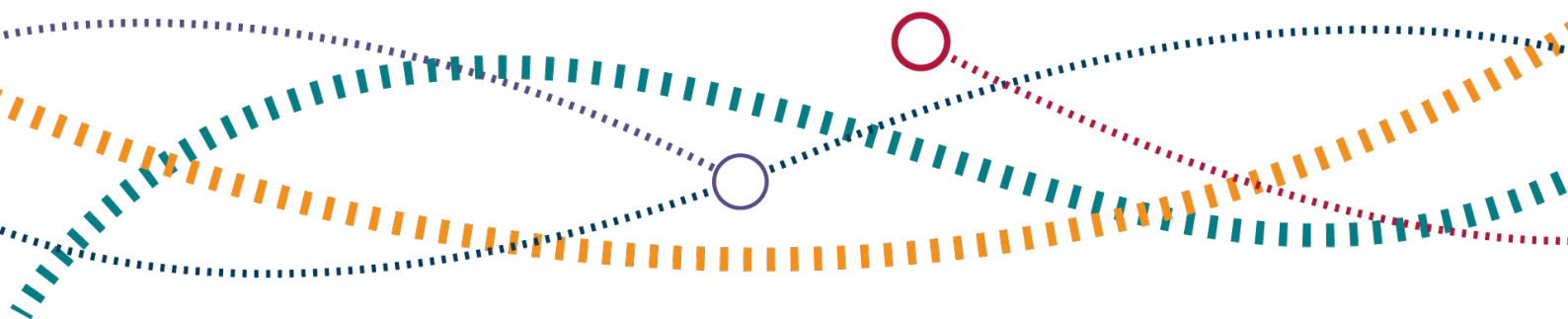




A guide for train operators

Train Driving Licences and Certificates Regulations 2010

16 December 2021



Contents

Background	5
1. Introduction	7
Summary	7
Do TDLCR apply to the train drivers that I employ?	7
What are the train driving licence and certificate?	8
What are my responsibilities as a train operator who employs train drivers?	9
What are my responsibilities as an infrastructure manager for operators using my infrastructure?	10
Who issues and enforces train driving licences?	10
2. Applying for a train driving licence	12
Summary	12
How do I apply for a train driving licence on behalf of the train drivers that I employ?	12
Conditions for obtaining a train driving licence	13
When can I apply for a train driving licence for a trainee driver?	14
Who does the licence belong to after it has been issued and must the driver carry it with them when on duty?	14
Lost, stolen or destroyed licences	15
What happens to a licence when the driver changes train operator?	15
How long are licences valid for and what are the requirements for renewal?	15
3. Keeping the train driving licence information up to date on ORR's register of licences	17
Summary	17
What events should a train operator notify ORR about?	17
What events must a train operator notify ORR about?	18
4. Maintaining the validity of a licence: monitoring train drivers	20
Monitoring driver's medical fitness	20

What happens if the monitoring of the train driver raises concerns about validity of the licence?	20
What happens if monitoring continues to raise concerns about the validity of a licence?	21
5. Issuing a train driving certificate and maintaining its validity	22
Summary	22
Who issues train driving certificates and what do they cover?	22
Professional knowledge of the infrastructure and rolling stock	23
What does the train driving certificate look like?	24
Who owns the certificate? How long is a certificate valid for and must a train driver carry the certificate with them when on duty?	24
Lost, stolen or destroyed certificates	25
What happens to the certificate when a train driver leaves a train operator?	25
Keeping certificates valid: maintaining driver competence	26
What happens if competence elements of the certificate are not maintained?	27
What happens if an ORR inspector has concerns about a driver's ability to meet the conditions for holding a certificate?	28
What happens if a train operator either refuses to issue, update or renew a certificate or if a train operator has suspended or withdrawn a certificate?	29
Annex A - Renewal of Train Driving Licences	30
Train Driving Licence 10 Year Renewal Form	31
Safety organisation/authority information	31
Licence details	31
Application details	31
Declarations	33
Checklist of documents to be appended to the application form for a train driving licence	35
Annex B - Cross-border driving: position up to 31 January 2022	36
Annex C - Cross-border driving: position from 1 February 2022	37
Scenario 1	37

