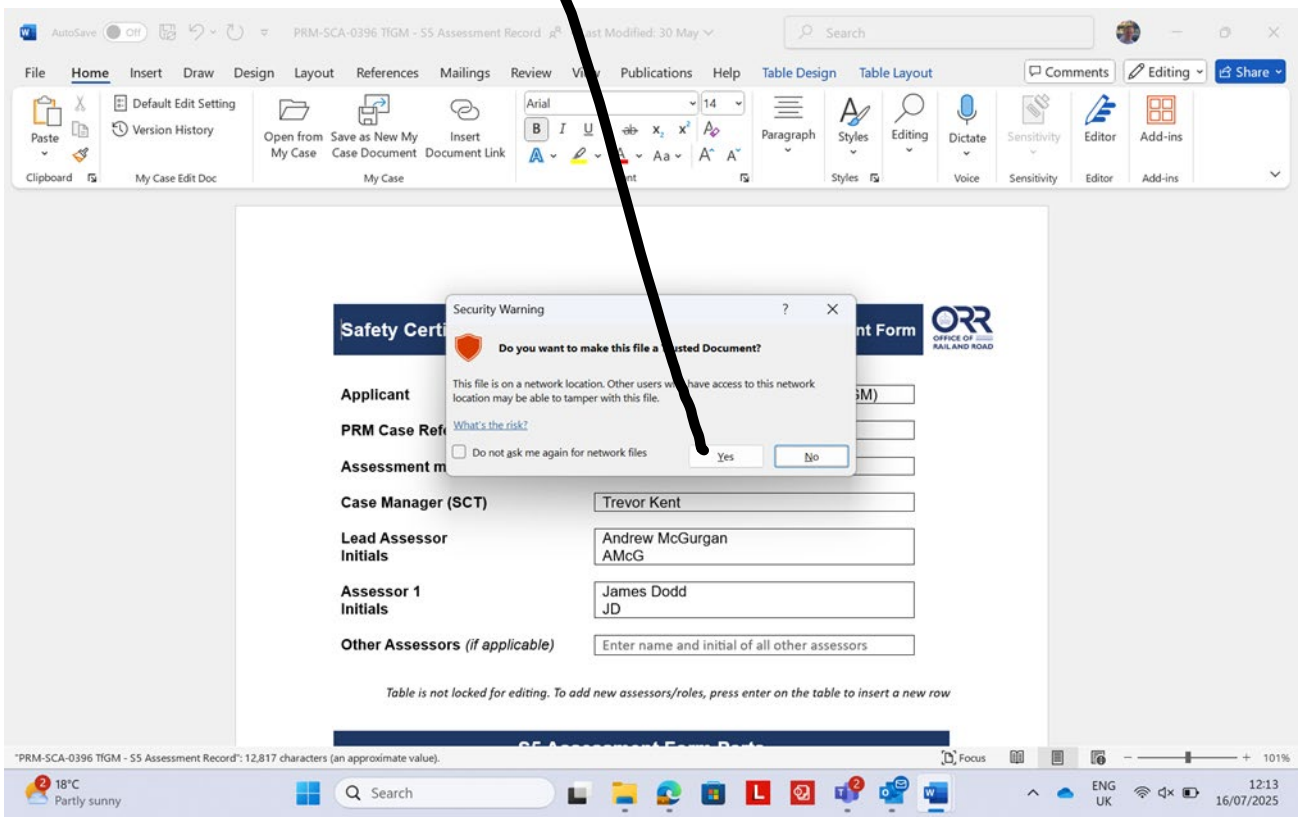
(a) Click on the 3 dots next to the document name then select open and open in app.



(b) It will show that macros are disabled on the form. Select enable content.



(c) When you see this prompt, click Yes and macro functionality will be enabled.



16.3 To undertake this stage, the Lead Assessor and where agreed, the team of Assessors, need access to the following supporting documents:

(a) Assessment Criteria for mainline railway safety certificate and safety authorisation applications or;

(b) Assessment Criteria for non-mainline railway safety certificate and safety authorisation applications.

(c) Application submission document and if required, a cross-reference matrix explaining where evidence is located in the submission document mapped against the assessment criteria.

(d) S5 Form and ensure the macros are enabled as per the instructions in 16.2 above.

(e) Representations made by affected parties. These will be located in the PRM-SCA case under 06. Affected Parties of the 01. Registered File folder.

16.4 The purpose of this stage is to:

(a) Establish which assessment criteria have been complied with, and no further evidence or clarity is required.

(b) Identify areas in the submission and the assessment criteria that require further information or clarification to demonstrate compliance.

(c) Follow up representations made by affected parties where it is determined as reasonable to do so.

(d) For representations made by affected parties that are not to be followed up, suitable justification provided as to why including any alternative measures identified for following up the representations.

16.5 For assessments that are being are carried out by multiple Assessors, the Lead Assessor should remind the team of the assessment criteria that they are covering and agree a deadline for when their element will be complete then inform the Assessment Manager and Case Manager of this date.

16.6 Assessments being undertaken for a substantial change or an amendment which is not determined as a Regulation 13 notifiable change, to existing safety certificates and/or safety authorisations shall focus on the criterion that have changed only. The changes should be easily identifiable through a different colour or highlighted text.

16.7 As part of the renewal application assessment, the Lead Assessor should review any previous supervision records that are available. These can include inspection & audit reports, incident investigation reports, response to industry recommendations etc. to determine the areas of the SMS that are strong and the areas that could be improved.

16.8 Applications for the renewal of safety certificates or safety authorisations do not require all the assessment criteria to be assessed. Where the lead inspector for the dutyholder has changed since the previous submission, they may choose to review the submission document in full and ensure that all assessment criteria are addressed. The primary focus should be a risk based targeted and proportionate assessment. In particular, the following offer an approach that can be taken with renewals:

(a) Assessing criterion that have changed since the previous submission and new or additional evidence has been provided. This evidence should be easily identifiable either through highlighting or different coloured text in the SMS submission document and / or the cross-reference matrix if the paragraph numbering has changed in the SMS document provided since the previous submission.

(b) Assessing the areas of the applicant's SMS that are known to be less mature and whereby evidence obtained during supervision activity demonstrates this. The applicant should be working on and demonstrating continuously improving these areas of the SMS.

(c) Assessing areas of the SMS that are known from previous applications of other safety certificate or safety authorisation assessments, to be less developed in terms of evidence provided as to how the assessment criteria is met.

(d) The current ORR strategic risk or health and safety priorities.

16.9 In some situations, the level of supervision with a dutyholder may have been limited. This leads to a challenge in determining which areas of the application need further assessment. The Lead Assessor should discuss with the Assessment Manager, the benefits of carrying out some practical inspection activity (either a site visit or reviewing SMS policies / procedures referred to in the submission document) in addition to reviewing the submission document against the assessment criteria. This will provide a degree of assurance that the SMS is being delivered practically by the applicant. For more details on this approach, see 16.10.

16.10 The Lead Assessor should select inspection topics based upon risk or those that provide an overview of how mature the SMS is. Suggested topics can include risk assessment & management, rolling stock maintenance, infrastructure maintenance and repair, contractor and supplier monitoring, emergency planning, auditing of the SMS, and competence management of safety critical persons employed by the applicant.

16.11 Where the Lead Assessor takes the approach of combining both documentary (reviewing the SMS submission document & a sample of policies / procedures referred to within that) and practical methods (site inspection) of assessment, they must still follow the agreed process for assessing applications for safety certificates and safety authorisations for the SMS submission document element of the assessment. The approach to inspection which can include the review of selected SMS policies / procedures on site, and producing a report on findings, should

provide an indication as to how the assessment criteria being assessed is met. It will also provide a level of maturity of the systems, policies / procedures and processes described in the application. For new entrants that are not taking over an existing operation, this method of assessment is recommended to gain assurance that these exist.

16.12 To assess the application and ensure the SMS is suitable, sufficient and meets the requirements of the regulations, the Lead Assessor and Assessor(s) need to read the submission document alongside the applicable assessment criteria.

16.13 A list of expected evidence that the applicant is required to demonstrate within their submission document, is provided against the individual assessment criteria. The submission document should provide a high-level summary of how the applicant's SMS is able to demonstrate compliance with the assessment criteria and meet the regulations. There should be reference to supporting SMS policies and procedures that contain the detail, throughout the document.