Scenario 2	39
Annex D - Example of a train driving licence	41
Annex E - Format of the certificate and information to be contained in it	42
Annex F - Example of a certified copy of the train driver's certificate when they leave employment	44
Annex G - Information to be contained in the certificate register	45
Data to be collected and data format	45
Rights to access the data	46
Data exchange	46
Duration of data retention	47
Procedure in case of bankruptcy	47

Background

The Train Driving Licences and Certificates Regulations 2010 (as amended) (TDLCR) give duties to different organisations and people. We have produced a series of separate guides to explain the duties and responsibilities arising from the TDLCR and how you can take appropriate action. Together these guides form a complete set of guidance. However, please note that the guidance does not cover all aspects of the legislation and that it is the responsibility of the duty holders to ensure compliance with legislation.

There are separate guides:

- [for train operators](#)
- [to the medical and occupational psychological fitness requirements for train drivers and the recognition process for doctors and psychologists](#)
- [to train driver training and examination requirements and recognition process for training and examination centres](#)
- [to suspending or withdrawing a train driving licence](#)
- [for train drivers appealing against decisions made by their employer about the train driving certificate issued to them](#)

We have also published 2 'key facts' leaflets - one for [train drivers](#) and one on the recruitment of train drivers.

We have produced this guide to assist you in meeting the requirements of the Train Driving Licences and Certificates Regulations 2010 (TDLCR). However, we do not seek to cover every aspect of the legislation. It remains your responsibility to ensure that you are compliant with the relevant legislation. Following our exit from the EU please be aware that TDLCR and associated legislation has been amended by the following regulations:

- **the Train Driving Licences and Certificates (Amendment) (EU Exit) Regulations 2019, (S.I. 2019/677) as amended by**
- **the Railways (Miscellaneous Amendments, Revocations and Transitional Provisions) (EU Exit) Regulations 2020. (S.I. 2019/345) and;**
- **the Railways (Miscellaneous Amendments, Revocations and Transitional Provisions) (EU Exit) Regulations 2020 (S.I. 2020/786).**

and should therefore be read in conjunction with those regulations.

The guidance does not introduce new duties or requirements but it sets out what we consider to be good practice.

Please note this guidance is not intended for use in Northern Ireland

We periodically update these guides, and you can download the latest version of any of these guides from our website <https://www.orr.gov.uk/guidance-compliance/rail/train-driving-licences-and-certificates>

1. Introduction

Summary

This guide is for railway undertakings or infrastructure managers who employ train drivers on the mainline railway and explains:

- Who the TDLCR 2010 (as amended) apply to;
- What the train driving licence and certificate are;
- The responsibilities of the railway undertakings and infrastructure manager and;
- Who issues and enforces train driving licences.

Do TDLCR apply to the train drivers that I employ?

Regs 2 & 4

- 1.1 The TDLCR apply to railway undertakings and infrastructure managers who are required to hold a safety certificate or a safety authorisation under the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) (ROGS). If this is the case, train operators **must** make sure that the drivers they employ to drive on the mainline railway meet the requirements of TDLCR.
- 1.2 We refer to railway undertakings and infrastructure managers who run trains as 'train operators' throughout this guide, other than where the requirement is on a specific person.
- 1.3 TDLCR do not apply to drivers employed to work:
 - within engineering possessions;
 - on metros (for example, London Underground), tramways or other light rail systems;
 - on a railway we determine is excluded from the definition of "mainline railway" in accordance with regulation 2A of ROGS, in some circumstances including heritage operations taking place partly on the mainline railway; or
 - in depot operations (see below).

Depot operations and TDLCR

1.4 The TDLCR are not intended to apply to activities that occur within a depot. This includes activities that occur outside the boundary of the depot but which form part of the operations of that depot. These operations must have Network Rail's agreement to enter its infrastructure and must be under secure protection. Such operations do not require licences for shunters or depot drivers who:

- drive trains for the short distance to the first signal or junction head; or
- drive an empty passenger train to deliver it to or return it from a railway station which must not be more than 10 miles from the depot.

In either case the maximum speed must not exceed 50mph where the maximum permitted line speed is higher.

1.5 The depot driver or shunter is still expected to meet the appropriate competency and fitness standards to carry out driving operations within the depot and the train operator is responsible for monitoring the depot driver's continued competence and fitness.