16.14 Whilst a high-level summary is required, it must provide some description of how the SMS is addressing the assessment criteria. The assessment is not about reviewing each individual SMS policy or procedure although the Lead Assessor or Assessor may wish to sample a small number to gain assurance that the detail is provided within the SMS.

16.15 If the evidence contained in the SMS submission document shows that it demonstrates meeting the expected evidence required for that particular assessment criteria, the applicant has complied with that criteria. The Lead Assessor or Assessor needs to record this in part 1 of the S5 form. This is achieved by placing an "X" in the box next to the criteria and their initials.

16.16 Where evidence contained in the submission document does not fully meet assessment criteria requirements or requires clarification, the Lead Assessor / Assessor should decide the most appropriate course of action to resolve this.

16.17 If the evidence presented demonstrates the criteria has been met overall and only minor clarification is required, it may be reasonable to leave following up as a matter for further inspection.

16.18 In some instances, the most appropriate option will be to raise the matter on the issues log in section 5 of the S5 form. This approach is the optimal course of action in order to establish if the applicant can demonstrate their SMS complies with the assessment criteria. Details on how to record issues on the S5 form are provided in paragraph 16.19.

16.19 The Lead Assessor can request copies of individual SMS policies or procedures to review, if they believe it is the most appropriate method to determine compliance with the assessment criteria. If the applicant provides direct access to their SMS policies or procedures via their IT system, and the Lead Assessor or Assessor refers to them during the assessment, these documents need to be uploaded to the PRM-SCA case. They are to be placed within subfolder 07 Main Assessment of the 01 Registered File folder.

Good Practice Tip

For new applicants and those who are not publicly owned or have been subjected to limited supervision over the validity period of the existing safety certificate and / or safety authorisation, it is advisable to request a sample of supporting SMS policies and procedures as well as conduct a site inspection to establish how these are applied in practice. This is primarily to establish that they exist practically, and their content satisfies what the assessment criteria requires. The Lead Assessor or Assessor are not expected to approve these documents, and this should be made clear to the applicant upon requesting them.

16.20 The Lead Assessor or Assessor shall raise their issues under section 5 of the S5 form. Section 5 should be populated as follows:

(a) Assessors reference number – please use initials followed by a sequential number. Example 'TK-001' etc.

(b) Document Section / Page / Paragraph – this is the document that the issue relates to along with the page number and where provided, a paragraph number. 'Example, Part A submission document, Page 23, M1.4.'

(c) Criterion Number / Regulation – reference the applicable assessment criteria or criterion that the issue relates to. Reference to the actual regulation within ROGS is not essential but if individuals wish to refer to them, they can.

(d) Details / Subject / Comments / Action required – this is the actual issue identified and what the applicant is required to provide to demonstrate compliance with the assessment criteria.

(e) Applicants Response – this column is populated by the applicant. They should provide a detailed response and reference any supporting documentation provided to assist with closing the issue. Where submission documents are amended to address the issue, they should advise this in the response.

(f) Outcome – this column is populated by the Lead Assessor or Assessor. They need to state what action they have carried out to close an issue and date when the issue was closed. Just writing "Closed Out and the date of closure" is insufficient.

16.21 For assessments that comprise of a Lead Assessor and Assessors, a single S5 form should be produced which incorporates all issues raised. The issue references should identify the Assessor raising the issue.

16.22 Representations from affected parties are recorded in section 4 of the S5 form. Lead Assessors are asked to record the following:

(a) At the start of section 4 of the S5 form, ensure they have populated the "Has the applicant provided sufficient evidence to the Lead Assessor to demonstrate that all Affected Parties have received a copy (i.e. notified) of their application (or links to it)" question by selecting one of the answers from the dropdown list.

(b) All representations made by affected parties including "nil return", "no comments to make" etc. For those affected parties that are contacted but send no response at all need to be marked on the S5 with the comment of 'No response received', this shows a clear indication that they have been contacted but have chosen not to send any forms of reply to either the duty holder or ORR. This provides a record of affected parties consulted and their comments on an application.

(c) If the matter is to be raised as an assessment issue, can be dealt with via other methods such as inspection at a later date and in some instances, the matter has no specific relevance to safety or content of the submission, or the applicant has responded directly to the affected party. This is achieved by populating the relevant column of "recommended action" field in section 4 of the S5. If the applicant responds directly to the affected party and provides sight of this to ORR, the Lead Assessor needs to be satisfied that the response addresses the issues. If it does, then NFA is needed.

16.23 Affected parties representations are taken forward as follows:

(a) In section 5 of the S5 form, Lead Assessors record the representation under their own initials and sequential number but cross references the affected party identification. For example, 'TK-022 (See Affected Party-001)'.

(b) In section 4 of the S5 form, the column "To be raised with the applicant as an assessment issue" should refer to the issue number allocated. Using the

example in the first bullet, populating the column with “see TK-022” is suitable evidence that the matter is being raised with the applicant.

16.24 The Lead Assessor should ensure that they have recorded the assessment criteria that the applicant has complied with at the time of producing the issues log by placing an “X” alongside the relevant criteria (S5 form, sections 1 to 3). Sections 4 (affected parties representations and how these are going to be resolved) and 5 (assessment issues) should also be populated prior to sending the form to the applicant for a response. The Lead Assessor **must not extract** section 5 of the S5 form and send that separately or produce any other document containing the assessment issues log.

16.25 The Case Manager will check that the Lead Assessor / Assessor has populated the S5 form correctly and that the issues raised in section 5 are written in a manner that can be understood by the applicant and reflect the type of application being assessed. Where there are concerns about the S5 form not being completed correctly, issues written in a manner that are difficult to understand, or the issues do not target any of the assessment criteria substantially & raise doubts on how the assessment plan is being met, the Case Manager should discuss these with the Lead Assessor / Assessor and Assessment Manager. The Case Manager shall set out their concerns and actions to rectify these in an email to the Lead Assessor / Assessor and Assessment Manager. A copy of this email is to be placed on the Intapp PRM-SCA case in subfolder 02 General Correspondence of 01 Registered File.

16.26 Once the S5 form has been reviewed by the Case Manager and they are satisfied that the Lead Assessor / Assessor has either produced the S5 form as required or acted upon the feedback received, the Case Manager will confirm this by email to the Lead Assessor and copy to Assessors & the Assessment Manager. A copy of the email will be placed on the Intapp PRM-SCA case in subfolder 02 General Correspondence of 01 Registered File. At this point, the Lead Assessor can email a copy of the S5 form to the applicant.

16.27 The S5 form in full is to be sent to the applicant. This is so that they can see the representations made by affected parties and ORR’s decision as to whether to follow up or not.

16.28 Some applicants have IT systems that will not accept macro enabled forms, these are those saved as “.docm” in the filename. The file will need to be saved as “.docx or .doc” and provided to the applicant. Upon the form being returned with the applicant responses contained, it can be saved as a macro enabled form; “.docm”.

16.29 A copy of the email attaching the S5 form that is sent to the applicant for a response is to be uploaded by the Lead Assessor to the PRM-SCA case into subfolder 07.Main Assessment of 01 Registered File.

16.30 The S2 assessment timetable will be updated by the Lead Assessor to show the date that the main assessment commenced and that which the S5 was issued to the applicant.

16.31 The Lead Assessor will if required or requested by the applicant, arrange a meeting to discuss the issues raised. The meeting can be held either in person or virtually. If the issues can be dealt with through correspondence, then a meeting does not need to take place.

16.32 The Lead Assessor shall ask that the applicant responds by completing the appropriate column on the S5 form. The Lead Assessor in the email sent with the S5 must provide a timescale for a response from the applicant. Normally, a timescale of 10 to 14 days is reasonable.

16.33 For applications received from the Operator of Last Resort, it may not be possible to carry out a detailed assessment due to submission timescales or, there has been an assessment of the existing incumbent's SMS in recent times, and the Operator of Last Resort submission has adopted that SMS with no changes made. In those circumstances, a note in section 5 of the S5 form advising why a detailed assessment has not been carried out will suffice.

16.34 Where a regulation 13 notification also requires an updated or amended safety certificate and / or safety authorisation to be issued, the requirement to follow the normal assessment processes described in the earlier chapters may not need to be followed. This is because the SMS is not changing but the dutyholder may be adding a new route onto the Part B safety certificate or changing the company name but everything else remains the same. In those situations, either the lead inspector for the transport undertaking or infrastructure manager, or Senior Executive: Safety Permissioning, can review the SMS submission documents received to ensure any changes required have been made. A note to the authorised signatory explaining what the change relates to, and the reasons for deviating from normal assessment processes will suffice.

16.35 Depending on the documentation submitted, comments may be made on the documents and feedback provided to the dutyholder to act upon. These comments can be set out in section 5 of the S5 form and provided by email. An updated version of the documents will need to be supplied that addresses the comments. The

responses and updated submission documents will need to be reviewed before ORR progresses the issue of any amended/updated safety certificate and / or safety authorisation required.

16.36 Regulation 13 changes should be sent to ROGS@orr.gov.uk They will be acknowledged and actioned as required.

17. Issues Log (S5 Form) Meeting

17.1 The issues log meeting as commonly known, is between the Lead Assessor, Assessors (if required to discuss issues they raised) and representatives of the applicant at an agreed location or virtually via Teams.

17.2 The purpose of the issues log meeting is to:

(a) Discuss the issues raised during the assessment. These are those recorded in section 5 of the S5 form. To facilitate discussions, it is advisable that the applicant provides a response to the issues ahead of the meeting if it is able to.

(b) Meet with relevant senior management of a new applicant to discuss plans once the operation commences.

(c) Establish what the applicant has in place at a practical level such as computer systems that support the delivery of the SMS practically, or accommodation for employees, if they are a new entrant and not adopting the SMS of an established operator.

(d) Discuss those issues requiring further evidence or clarification in situations where the applicant has already provided a written response.

(e) Agree a timescale for a formal written response from the applicant if they have not already provided one in advance of the meeting.

17.3 For applications from new applicants, it is strongly recommended to hold a meeting even if the issues are suitable enough to be closed out through correspondence. The reason for such approach is that it may provide the opportunity to meet with relevant senior managers who have been appointed since the application was made.

17.4 A formal written record of the meeting is required and placed on the PRM-SCA case under 07. Main Assessment and Issues Resolution of the 01. Registered File folder. The Lead Assessor will also update the S2 assessment timetable to show the date the meeting took place. An email to the applicant setting out the matters discussed and actions agreed is a reasonable means of summarising the meeting.

17.5 In some instances, the issues may be minor in nature and can be dealt with by correspondence. If that is the chosen method of resolution, the Lead Assessor

needs to record on the S2 against the milestone “Meeting with the applicant” as “N/A” and in the comments cell, explain the approach taken to address the issues.

18. Reviewing responses to issues from the applicant

18.1 The applicant will provide the following to facilitate the closure of issues raised during the assessment:

(a) A formal written response on the S5 form with the column “applicant’s response populated.

(b) Supporting SMS procedures if requested and referred to in the issue raised.

(c) A copy of the revised submission document that has any text amendments highlighted in a different colour to address assessment issues. This makes it easier for reviewing responses to the issues that required text amendments.

(d) If the applicant does not provide a revised submission document to support the responses to the issues, or any other supporting documents required, it shall be treated as the applicant is still to respond. The Lead Assessor must advise the applicant immediately that without the supporting documents, they have not addressed the issue in full.

18.2 Once the applicant supplies all the requested documentation, the Lead Assessor will record the date a written response is received on the S2 assessment timetable. The Lead Assessor acts as the central point of contact and is responsible for distributing any documentation provided by the applicant to other Assessors. The Lead Assessor needs to upload the response from the applicant into subfolder 07. Main Assessment & Issues Resolution of 01. Registered File to enable others to access the documents.

18.3 The Lead Assessor or Assessors review the responses received from the applicant along with any supporting documentation to decide if the evidence provided is suitable and sufficient to close the issue.

18.4 The Lead Assessor or Assessors populate the “outcome” column in section 5 of the S5 form. This includes a record of the evidence they have reviewed to close an issue and state the date of closure. Populating with “Closed Out" and a date of closure is not sufficient. There must be commentary on how the Lead Assessor or Assessor reached the decision to close the issue.

18.5 If following the review of the applicant's response, the issue has not been addressed satisfactorily, the Lead Assessor or Assessor shall decide on the following:

(a) Request further information from the applicant to assist with closure or;

(b) Close the issue based on the evidence provided by the applicant but record it as a matter for later inspection. It is advisable that the high priority status for inspection is assigned if choosing this method.

18.6 The Lead Assessor returns the S5 to the applicant advising of the issues that remain open and what additional evidence is required to support closure. They should record this in the "outcome" column in section 5. Paragraphs 18.1 to 18.5 outline the actions required by the applicant and Lead Assessor or Assessors.

18.7 Once the Lead Assessor or Assessor is satisfied that any additional evidence provided is sufficient to close the issues, the S5 is updated accordingly.

18.8 If it becomes evident from the responses received that the applicant is struggling to close a number of issues as they are interdependent on each other, it may indicate that elements of the SMS are not as developed as expected. For example, a range of issues that cover the competence management arrangements for safety critical staff will struggle to be addressed if there is no training programme and competence management system physically in place. A decision at this point needs to be made as to whether:

(a) The assessment is paused pending the applicant undertaking the necessary work that will enable them to address the issues. Consideration should be given as to what is deemed reasonable time to produce documents etc.

(b) The issues can be closed from an assessment perspective but a matter for early inspection, is the topic that they have struggled to address. In this instance, the responses would have had to have shown that there is something in place within the SMS, albeit supporting policies / procedures require extensive improvement.

(c) It is advisable for the applicant to withdraw their application but the decision as to whether they do so is theirs. This would be on the basis that there is an extensive amount of work required on their SMS to address the issues and that could take time to rectify. It may also lead to questions as to how current the other aspects of the SMS described in the submission document are upon completion of the work that addresses a range of issues.

18.9 Providing the Lead Assessor is satisfied that the evidence provided by the applicant enables the issues to be closed, the Lead Assessor will advise the applicant of this and send a copy of the S5 form which has sections 1 to 5 populated.

18.10 The applicant at the time of receiving the S5 form, should send the Lead Assessor, the final SMS submission document. This version must not contain any highlighting or different colour text as it will be the final version of the SMS document that is held on file.

18.11 For applicants who have been creating, updating, amending, or revising supporting SMS policies / procedures, and are in the process of having these formally signed as final versions, the Lead Assessor should ensure that these are approved prior to recommending the safety certificate or safety authorisation being put forward for formal sign off and issue to the applicant. Whilst copies are not required of each individual document, the applicant must provide written confirmation to the Lead Assessor that the final signed versions have been implemented.

18.12 Completed S5 forms should be saved in subfolder 07. Main Assessment and Issues Resolution of 01. Registered File.

18.13 The Lead Assessor or Assessment Manager will advise the Case Manager of any significant issues outstanding at this stage that could delay the issuing of a safety certificate and / or safety authorisation. The Case manager may suggest a way forward that enables the issue of safety certificate and / or safety authorisation. This could include restricting validity periods to less than 5-years, or, carrying out a series of inspections within the first year of issue to gain assurance that the SMS is being implemented practically. A note of the discussion must be made and placed into subfolder 02. General Correspondence of the registered file. Following the discussion, the Case Manager should email the Lead Assessor and Assessment Manager setting out the agreed actions and timescales. The e-mail can also include a link to the note of discussion.

19. Main Assessment Assurance

19.1 The Lead Assessor and Case Manager will discuss the outcome of the assessment. This will include any meetings held with the applicant to discuss the issues log and responses received from the applicant to facilitate closure of an issue.

19.2 Where there have been previous discussions between the Case Manager, Lead Assessor and the Assessment Manager during the main assessment relating to concerns about the closure of some issues, the Lead Assessor shall provide an update on how these were closed out and the action taken with the applicant to achieve this. This should be evident on the S5 form and correspondence located within subfolder 07. Main Assessment and Issues Resolution of the registered file.

19.3 Providing there are no significant issues, the Case Manager will advise that the assessment can proceed to the Lead Assessor and Assessors if appropriate, producing the assessment report etc. These are sections 6 to 11 on the S5 form. The Assessors only need to complete section 6 of the form but can provide input to other sections via the Lead Assessor if they wish.

19.4 The Case Manager will update the S2 assessment timetable to show the date that the main assessment assurance was carried out.