What are the train driving licence and certificate?

Regs 4(1) & (2)

1.6 Under the TDLCR, a train operator must not deploy a train driver unless the driver holds a valid train driving licence and certificate, which permits the holder to drive the type of rolling stock over the specific infrastructure they are being deployed on.

Reg 6

1.7 The train driving licence is issued to the driver by ORR and is the personal property of the driver until it expires, or is suspended or withdrawn. A valid train driving licence remains valid even when the driver changes employer. However, the presentation of a licence document by a driver to a new employer does not provide evidence of the licence's status and the train operator should contact ORR to check its validity.

1.8 The licence is issued by ORR following an application from the driver or more usually from their employer including evidence that the applicant train driver has

passed the necessary general professional competence, [occupational psychological fitness and medical examinations](#).

Reg 7

- 1.9 The certificate is issued to the train driver by the employing train operator once the driver has passed the required specific professional knowledge and competence examinations on the rolling stock and infrastructure they are expected to drive on. Although the train driver holds the certificate, it remains the property of the employer and the employer may refuse to renew or update a certificate, or may suspend or withdraw it. The driver may [appeal](#) against this decision.

What are my responsibilities as a train operator who employs train drivers?

- 1.10 If you are a train operator who employs drivers, you are responsible for:
- the selection and ongoing training, competence management and medical fitness of drivers you employ;
 - carrying out periodic checks on drivers through tests and examinations to ensure they continue to meet the requirements of regulation 9 and maintaining a system for monitoring train drivers to check the requirements of the TDLCR are adhered to;
 - issuing your drivers with a certificate that sets out the rolling stock they can drive, their infrastructure knowledge and their language skills and providing them with a certified copy of this document when they leave your employment;
 - keeping ORR informed promptly where results of monitoring call into question the validity of the licence and this is explained in the other guides....
 - giving written notice to ORR when a person ceases to be employed as a driver by you;
 - publishing on your website the procedures for obtaining a certificate; and
 - maintaining a register of the certificates you issue to your drivers (this may be an electronic register) and keeping this up to date. The register should include details of any updating, renewal, amendment, expiry, suspension or

withdrawal of any certificate. the register should also include any details relating to any loss, theft or destruction of any certificate.

What are my responsibilities as an infrastructure manager for operators using my infrastructure?

Regs 4(7) & (8)

1.11 Infrastructure managers are not responsible for the licences and certificates of train drivers employed by others who use their infrastructure. The TDLCR allow for specific situations where a train driver need not be authorised by a certificate to drive on specific infrastructure provided that the infrastructure manager in question is given prior notice. The situations covered by this are set out in TDLCR and include:

- the re-routing of a train (as specified by the infrastructure manager) where there has been disruption to services;
- exceptional one-off services which use a historical train;
- exceptional one-off freight services agreed with the infrastructure manager;
- the delivery or demonstration of a new train; and
- services to enable the training or examination of a driver.

Except for the situation in the first bullet point above, the infrastructure manager must be given prior notice by a railway undertaking and the driver must be accompanied and supervised by another train driver in the cab who holds a licence and a certificate for that specific infrastructure. “Prior notice” arrangements may be carried out on an ad hoc one- off basis or be dealt with under longer-term agreements between infrastructure managers and operators.

Who issues and enforces train driving licences?

1.12 ORR is the competent authority for train driver licensing and certification in Great Britain.

1.13 ORR is responsible for:

- issuing licences to drivers and keeping the register of licences (including maintaining and updating the register where the train driver's details change);
- inspecting and monitoring train operators' arrangements for training, competence management and fitness of drivers;
- inspecting and monitoring train operators' arrangements for making sure drivers are issued with, and carry the necessary documents and keep these up to date;
- suspending or withdrawing licences where the conditions for holding a licence are no longer being met (please see Suspension & Withdrawal guidance);
- hearing appeals from train drivers who have had their certificate suspended or withdrawn by a train operator or the train operator has refused to grant, update or renew a certificate; and
- maintaining the registers of [recognised doctors](#), [psychologists](#), [examination centres and training centres](#). Only those on the registers may carry out [training or examination of train drivers](#), or sign [medical and occupational psychological fitness examinations](#) for the purpose of the regulations (see other guides for more information)

1.14 We believe that the best way of ensuring the fitness and competence of drivers is through a train operators' Safety Management System (SMS.) As such, we will generally be content to issue licences on the basis of evidence supplied by train operators in support of driving licence applications. We will ensure through our separate safety certification and inspection of SMS's that train operators' arrangements for competence and fitness monitoring are adequate and, in this way, will assure ourselves that the information these employers provide is reliable and accurate.