19.5 The Lead Assessor can request the Case Manager to review the S5 form to ensure it has been completed correctly, and the assessment registered file contains the evidence required to allow assurance to be undertaken seamlessly, by the Assessment Manager. Where there are items found that require resolution, a discussion will take place between the Lead Assessor and Case Manager on what is required to resolve these. Preparation of the assessment report is covered within Chapter 20.

20. Concluding the Assessment

20.1 Providing there are no issues identified during the assurance stage of the main assessment, the application can proceed forward to the Lead Assessor producing assessment reports and listing issues that need closing out in full through inspection. The items requiring inspection should be listed within sections 6 and 10 of the S5 form and be delivered based on priority. Further details are provided in paragraphs 20.4 and 20.10.

20.2 The Lead Assessor is required to complete sections 6 to 11 on the S5 form.

20.3 Assessors that participated in the assessment are asked to complete section 6 of the S5 form only but can provide input to sections 7 to 10 via the Lead Assessor if they wish. They should confirm to the Lead Assessor when they have completed section 6 of the S5 form.

20.4 Section 6 of the S5 form is for commentary on the elements of the application that have been assessed and provide details of any matters for early inspection are to be delivered within the first year of the safety certificate and / or safety authorisation and later inspection, years 2 to 5.

20.5 The way that sections 7 to 10 of the S5 form are designed, means that if answering “Yes” or “N/A” to the question, the comments table is then hidden.

20.6 Section 7 of the S5 form shall list the issues that are outstanding, the reasons why and if they can be deferred to inspection. For consistency purposes, the assessment criteria listed sections 1 to 3 of the S5 should remain unchecked if answering “no” in the first question in section 7.

20.7 Section 8 of the S5 form shall provide a record of the affected parties matters and their status. In most cases, the affected parties matters will have been resolved. If any remain outstanding, the Lead Assessor should consider resolving these during inspection.

20.8 In section 9 of the S5 form, the Lead Assessor will provide advice of any recommendations that remain open since the last assessment. These include previous inspections, internal accident / incident investigation reports etc. including those produced by RAIB. If there is no data available, it is advisable to put this in the comments field and state the reasons why.

20.9 Lead Assessors are reminded that section 9 of the S5 form is **not applicable for new applicants**. The Lead Assessor should state in the first question that the applicant is a new entrant so no previous work has been undertaken with them. However, it does apply to an Operator of Last Resort taking over an existing operator as they may be required to resolve outstanding matters.

20.10 Section 10 of the S5 form should list matters that require further inspection with a priority period assigned. This section should be consistent with the items listed in section 6. The priority periods are high (within 6 to 12 months), medium (years 2 and 3) and low (years 4 and 5) of the safety certificate and / or safety authorisation being issued. Where an assessment is carried out for an amendment or update to an existing safety certificate and / or safety authorisation, the inspection topics identified should be incorporated into the overall inspection plan for the dutyholder. The topics listed in medium and low priorities may change depending on dutyholder performance and their risk profile. The inspection plan is a live document. The important element is where priorities do change, there are justified reasons for these. It is the responsibility of the route inspection teams to maintain the inspection plan for the dutyholders.

20.11 Section 11 of the S5 form is where the Lead Assessor recommends that the application is accepted or refused. The Lead Assessor will also formally state if they have assessed the application in accordance with processes in place. As described in paragraph 19.5, the Lead Assessor can request the Case Manager reviews the S5 form prior to Assessment Manager assurance.

20.12 Completed S5 forms from sections 1 to 11 should be uploaded to subfolder 09. Assessment Record of the 01. Registered File on the PRM-SCA case on Box. The form can be copied from subfolders 07 to 09 of the registered file by using the “move or copy” function on Sharepoint but a copy of the S5 form must also remain in the subfolder 07. Main Assessment and Issues resolution.

20.13 The Lead Assessor will email the Assessment Manager and copy in the Case Manager, advising that their assessment is complete. The Lead Assessor will request that the Assessment Manager carries out their assurance of the assessment. The Lead Assessor should provide a link to the S5 form and registered file of the assessment case.

20.14 The S2 assessment timetable is updated to reflect the date for “preparation of final assessment report”. This is also the date of the assessment handover from the Lead Assessor to the Assessment Manager.

21. Assessment Manager Assurance

21.1 The Assessment Manager will review the assessment registered file on the PRM-SCA case.

21.2 The Assessment Manager will then complete Sections 12 to 15 of the S5 form.

21.3 The responses to the questions are either Yes or No. If answering No to questions B1 and B3, further information is required. This is to be provided in the free text boxes below these questions.

21.4 The Assessment Manager can add supporting commentary to the responses provided in relation to C1 to C5 contained in section 13. The comments box follows on from the questions.

21.5 Section 14 of the form covers the inspection plan and whether one is produced to capture matters for later inspection, or if an alternative form of action has been agreed between the Lead Assessor, Assessment Manager and Head of Operations (or equivalent role).

21.6 Once assurance is completed, the Assessment Manager will advise the Case Manager and Lead Assessor, as well as handover the assessment for final assurance. An e-mail exchange is satisfactory or if the assurance has identified some issues, a Teams call between the Assessment Manager and Case Manager plus Lead Assessor if required, to determine the appropriate course of action and timescales to resolve these. Once the issues are resolved and the Assessment Manager is satisfied with the outcomes, they can sign the form to advise that the assurance is complete. The Case Manager can then undertake their assurance.

21.7 The Assessment Manager will update the S2 and input the date next to “Final Assessment Report” as the date they have carried out assurance.

22. Case Manager Assurance

22.1 The Case Manager at this stage completes Sections 16 to 19 of the S5 form.

22.2 The assurance questions require “Yes” or “No” answers from the drop down list. The option of providing comments and explanations is available.

22.3 In section 16, the Case Manager will in addition to answering “Yes” or “No”, provide the dates that the assurance milestones were carried out in the explanations field. These dates are obtainable from the S2 assessment timetable.

22.4 The Case Manager in section 17, will ensure that the statutory affected parties as determined by regulation 17(10), have provided either comments, a “nil return” or that the applicant can demonstrate effective chasing up of a response, this will be shown as ‘No response received’ against the affected parties that have not provided any response at all. The comments field should record which of the statutory affected parties responded and those who did not but were chased by the applicant for a response. It can also provide details of how the Lead Assessor reviewed representations received from affected parties and determined a suitable method of follow up for addressing these with the applicant.

22.5 Section 18 is a review to ensure that assessment processes have been followed correctly. The Case Manager can provide commentary by referencing the relevant item in the comments field. If para 19.5 of this document is followed, completion of section 18 should be a seamless process as any issues arising, will have been resolved earlier in the assessment process.

22.6 The Case Manager at the end of the assurance in section 19 of the S5 form provide a recommendation that either:

(a) The application for a safety certificate and / or safety authorisation is accepted.

(b) The safety certificate and / or safety validation is accepted albeit issued but with a limited validity period and outline the reasons why.

(c) The application is refused and provide reasons why this decision has been reached.

22.7 The Case Manager will sign off the assurance element and organise the following:

(a) Allocation of UK Identification Numbers (Mainline) or ORR Identification Numbers (Non-Mainline) for the safety certificate and / or safety authorisation.

(b) Preparation of the covering letter, safety certificate and / or safety authorisation templates.

22.8 The Case Manager will contact the Lead Assessor and Assessment Manager if during assurance, there are issues identified with the assessment not following the processes in place or evidence is missing from the case. An agreement will be reached as to how these matters can be resolved.

22.9 In the event of evidence being missing from the case that is required in order for the application to progress beyond the assurance stage, the Case Manager may halt the assurance. The Lead Assessor will then be given time to upload missing documents and advise the Case Manager when they have done so. The assurance will then recommence. If this situation does arise, questions should be asked as to why the Assessment Manager agreed to complete the assurance and sign off to confirm the assessment processes have been followed.

22.10 If during the assurance, the Case Manager has concerns about the assessment quality and recommendation arrived at by the Lead Assessor & Assessment Manager, they should communicate these at the earliest opportunity. The Case Manager will arrange a meeting either in person or virtually and must set out their reasons why they are not recommending the issue of the safety certificate and / or safety authorisation. After the meeting, they will confirm in writing the reasons in writing and copy in the Head of Operations so that they are aware of what is happening with the assessment.

22.11 In the event that the assessment team cannot resolve the matter, the Case Manager will raise this with the Head of Operations (or equivalent role) and request their intervention. If they are also unable to resolve the matter, the Case Manager can request a review from an independent person. This may be the authorised signatory or someone who has not been involved with the assessment at any stage.

22.12 Consideration must be given to the time remaining on the assessment and whether there is a possibility of the applicant being without a safety certificate and / or safety authorisation if the application is for a renewal, when their existing safety certificate and / or safety authorisation expire. There will need to be a decision made as to whether pausing the assessment is sensible or the time remaining on the assessment enables the matter to be rectified.

22.13 A meeting will be held between the parties to discuss what the issues are and why the current recommendation is that a safety certificate and / or safety authorisation should not be granted. The independent person or authorised signatory should hear

all internal parties and then decide what is the most appropriate way forward to resolve the issues. A note of this meeting should be made by the independent person and circulated to attendees as well as stored in subfolder 09. Assessment Record of the registered file.

22.14 The independent person or authorised signatory may following their review, require the Lead Assessor and / or Assessment Manager to contact the applicant and set out what the concerns are, what is required by the applicant to address those and agree timescales for this. During this time, the assessment may be paused. The Case Manager will ensure this happens.

22.15 Once the applicant has provided the supplementary evidence provided and the Lead Assessor is satisfied that it addresses the issues, they will advise all parties. The assessment can then be restarted, and the Case Manager can carry out their assurance. If the Case Manager still has concerns about the outcome of the assessment, they should contact the independent reviewer or authorised signatory and ask them to review what was provided as supplementary evidence. This may require the assessment to be paused.

22.16 The independent reviewer or authorised signatory may recommend that the safety certificate and / or safety authorisation be issued but on a limited validity or a series of early inspections be undertaken with the applicant to ensure the SMS can manage the risks arising from the applicant's operations.

22.17 The Case Manager will then restart the assessment and undertake the assurance.

22.18 Following completion of the assurance, the Case Manager will advise the Lead Assessor and Assessment Manager of the outcome by e-mail. In instances where the Head of Operations has been asked to intervene, they will also be copied into the email. The S2 assessment timetable is then updated to show the date that assurance was completed and signed to confirm the assessment process was followed.

23. Preparation of Safety Certificate and Safety Authorisation Templates

23.1 The Case Manager will prepare the safety certificate and / or safety authorisation for formal sign off.

23.2 The UK Identification Numbers (mainline) or ORR Identification Numbers (non-mainline) are generated from the "Safety Cert & Auth numbering" spreadsheet which is contained on Sharepoint.

23.3 The safety certificate and / or safety authorisation are populated from the information contained on the application form provided by the applicant.

23.4 The valid from date will be one of the following:

(a) The date that the applicant's operations commence. This is usually applicable to a franchise, concession, public ownership operator or, an operator of last resort.

(b) The date the safety certificate and / or safety authorisation are formally signed if a new applicant without any designated commencement date for its operations, or an amendment to an existing safety certificate or safety authorisation.

(c) The day after expiry of the existing safety certificate and / or safety authorisation if a renewal application.

23.5 Any new or renewed safety certificate and /or safety authorisation issued, will be valid for up to 5 years from the date of formal sign off.

23.6 Where an application is for an amended or updated safety certificate and / or safety authorisation these will be issued with the valid to date on them being the same as that on the initial safety certificate and / or safety authorisation issued in most instances.

23.7 Renewed safety certificates and / or safety authorisations shall commence from the end date of the existing safety certificate and / or safety authorisation. For example, if the current set expire on 19 January 2026, the renewal will commence on 20

January 2026. Where possible, ORR will sign and issue these as close to the end date of the current safety certificate and / or safety authorisation. However, where the applicant applies early to renew, the 'valid to' date on any renewed safety certificate and / or safety authorisation may differ to what is on the current set. For example, a certificate due to renew in November and the submission is made in June, the "valid to" date on a renewal could become September or October.

23.8 If an assessment is running ahead of schedule, the Lead Assessor or Case Manager can ask the applicant if they are willing to receive the renewal early or wait until nearer the end of the 4-month assessment timeframe.

23.9 The date of issue is the date that the safety certificate and / or safety authorisation are formally signed.

23.10 The internal reference number is the Intapp PRM-SCA case number.

23.11 A template covering letter also accompanies the signed safety certificate and / or safety authorisation. The letter will provide contact details for the authorised signatory though the e-mail address on the letter will be that of the Lead Assessor. If the safety certificate and / or safety authorisation are being issued with limited validity or the assessment raised concerns about elements of the applicant's SMS, this should be communicated in the covering letter to the applicant. The letter should also set out any follow up work planned with the applicant to deal with the concerns raised.

23.12 The safety authority field on the safety certificate and / or safety authorisation should contain the ORR template logo.

23.13 For franchises, public ownership operators, operators of last resort, or concession mobilisations, the Secretary of State for Transport or equivalent role in the devolved administrations of Scotland or Wales, or the organisation awarding the franchise or concession, will request a covering letter from ORR, which advises that the application has been assessed with no major issues identified and ORR has not directed the applicant to applying for amendments to their safety certificate and / or safety authorisation during mobilisation. Copies of the safety certificate and / or safety authorisation are sent with the covering letter.

23.14 When issuing the public ownership operator safety certificate and / or safety authorisation, the date of issue will normally be T-7 days prior to the date of transfer. For concessions / franchises awarded by other bodies, the date is subject to change. More details are available in paragraph 24.5.

24. Formal Sign Off or Refusal of Safety Certificate or Safety Authorisation

24.1 The Case Manager will provide the authorised signatory with access to the 01. registered file folder of the PRM-SCA assessment case registered file by e-mail. In most instances, this will be the subfolders containing evidence of communication with the applicant during the assessment, assessment forms used and the documents requiring formal sign off.

24.2 The Assessment Manager may have been the Head of Operations (or equivalent role) or HM Deputy Chief Inspector of Railways. In this scenario, they cannot provide formal sign off of the safety certificate and / or safety authorisation as they have participated in the assessment. The person formally signing the safety certificate and / or safety authorisation must be independent to and not have had any involvement with the assessment of the application.

24.3 The authorised signatory will review the contents of the registered file to ensure:

(a) The assessment has been carried out in accordance with ORR processes.

(b) The assessment does not raise any significant issues or concerns that prevent signing off the safety certificate and / or safety authorisation or indicate that issuing with a limited validity period is more appropriate.

(c) Any matters for early or later inspection are time bound and justified.

24.4 Providing the conditions listed in 24.3 are met, the covering letter, safety certificate and / or safety authorisation will be formally signed.

24.5 For public ownership operators, formal sign off will normally occur T-7 days prior to the transfer date. In the event of this not being possible, arrangements should be made for sign off to be carried out in the week leading up to T-7 days. For concessions / franchises awarded by other bodies, the timescales could be subject to change, and it will be for the relevant body to advise on their preferred timescale.

24.6 In some situations, the application may be in a position whereby refusal is the only outcome due to significant concerns about the SMS being able to demonstrate safe operation and complying with the regulations.

24.7 If the recommendation is to refuse the application, the Lead Assessor and Assessment Manager need to advise in writing, their Head of Operations (or equivalent role) immediately explaining the reasons why and ensure the Case Manager is copied into this correspondence. The Head of Operations (or equivalent role) will then notify the HM Deputy Chief Inspector of Railways and HM Chief Inspector of Railways of the decision that the assessment team have arrived at so that they are aware they will be potentially signing a letter of refusal.

24.8 A meeting involving the Lead Assessor, Assessment Manager, Head of Operations (or equivalent role) and, either the HM Deputy Chief Inspector of Railways or HM Chief Inspector of Railways will discuss various options available to avoid refusal. These may include limited validity or operational scope of the safety certificate and / or safety authorisation. Another option may be to adopt a rigorous inspection programme with the applicant. The Senior Executive: Safety Permissioning will also attend this meeting to formally record a note of the meeting, document decisions made and provide any further supporting evidence required for a decision to be made. The note will be placed on the case within subfolder 09.'Assessment Record of the 01. Registered File.'

24.9 If the final decision is to refuse an application, the applicant shall be formally notified in advance of receiving the letter that sets out the reasons behind the refusal. ORR should ensure that in the event of a refusal, all reasonable alternatives have been considered, documented and recorded on the registered file.