1.15 We keep the information on drivers in the national register of licences secure and only their employers or the ORR, will be able to see this information. Drivers may also request to see the individual information we hold on them.

1.16 Our registers of recognised doctors, psychologists, examination centres and training centres are available to the public on the [ORR website](#).

2. Applying for a train driving licence

Summary

This chapter is about applying for a train driving licence and explains:

- How to apply for a train driving licence on behalf of drivers you employ;
 - The conditions for obtaining a licence;
 - Train driving licence requirements for trainee drivers;
 - Who the licence belongs to;
 - What the train driver must do with the licence when driving a train; and
 - What happens when a licence is lost, stolen or due for renewal
-

How do I apply for a train driving licence on behalf of the train drivers that I employ?

- 2.1 A licence application may be made by a driver but in most cases applications will be made by the employing train operator on the driver's behalf. To speed up the process of applying for and issuing a train driving licence we have developed an online application system. The online application system provides us with confirmation that the train driver meets the conditions to obtain the licence.
- 2.2 A [guide to the application process](#) is available on our website.
- 2.3 When we receive the application, we will check that all the necessary evidence is included, or contact the train operator if any information is missing. Once we have all the relevant information, and we are satisfied that we can grant a licence, we will process the licence application. Once printed, the licence will be sent to the train operator to pass onto the train driver. Applications for licences will be determined within one month of receiving all the necessary information.

Conditions for obtaining a train driving licence

Regs 8 & 10

- 2.4 There are five conditions that a train driver must meet in order to obtain a licence:
- Be at least 20 years old;
 - Have completed at least nine years of education (primary and secondary);
 - Successfully completed training equivalent to level 3 (this is currently achieved through the TDL initial training programme)
 - Pass the required medical examination as defined in schedule 1;
 - Pass the occupational psychological fitness examination;
 - Pass the general professional competence examination.
- 2.5 We expect train operators to check that the age and education requirements have been met during the recruitment selection process. The vast majority of UK-born train drivers will meet the educational requirement because of the requirement to stay at school until the age of 16. If there is any doubt about whether the educational requirement has been met, train operators should carry out any necessary checks before completing the online application.
- 2.6 Train operators must ensure that the person carrying out any medical or occupational psychological fitness examinations is recognised by ORR to carry out such examinations and is listed on ORR's register of doctors or psychologists. Train operators must also ensure that the examination for general professional competence is carried out by a recognised examination centre which is listed on ORR's register of training and examination centres. Information on the medical examination and occupational psychological fitness examinations and recognition process can be found in our separate [guide](#). Information on training and examination centres carrying out the general professional competence examination and recognition process can be found in our separate [guide](#).
- 2.7 The registers of recognised doctors; psychologists; and training and examination centres are available on [our website](#).

When can I apply for a train driving licence for a trainee driver?

Reg 4(7) (12)

- 2.8 Trainee drivers are permitted under the TDLCR to drive trains during their training as long as they are supervised in the cab by an authorised driver holding both a valid train driving licence and certificate for the routes and rolling stock for which they are supervising the trainee and the train operator has also notified the infrastructure manager that driver training is being carried out. We recommend that applications for a licence should only be submitted once the train operator is satisfied that the trainee driver has met the requirements in 2.4 above. The licence can only be issued to the driver when all required conditions are met.
- 2.9 The general professional competence, medical and occupational psychological fitness examinations needed to get a licence will be assessed through driver selection and training. This allows the train operator to apply for a licence and to continue the trainee driver's detailed rolling stock and infrastructure training that is necessary to be issued with a certificate, while waiting for the licence to arrive. This will help to avoid delays in trainees being able to commence train-driving duties.

Who does the licence belong to after it has been issued and must the driver carry it with them when on duty?