24.10 A copy of the assessment report (S5 form) will be sent with the letter of refusal. This provides transparency on why ORR has reached the decision to refuse the application.

24.11 The applicant can formally appeal to the Secretary of State under regulation 27(1) if ORR:

(a) Refused the application (including amendments and extension of the safety certificate or safety authorisation).

(b) Failed to make a decision on the application within four months and the assessment had not been paused at any stage.

24.11 Details of the appeals process are available from rogs@orr.gov.uk

25. Closing the Application

25.1 Once the covering letter, safety certificate and / or safety authorisation have been signed, they can be issued to the applicant.

25.2 The Case Manager will carry out the following tasks:

(a) E-mail electronic copies to the applicant, franchising or concession body (if applicable) Lead Assessor, Assessment Manager and ORR's licensing team.

(b) Upload electronic signed copies to the PRM-SCA case and place in subfolder 10. Decision Certificates and Covering Letter of 01. Registered File.

(c) Arrange for the upload of the safety certificate and / or safety authorisation to the ORR website so that it is live on the webpage on the day it commences being valid from or, within 5 working days of issue where an amended or updated safety certificate and / or safety authorisation are concerned.

(d) Update the S2 form to show the date that the applicant has been issued with their safety certificate and / or safety authorisation.

25.3 The I&E Team Administrator will optimise the PDF copies of the safety certificate and / or safety authorisation that have been issued. Once that stage is completed, they will update the 'date of decision' and 'valid until date' fields on the relevant webpage, provide Webteam with the current media ID details, and send them the optimised PDF files for uploading. The I&E Team Administrator is also responsible for advising Webteam of the date that the document needs to be live on the website.

25.4 The Webteam works on a priority basis for uploading material to the website. For safety certificates and / or safety authorisations, e-mails to the webteam should be headed as "urgent priority". This facilitates a turnaround time of 2-3 days which would also enable the performance standard of uploading a safety certificate and / or safety authorisation being issued within 5 working days of its issue to be met unless the commencement date of the said documents is over 5 working days. In that instance, they must be live on the website from the date they are valid from.

26. Supervision (Inspection) Arrangements Following the Issue of the Safety Certificate or Safety Authorisation

26.1 ORR will carry out a programme of supervision (inspection) following the issue of the safety certificate and / or safety authorisation to oversee safety performance of a dutyholder. 'Supervision' means the arrangements put in place to oversee safety performance after the issue of a safety certificate and / or safety authorisation.

26.2 The purpose of the programme is to ensure:

(a) The safety management system described in the application for the safety certificate and / or safety authorisation is being delivered in practice.

(b) The necessary requirements for safe operation are being complied with on a continual basis and there is evidence of the dutyholder continuously improving its SMS.

(c) Close out the issues identified during the main assessment that required further inspection to ensure compliance with the assessment criteria.

26.3 A rolling annual inspection plan for the validity period of the safety certificate and / or safety authorisation is to be prepared for the dutyholder. This should be produced outside of the assessment process. The plan should incorporate those matters identified for further inspection identified on the S5 form and within the priority period listed. The plan is a live document and can be revised based upon dutyholder performance, previous inspection results & outcomes, ORR strategic health and safety or risk priorities, and emerging trends from other transport undertakings or infrastructure managers carrying out a similar operation. It is the responsibility of the route inspection team to maintain the inspection plan.

26.4 The lead inspector must ensure that the items for further inspection allocated as high priority are carried out within the first year of the safety certificate and / or safety authorisation being issued. In the event of these not being delivered, the lead inspector must justify via their Principal Inspector and Head of Operations (or

equivalent role), the reasons for not being able to complete or deferring to subsequent years.

26.5 Where an assessment is carried out by an individual who is not the nominated lead inspector for the applicant, they should discuss the topics assigned for later inspection and the reasons why, with the nominated lead inspector for the applicant.

26.6 The ROGS team will maintain a list of matters for later inspection identified during the assessment process. This is then shared quarterly at Ops Forum and it is the route inspection teams that provide a record of progress of delivering against the plan.

26.7 Supervision results will be used to determine at the renewal of the safety certificate and / or safety authorisation, the areas of the SMS and assessment criteria to focus upon in more detail. More detail on this is provided in Chapter 16 “Main Assessment”.

26.8 There should be a focus of inspection driving assessment and assessment driving inspection, with suitable evidence available to show how mature the SMS is over the validity period of any safety certificate and / or safety authorisation held. Without the data, the assessment process becomes limited to what is contained in the submission documentation.

27. Annual Safety Reports

27.1 Mainline transport undertakings and infrastructure managers are required under regulation 20 of ROGS to provide annual safety reports. ORR will write annually to dutyholders around April, requesting submission of the reports and include the report template for completion along with a guidance note of how to complete. Reports need to be submitted by no later than 30th June of each calendar year. Any submissions not received by this date will be chased up and the recipient asked to submit unless an extension to the deadline has been requested and agreed in advance.

27.2 Annual safety reports provide a summary of activities covering the previous calendar year. An example being the report submitted in 2026 will cover activities undertaken throughout 2025 i.e., 1 January to 31 December.

27.3 The annual safety reports should predominantly not contain any new information to that the lead inspector has obtained during supervision activity.

27.4 Annual safety reports are a useful form of intelligence to incoming lead inspectors taking over existing transport undertakings and / or infrastructure managers. They provide a summary of safety performance throughout a calendar year as opposed a reporting year.

27.5 Lead inspectors shall discuss the content of the annual safety reports at the liaison meeting that follows the submission of the report. A record of discussion can be recorded within the liaison meeting notes.

27.6 If intelligence gained through the annual safety report raises concern around a particular topic, the lead inspector can choose to explore further during the supervision period of the safety certificate and / or safety authorisation.

27.7 A decision may be made corporately by ORR, to undertake supervision activity in a particular topic area if the annual reports for transport undertakings and / or infrastructure managers are highlighting a concern.

27.8 If a dutyholder representative has not completed the report before, either due to them being new in post, or the dutyholder has only recently commenced operations, they can contact ORR to discuss what is required in the report. They should email the ROGS inbox if they require a meeting; rogs@orr.gov.uk

28. Amending or Updating a Safety Certificate or Safety Authorisation Including Substantial and Significant Changes

28.1 The safety certificate and / or safety authorisation is valid for up to 5 years from the date of issue. During this time, ORR is to be notified if the following occur as these will require an amended or updated safety certificate and / or safety authorisation to be issued:

(a) The transport undertaking or infrastructure manager holding the safety certificate and / or safety authorisation changes its name or legal denomination. If both the legal denomination and companies house registration number change, this is the formation of a new company. A new safety certificate and / or safety authorisation will be required in this instance.

(b) The transport system operated or particulars of infrastructure managed, change from what was applied for initially.

28.2 In all instances, the transport undertaking or infrastructure manager should discuss proposed changes that will impact their safety management system with the lead inspector to determine if there will be a requirement to amend the safety certificate and / or safety authorisation.

28.3 A substantial change relates to the change of “type” and “extent” of the operation, infrastructure, maintenance principles or energy supply.

28.4 It can be argued that if a change is substantial, it will be determined as significant under the CSM-REA (mainline). For non-mainline, the safety verification process will not apply unless the new or altered equipment is both novel to the dutyholder and is likely to give rise to a new risk or a significant increase in risk, i.e. the project (or works) must meet both of the following criteria:

(a) **Difference Test**: the risk arising from the design is new to the dutyholder

(b) **Risk Test**: there will be a new risk or a significant increase in risk

Projects or works where one or both of these tests do not apply, will need to be managed under the dutyholder's SMS change management procedures.

28.5 An amended safety certificate will be required if the change is related to the following. These examples are in the substantial change category:

(a) Type of service (passenger to freight, freight to passenger, operation of dangerous goods traffic, non-high speed to high-speed and vice versa). Also, if a transport undertaking has not operated Driver Only Operated (DOO) passenger services previously, this is a substantial change to the operation. Expanding an existing DOO operation is not.

(b) Volume of Goods / Passengers carried. This can be an increase or decrease in numbers.

(c) Number of employees or size of the company where there is significant growth or decline in these areas.