Regs 6 & 18(2)

- 2.10 Once the train driver has received the licence, it remains the personal property of the train driver until either it expires, or we suspend or withdraw it. Expired, suspended, or withdrawn licences must be returned to us.

Regs 4(5) & (6)

- 2.11 Train drivers must have their licence with them when they are driving a train and the train operator must take reasonable steps to make sure that train drivers have their licences with them. If an ORR inspector asks a driver to show the licence and certificate while on driving duties and the driver is unable to do this because they have forgotten it, or it has been lost or stolen, the train operator should ensure that

the driver is able to provide other evidence that they hold a licence and certificates. This may be through a copy of the licence or a telephone number for the inspector to call to check that the driver holds a valid licence.

Lost, stolen or destroyed licences

- 2.12 If a train driving licence is lost, stolen or destroyed inadvertently, the train operator or driver should notify us about this at the earliest opportunity and make an application for a duplicate licence. While the application for a duplicate licence is being processed, the train operator must take reasonable steps set out in paragraph 2.11 so that the driver can demonstrate to an inspector that they hold a licence.

What happens to a licence when the driver changes train operator?

- 2.13 When a driver leaves one train operator and moves to another, the licence remains valid and for this reason, it does not require re-issue.
- 2.14 We strongly recommend that any train operator recruiting drivers should undertake robust pre-employment checks for both new applicants and existing licence holders. Train operators may contact ORR to check the validity of the licence and should also request the transfer of safety information relating to the driver from the previous employer. More information on current GB rail industry good practice concerning the transfer of safety information can be found in RIS- 3751-TOM Appendix B published by RSSB. Train operators should also expect experienced train drivers to be in possession of a certified copy of their previous certificate from their previous train operator.

How long are licences valid for and what are the requirements for renewal?

- 2.15 Licences are valid for 10 years from issue unless they are suspended or withdrawn.

Reg 12

- 2.16 Licences may be renewed before the licence expires providing that all requirements have been met. An application to renew a licence should be made in good time so that the driver receives the new licence before the old one expires

and there is sufficient time to make sure the train driver complies with the conditions for holding a new licence. Further details, and the form to be used to make an application for a licence renewal are available in Annex A.

2.17 When you apply for a licence renewal, we expect that the driver:

- Has passed a medical examination within the minimum required frequency for the driver's age, which is, every 3 years for drivers under 55 and annually for drivers aged 55 and over (or at other intervals recommended by a recognised doctor). [See also the medical and occupational psychological fitness guide.](#)
- Is employed under an SMS, which maintains the driver's general professional competence at the time the application to renew is made.

3. Keeping the train driving licence information up to date on ORR's register of licences

Summary

This chapter is about what you should do when the information on a train driving licence changes and explains the type of events you should notify to ORR.

Reg 24

- 3.1 Under the TDLCR we are required to have and keep up to date a register of licences. This register should include details of any updating, renewal, amendment, expiry, suspension and withdrawal of the licence as well as record the theft, loss or destruction of any licence.
- 3.2 In some instances, you must tell us about these changes because the TDLCR require it. But it is also important that you keep us informed of other changes so the register remains as up to date as possible. It is beneficial for the industry that the register is kept up to date – particularly when drivers leave a train operator's employment or the train operator employs a new driver - so we can share the information on the register on request from train operators. Equally, receiving prompt updates when periodic medical assessments are completed is an important part of our assurance that the fitness requirements of the regulations are being met and actively monitored.

What events should a train operator notify ORR about?

- 3.3 A train operator should notify us when (providing dates where necessary):

- **Driver address changes**
- **Driver changes name or requires new photograph**

You should also provide documentary evidence in support of the change and these changes can be e-mailed to the train driver licences team at:

tdl.applications@orr.gov.uk.

- **Date a driver passes a medical examination.**

In relation to the above we recognise that there may be times when drivers are temporarily unfit for driving duties. Train operators should not deploy a driver on driving duties if the driver is temporarily unable to meet the conditions for holding a licence. However, we do not expect to be notified about such events if the issue is resolved within 3 months.

- **Medical details in section 9 of the licence relating to hearing or sight change (where a driver is required to wear corrective lenses or hearing aids).**

We will issue an amended licence, which will show that the driver now wears corrective lenses or hearing aids. The existing licence remains valid until the new one is received but the train operator must make sure the required adjustment (e.g. correction to vision or hearing) is made immediately. The old licence must be returned to ORR.