Examples of Substantial Changes to a Safety Certificate

28.6 The following examples assist with situations whereby an amended safety certificate may be required and are those that are most common to train operators. The list is not exhaustive, and lead inspectors are recommended to consult with the Senior Executive: Safety Permissioning to determine if changes proposed by a transport undertaking have an impact on the existing safety certificate.

(a) Merging operations of one transport undertaking into another or acquiring another company.

(b) Legal entity changes require a new safety certificate even if the SMS and other elements of the organisation remain the same. This is because safety certificates are not transferable between legal entities.

(c) Operating over a route and infrastructure which has not been operated over previously which have different operating rules and procedures. Similarly, operating over a route which exposes new and significant risks such as operating at sub-surface stations or in lengthy tunnels.

(d) Introduction of ETCS / ERTMS Signalling systems over part of a route or the full route. This will require changes to multiple elements of the SMS including driver / guard / station staff training programmes, rolling stock maintenance,

emergency planning, and how an operator interfaces with the infrastructure manager etc.

(e) Contracting out safety critical personnel such as Drivers, Guards, Operations Controllers etc. on a regular basis to another organisation holding a safety certificate but remaining the train operator overall. The operator must be able to demonstrate a clear locus of control on their operation and day to day monitoring of activities as well as effective auditing arrangements for the elements contracted out.

(f) Internal restructure – Depending on the nature of such changes, the effects could be adverse and require SMS procedures to be significantly revised or created to facilitate the changes.

(g) Introduction of new rolling stock if elements of the SMS need to significantly change to enable the new fleet to enter into service due to the mode of operation changing. For example, moving from Driver and Guard operation to Driver operations only.

(h) Change in rolling stock maintenance processes. This can be contracting out to a maintenance provider as opposed carrying out maintenance internally or changing how maintenance is scheduled and delivered on the fleets. A change in maintenance provider if existing arrangements are that third parties deliver maintenance, can normally be progressed through the change management processes that the transport undertaking has in place.

28.7 Some changes do not require reassessment of the SMS and can be managed through the change management process the transport undertaking or infrastructure manager has in place. See paragraphs 28.8 and 28.9 for further details relating to changes.

28.8 If a transport undertaking or infrastructure manager is proposing changes that could potentially impact on their SMS, safety certificate and / or safety authorisation, they should where appropriate, take the changes(s) through the significance test included within the CSM REA (mainline) or the safety verification process (non-mainline) to determine if the change can be progressed under their internal change management processes or requires external assessment to validate the changes. It may also require, a formal amendment to the safety certificate and / or safety authorisation. The lead inspector and Senior Executive: Safety Permissioning, can discuss findings during the meeting to determine if an amended safety certificate and / or safety authorisation is required before any changes take effect.

28.9 Where a transport undertaking or infrastructure manager is making multiple changes at once but in different areas of the organisation, individually and if treat in isolation from the other changes, those changes could be classified as minor and be introduced through application of their internal change management process. However, collating all the changes together may mean an increase in the overall risk to the SMS for their operations. The transport undertaking or infrastructure manager should take all the changes collectively through the significance test included within the CSM REA (mainline) or safety verification (non-mainline) process to determine the level of significance. The processes described in 28.8 should then be applied depending upon the result.

Examples of Substantial Changes to a Safety Authorisation

28.10 The examples provided below could require an amended safety authorisation to be issued.

(a) Infrastructure

- New line of route using novel technology and new technology in construction. This can include new forms of track bed construction, tunnels, bridges, viaducts.
- Structures that did not exist previously such as tunnels, viaducts, bridges, level crossings and stations including those sub-surface.
- New type of signalling system e.g., European Train Control System(ETCS) / European Rail Traffic Management System (ERTMS) based systems.
- New connections to other infrastructure which has potential to lead to greater traffic flows and potential increased risk. The infrastructure manager of the new connection may be a different organisation.

(b) Energy Supply

- Introduction of an energy supply that requires its own permanent infrastructure and is significantly different to the existing one. An example is changing from 3rd or 4th rail to overhead supply.
- Changes to energy supply that modify the level of existing risk or create new risk.

(c) Principles of Operation

- Introduction of a fully automated working to safety critical areas.
- Introduction of novel signalling systems; ETCS / ERTMS being an example.

(d) Principles of maintenance

- Significant changes in maintenance intervals for safety critical infrastructure.
- Changes to automated maintenance systems
- Management of infrastructure maintenance by a contractor when previously carried out in-house by the infrastructure manager or vice versa.

28.11 The examples referred to above need to be considered on their scale and the degree of risk that the change will have on the infrastructure.

28.12 In addition to substantial changes, there is a requirement under regulation 13 of ROGS to notify ORR in writing of the following:

(a) Major changes to the means by which requirements relating to the safety management system as set out in:

- Regulation 5(1) to (4) in relation to an operation of a transport undertaking on the mainline railway.
- Regulation 5(7) in relation to an operation of an infrastructure manager on the mainline railway.
- Regulation 6 in relation to an operation, which is not carried out on the mainline railway.

- When persons first commence work directly relating to the operation, which is of a type that has not previously been carried out.
- When types of vehicles that are new to the operation are first introduced and do not require elements of the SMS to significantly change to facilitate their introduction.

28.13 The transport undertaking or infrastructure manager will need to update its SMS submission document(s) to support the notification and provide copies of these. Depending on the changes required, it may be reasonable to agree to the updates being made to the document at the next planned update.

28.14 Where a transport undertaking applies to amend its safety certificate for the inclusion of additional routes on the same infrastructure (including diversionary) that they have previously not operated over, they should explain how they will prepare for operating over the routes. The relevant parts of the SMS submission document(s) will need updating to reference any additional routes being operated and a copy provided to ORR.

28.15 The request to add new routes to the safety certificate should be sent to ROGS@orr.gov.uk They will then be actioned as necessary within ORR and an amended or updated safety certificate and / or safety authorisation issued as required.

28.16 In some instances, a transport undertaking or infrastructure manager may change how they deliver or organise particular aspects of the operation that in turn have an impact on safety. This may require new SMS procedures to be developed. To ensure that these changes do not impact on the safety certificate and / or safety authorisation, a discussion should take place with their lead inspector who in turn discusses with the Senior Executive: Safety Permissioning as to whether this could require an amendment application. If an amendment application is not required, the lead inspector may decide to review the changes as part of supervision activity.

28.17 The lead inspector for the dutyholder should ensure that there is a central point electronically, for storing correspondence that relates to notifications made to ORR in accordance with regulation 13, where they do not require any amendment or update to the safety certificate and / or safety authorisation. In this instance, an acknowledgement to the dutyholder to confirm that the changes do not require any assessment is reasonable. Any notification that requires the update/amendment to the safety certificate and / or safety authorisation shall have a PRM-SCA case created.

28.18 Following discussions between the lead inspector and dutyholder relating to proposed changes, the lead inspector will confirm in writing, whether these will require a formal amendment of safety certificate and / or safety authorisation, are notifiable in accordance with regulation 13 of ROGS, or can be progressed without the dutyholder needing to formally notify ORR of the change.

Annex A: Do's and Don'ts

Do	Don't
Read the ROGS assessment manual prior to commencing the assessment and familiarise yourself with the assessment criteria document that applies to the application.	Approach an assessment without having read the applicable assessment criteria and assessment manual before an application arrives.
Ensure the applicant has allowed the 4-month timescale for assessment unless there are mitigating reasons that do not allow this, so that you are not having to rush the assessment.	Delete assessment forms from the PRM-SCA case. Instead, tag them as "do not use".
Ensure you are aware of milestone completion dates listed on the S2 assessment timetable.	Hurry the assessment or be afraid to ask for specialist Assessor input to the assessment if required.
Ask the Case Manager for advice/guidance if the answer to the question is not available in existing guidance available.	Ask the Case Manager for advice/guidance that is available in existing documentation about the assessment process. It is time consuming for both parties.
Ensure the SMS submission document(s) are suitable to be used for an assessment and if the application is for an amendment, it is clearly identified what has changed in the SMS. If not, return to the applicant and ask that they address.	Progress beyond the initial screen stage if the submission document(s) are deficient.
Complete the assessment forms correctly and through the links on the registered file to avoid multiple versions circulating. Ensure they are opened through the app version of word with macros enabled too.	Upload new versions of assessment forms that have been completed "offline" and delete older versions unless the Case Manager agrees to this.
Update the PRM-SCA registered file with correspondence relating to the assessment.	Leave updating the PRM-SCA case 01. Registered File until the latter stages of the assessment. Regular maintenance of the case is required.
Update the S2 assessment timetable throughout to show the progress of the assessment.	Leave the S2 assessment timetable incomplete as it is a record of assessment progress.
Provide suitable commentary as to how you have reached the decision to close an issue in the "outcome" column on section 5 of the S5 form.	Write "Closed and date" in the "outcome" column on section 5 of the S5 form.