- 3.4 There may be other events which a train operator should notify us of where this might affect the validity of licence and might lead us to consider whether the licence should be suspended or withdrawn. We provide separate guidance on licence suspension and withdrawals which is available on our website.

What events must a train operator notify ORR about?

- 3.5 A train operator must notify us as soon as possible when:

Reg 16(1)

- A driver leaves a train operator irrespective of the reason;
- A driver stops working as a train driver (including due to their death or retirement);

Reg 17(5)

- A driver's work incapacity is in excess of 3 months. You should notify us of the start date of the incapacity. There is no requirement to notify ORR of short-term sickness. If the work incapacity (absence) is a result of pregnancy

or parental leave, the train operator must comply with relevant protections in the Equalities Act 2010 when managing the driver's incapacity.

4. Maintaining the validity of a licence: monitoring train drivers

This chapter is about how to maintain the validity of a train driving licence. It also explains what you should do if you have concerns about maintaining the validity of the licence.

Monitoring driver's medical fitness

Reg 13(1)

- 4.1 A train driving licence is valid for 10 years from the issue date, as long as the train driver:
- passes the regular medical assessments confirming that they are fit to drive (Schedule 1 of TDLCR).

Reg 17(1)

- 4.2 Train operators must have a system in place for monitoring that any train driver they employ continues to meet these conditions for holding a licence

What happens if the monitoring of the train driver raises concerns about validity of the licence?

Reg 17(2)

- 4.3 If the train operator has concerns about a train driver's medical fitness that may affect the validity of the licence, the train operator must address these concerns promptly to make sure the licence's validity is maintained.

Reg 17(3)

- 4.4 All train drivers are also required under the TDLCR to immediately inform the train operator employing them if they consider their state of health calls into question their fitness to drive trains.

4.5 Concerns about medical fitness could arise either:

- during ongoing monitoring of the train driver outside of the interval for a periodic medical examination; or
- as a result of the train driver failing a periodic medical examination or not having one when required (if the driver fails a medical examination, the driver must not drive trains until they have passed any following medical examination because the validity of the licence may be affected); or

Reg 17(4)

- where the train operator considers that a train driver's health has deteriorated to the point where the driver's fitness is called into question; or
- Following an operational incident.

These concerns may require the train operator to arrange a medical or occupational psychological fitness examination by a recognised doctor or psychologist.

4.6 Our inspectors may ask a train operator to make sure the driver's fitness to drive is reassessed by a recognised doctor, psychologist or examiner if the inspector believes that a train driver employed by the train operator is no longer fit or competent to hold a licence.

What happens if monitoring continues to raise concerns about the validity of a licence?

4.7 If, as a result of your monitoring, you have informed us of concerns regarding the validity of the licence conditions in relation to a driver, we will consider the information and any supporting evidence, to determine whether there might be sufficient grounds for us to suspend or withdraw a driver's licence in accordance with our suspension and withdrawal policies and procedures. We will keep you and the train driver informed about this and our register will be updated accordingly.

4.8 For more information on the licence suspension and withdrawal process see our [separate guidance available](#) on our website.

5. Issuing a train driving certificate and maintaining its validity

Summary

This chapter is about train driving certificates. It explains:

- Who issues the train driving certificates;
- What train driving certificates cover;
- Format of train driving certificates;
- Certificate validity;
- Gaining and monitoring the competences for the certificates;
- Leaving employment and the certificate;
- Refusing to issue, renew, or update a certificate and suspending or withdrawing a certificate; and
- Register of certificates and maintaining it.

Who issues train driving certificates and what do they cover?

- 5.1 Train driving certificates are issued by train operators to the drivers they employ. The certificate sets out which rolling stock a driver may drive and over which infrastructure. The professional knowledge requirements for infrastructure and rolling stock are set out in schedules 4 and 5 of the TDLCR respectively.

Reg 11(1)

- 5.2 Under TDLCR, the train operator must have an application procedure for issuing, updating and renewing certificates to its drivers to confirm that they have the skills, knowledge and abilities needed to drive trains. This procedure will form part of the train operator's SMS and the train operator must publish it. The train operator must also publish that train drivers have a right of appeal to ORR against decisions a train operator takes about a driver's certificate (see paragraphs 5.30 - 5.31).