Do	Don't
Send the whole of the S5 form to the applicant at the time of sending the assessment issues. This allows them sight of all affected parties responses and actions taken with them,	Extract section 5 of the S5 form and place in a separate document then send to the applicant for their responses to issues raised during the assessment.
Upload e-mails into the correct subfolders on the registered file and ensure the file naming convention allows easy identification as to what the e-mail relates to.	Upload e-mails saved with the same title and store in one folder on the registered file. It is time consuming having to read each one to find the evidence required at the assurance stage.

Annex B: Amendment Log

Date	Location	Amendment
December 2018	Throughout	Complete rewrite and focus on ROGS safety certificate and safety authorisation applications assessment processes only.
January 2026	Throughout	Terminology updated throughout to the use of terms “Transport Undertaking” and “Infrastructure Manager” to be consistent with the terminology as used in the ROGS regulations.
	Throughout	Changes to assessment forms; S1 assessment planner removed and replaced with S3 or S4 initial screen forms which now include an assessment plan section.
	Throughout	References to Box replaced with Intapp and registered file folders updated to reflect current structure.
	Chapter 3	Updated to reflect the legislative climate following the UK exiting the EU on 1 January 2021 and arrangements where a dutyholder operates Cross-Border services i.e. through the Channel Tunnel.
	Chapter 4	Updated to reflect changes in roles & responsibilities to certain posts and; includes references to posts, which have an indirect link to the overall assessment process. Current job titles for posts reflected in the chapter and throughout the document.
	Chapter 5	Updated to enable HM Inspector of Railways (Trainee) and HM Inspector Assistants to perform the Lead Assessor role. This includes setting out what applications a trainee can lead on.
	Chapter 8	Refers to applicants providing draft submissions for ORR to review and processes to follow in these scenarios. How to deal with applications for amendments and renewals when they are going to be submitted within timescales close to each other.

Date	Location	Amendment
	Chapter 9	Removed the requirement for applicants to submit existing safety certificates as part of the submission pack and the need to provide a valid part A safety certificate if applying for a part B safety certificate following departure from the EU. Added information on what non-mainline applicants need to submit given there are no application forms to complete.
	Chapter 10	Added reference to submission from potential DfT Public Ownership Operators, Operators of Last Resort being short notice and the Senior Executive: Safety Permissioning notifying route inspection teams of forthcoming applications that they will need to deliver on. Added instructions relating to the completion of the Assessment Plan based on the type of application received. Information about assessment milestones and appropriate timescales for the completion of these.
	Chapter 11	Updated to state when affected parties consultation needs to commence, the use of ORR's affected parties contact list for applicants, possible extension of consultation end date if affected parties are omitted from initial consultation and; providing detail around the application of ROGS regulation 30(2) exemption in relation to affected parties consultation by an Operator of Last Resort in regard to new & amended applications. Provided a summary on whom to consult with and the focus on statutory consultees over an 'out of courtesy' approach. Process for consulting affected parties for public ownership applications.

Date	Location	Amendment
	Chapter 12	References the requirement to complete new initial screen forms for subsequent resubmissions if previous versions fail the initial screen (stages 1 or 2). Also stated that all forms must be retained on the Intapp PRM-SCA case. Explanation of what stage 1 covers and instances where stopping the clock or rejection of the application are required. Information contained as to how those situations can be rectified.
	Chapter 13	Updated to reflect that the Case Manager will complete the section on affected parties consultation initially on the S3 series or S4 initial screen forms. Resourcing of initial screen stage 2 where an application requires a team assessment approach. Instances occurring at initial screen stage 2 which can result in the assessment being paused or the application rejected
	Chapter 14	Strengthened guidance around resubmission decisions. Included reference to this stage now also ensuring the assessment plan is produced and signed off before assurance can be carried out.
	Chapter 15	Outlines who is responsible for uploading affected parties responses onto the Intapp PRM-SCA case. Provides detail as to who is statutory affected party as per ROGS regulation 17(10) and requirements for applicants to chase responses from these. Guidance on what is required by applicants at the end of the 28-day consultation period.

Date	Location	Amendment
	Chapter 16	Outlines the requirement for the Case Manager to review the S5 form prior to sending to applicants for responses to assessment issues raised. Explains the potential deviation from the normal assessment process relating to Operator of Last Resort applications and possible reasons for this. Regulation 13 notifiable changes – how to process these whereby an amended or updated safety certificate and / or safety authorisation may be required. Dealing with some IT issues and how to resolve where applicants IT system doesn't support macro enabled files.
	Chapter 17	Explanation of the benefits of meeting new applicants even when issues are minor and could be closed through correspondence. Advice around the recording and formatting of summarising discussions held with the applicant and actions agreed in the meeting.
	Chapter 18	Added the applicant must also provide a revised SMS submission document with responses to assessment issues to meet the milestone "applicant written response received". Dealing with situations where the applicant cannot address one issue and subsequent issues are interdependent meaning several issues will remain open.
	Chapter 19	Outlining the benefits of this stage and how it can reduce delays at the final assurance stages.
	Chapter 20	Inspection priority periods defined and the requirement for including any topics for inspection identified during assessments for updated or amended safety certificates and / or safety authorisations need to be incorporated into the wider inspection plan for that transport undertaking or infrastructure manager.

Date	Location	Amendment
	Chapter 22	Case Manager to also check that the affected parties section on initial screen forms has been updated at the end of the 28-day consultation period. Assurance covers the quality of the assessment as well as ensuring the assessment followed processes in place. Outlines the possible independent review of an assessment where required & dealing with scenarios where stopping the clock could cause someone to be without a safety certificate and / or safety authorisation.
	Chapter 23	Mainline European Identification Numbers (EIN's) now known as UK Identification Numbers whilst non-mainline remain as ORR Identification Numbers. Commentary around validity dates when drafting a safety certificate and / or safety authorisation. Dealing with scenarios where limited validity is the outcome
	Chapter 24	Previous chapter 24 removed due to sign off now being electronic and hard copy registered files no longer being compiled. New content is focussed on the current arrangements in place for formal sign off and processes to follow if the final decision is to refuse an application. Timescales for formal sign off of public ownership operator applications and concessions / franchises awarded by other bodies.

Date	Location	Amendment
	Chapter 25	Updated some of the processes following formal sign-off of the safety certificate and / or safety authorisation. Explanation around uploading the safety certificate and / or safety authorisation to the ORR website and timescales i.e. 5 working days of issue or to be live from the commencement date of the safety certificate and / or safety authorisation, if a new entrant.
	Chapter 26	Acknowledgement that the Lead Assessor for an application may not be the lead inspector for the transport undertaking or infrastructure manager. Therefore, the persons must liaise with each other about the matters for later inspection identified following the assessment. Annual rolling inspection plan which captures matters for early/later inspection, and these replace the 5-year inspection plans. Outlining the link between inspection and assessment.
	Chapter 27	Provided more detail around date for submission of the annual report and calendar dates that, the submission needs to cover.
	Chapter 28	Substantial change defined and the relationship with CSM-REA and safety verification processes. Provided a list of examples of changes that could require an amendment to the safety certificate which are not covered under the “substantial change” definition. Added details about the application of the CSM REA (mainline) or safety verification (non-mainline) by transport undertakings and/or infrastructure managers to determine how a change to their operations and SMS is to be progressed. Outlined the process for regulation 13 notifiable changes.

Date	Location	Amendment
	Annex A (Previous edition, Version 5)	The flowcharts previously known as Annex A are now incorporated into Chapter 6 and known as figures 1 & 2. These provide a pictorial view of the assessment process. The detail relating to each stage of the process is covered in the individual chapters.
	Annex A (This edition, Version 6)	Assessment Process Do's and Don'ts quick guide
	Annex B	Amendment log showing the changes between versions 5 and 6 of the assessment manual.

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