- 5.3 Reg 25(1) The train operator must have, and keep up to date, a register of certificates that it issues (which may be in electronic form).
- 5.4 The procedure for issuing certificates must set out:
- how drivers are issued with certificates;
 - what a certificate covers;
 - how the train operator will keep a register of certificates that it issues (more information in annex D); and
 - how drivers who leave a train operator's employment are given copies of their certificates.
- 5.5 A train operator may decide not to issue a certificate to a train driver and more information about this is in paragraphs 5.32 – 5.33.
- 5.6 **A train operator must only deploy a train driver to drive a particular type of rolling stock or to drive a train on particular infrastructure if they are authorised by a certificate issued by the train operator to do so - unless the driver is covered by the circumstances set out in paragraph 1.11.**

Professional knowledge of the infrastructure and rolling stock

- 5.7 Schedule 4 of TDLCR sets out competence requirements relating to certificates for driving on specific infrastructure. It also includes the language standard in paragraph 8 of Schedule 4 (amended in 2015). Paragraph 8 sets out that drivers must have the language skills to communicate on critical safety issues with infrastructure managers in routine, adverse and emergency situations. Drivers must be able to use messages and the communication method specified in National Technical Specification Notices (NTSN) relating to the operation and traffic management subsystem of the rail system and be able to understand and communicate to level [B1 of the Common European Framework of Reference for Languages](#).
- 5.8 Professional knowledge of the rolling stock includes a variety of competences which should be applied to the specific rolling stock in question. It is not necessary to apply all of these competences to every type of rolling stock because some of the competencies may not be relevant, or a more basic degree of knowledge is sufficient for some types of rolling stock. There are no set pass and fail criteria and

it is up to the train operator to decide the 'pass mark' based on risk and the requirements of their operation.

What does the train driving certificate look like?

- 5.9 The certificates are in a standard format and must be used by all train operators.
- They allow detailed information about a driver's ability to be shared, if necessary, with prospective employers and the safety authorities; and
 - give drivers a record of their competence.
- 5.10 The information in Annexes B and D sets out the minimum information that must be provided on the certificate, what it should look like and the information a train operator must include on it. There is a template to download ([available here](#))
- 5.11 Extra information that a train operator already routinely collects could also be added in the section set aside for this, for example performance data – but there is no requirement to do so. In this respect, the certificate does not replace any existing internal driver management practices.
- 5.12 A driver may need more than one certificate if they work as a driver for more than one train operator.

Who owns the certificate? How long is a certificate valid for and must a train driver carry the certificate with them when on duty?

- 5.13 The train operator owns the complementary certificate (certificate) and it is issued to the drivers employed by the operator.

Reg 14

- 5.14 The certificate is valid for the period that the train operator has set out in their procedure referred to in paragraph 5.2 or when a train driver leaves a train operator's employment. If the train operator chooses for the certificate to remain valid indefinitely until it no longer employs that train driver, the train operator may choose not to apply an expiry date.

Regs 4(5) & (6)

- 5.15 Train drivers must have their certificate with them when they are driving a train and the train operator must take reasonable steps to make sure that train drivers have their certificates with them. If an ORR inspector asks a driver to show their certificate while on driving duties and the driver is unable to do this because they have forgotten it, or it has been lost or stolen, the train operator should ensure that the driver is able to provide evidence that the driver holds a certificate. This may be through a copy of the certificate or a telephone number for the inspector to call to check that the driver holds a valid certificate.

Lost, stolen or destroyed certificates

- 5.16 If a train driving certificate is lost, stolen or destroyed inadvertently, the train driver should notify the issuing train operator so that a duplicate can be issued. While the duplicate is being issued, the train operator must take reasonable steps set out in paragraph 5.14 so that the driver can demonstrate to an inspector that they hold a certificate.

What happens to the certificate when a train driver leaves a train operator?

Reg 16(3)

- 5.17 When a train driver leaves a train operator the certificate issued by the train operator is no longer valid.
- 5.18 The train operator must provide written notice to the ORR when a driver leaves their employment for any reason.

Reg 16(4)(a)

- 5.19 The train operator is required by TDLCR to issue the driver with a certified copy of the certificate showing which rolling stock and on which infrastructure the driver is competent to drive at the time the driver stops working for the train operator. An example of a certified copy certificate is available at Annex C.

Reg 16 (4)(b)

- 5.20 In addition to the certified copy of the certificate, the train operator must also provide the driver with a copy of documents providing evidence of the driver's training, qualifications, experience and professional competence that the driver has completed or obtained. If the train driver is moving from one train operator to another, we strongly recommend that the new employer asks for a transfer of safety information about the driver so that the new train operator employing the driver has a good history of that driver's safety record. The production of a train driving licence alone is not a substitute for the normal due diligence checks a train operator should carry out before it employs a driver. More information about established GB rail industry good practice concerning the transfer of safety information can be found in RIS-3751-TOM Appendix B published by RSSB.

Keeping certificates valid: maintaining driver competence

- 5.21 The train operator is responsible for training, assessing and monitoring the competence of its drivers. Any training either in-house or externally must be carried out at a recognised training centre with suitably experienced and qualified trainers as required by the TDLCR. The ongoing monitoring of competence is as much a matter of good management of drivers as it is of "formal" training and assessment. [ORR's guidance on competence management](#) sets out good practice in how to monitor competence effectively.
- 5.22 The train operator should have in place a training programme for both new and qualified drivers, which forms part of its certified safety management system (SMS). This training programme will normally be sufficient to ensure drivers develop the competences they need to obtain the relevant certificate.

Reg 15

- 5.23 To keep the certificates valid, the train operator must regularly assess a driver's competence. It is up to the train operator to decide how often those assessments should be carried out, but under the TDLCR they must be carried out with at least the following frequency:
- Language competence (for non-native speakers) at least every three years or after absence from driving duties for more than a year

Sch. 6

- Infrastructure knowledge (including route and operational rules) at least every three years or after absence of more than a year from a relevant route;
- Rolling stock knowledge at least every three years.

We recommend that competence assessments are carried out by someone with suitable qualifications, experience and skills as part of routine management activity. Where these assessments identify that a specific element of competence has not been maintained (such as knowledge of a particular route) a note should be made on the certificate (or on electronically held register to show that particular competence is no longer held.

- 5.24 Where the assessment requires the competence information on the certificate to be updated or the certificate is due for renewal, the train operator must include this information in the updated or renewed certificate.
- 5.25 The train operator may decide not to renew or update a certificate for a train driver. More information about this is in paragraphs 5.32 – 5.33. Concerns about a driver's competence could arise during monitoring of a driver's general professional competence through the competence management in the SMS, particularly if these are related to the driver's involvement in an accident, a Signal Passed At Danger (SPAD) event or another operational incident. Where concerns are raised these could be dealt with by:
- development plans;
 - re-training; or
 - re-assessment.
- 5.26 Our guide on '[Developing and Maintaining Staff Competence](#)' referred to above also provides guidance on this.
- 5.27 There is no specific legal requirement on drivers to notify the train operator if the driver has concerns about their competence, but train operators may want to consider including such a requirement in the competence management system.

What happens if competence elements of the certificate are not maintained?

Reg 17

5.28 If the system for monitoring driver competence (either through routine training or assessment or following the identification of any competence issues) calls into question;

- a driver's competence for driving duties; or
- the validity of the certificate,

the train operator must immediately take any necessary action.

5.29 This action may include requiring the driver to undergo training or further assessment to make sure the validity of the certificate is being maintained. This is most likely to arise if a driver has not driven over a particular route for a period of time and in these circumstances refresher training may be necessary. This may also arise following involvement in an accident, Signal Passed At Danger (SPAD) or other operational incident. The result of this monitoring may result in the train operator deciding to amend and re-issue a certificate.

5.30 In more serious circumstances where the driver continues failing to meet the conditions for holding a certificate, the train operator may decide to suspend or withdraw a certificate.

What happens if an ORR inspector has concerns about a driver's ability to meet the conditions for holding a certificate?

Reg 20

5.31 If an ORR inspector believes that a driver no longer satisfies a condition required for the holding of a certificate, they will inform the train operator with a reasoned request to either:

- review whether the driver meets the conditions to hold a certificate; or
- to suspend or withdraw the driver's certificate.

5.32 The train operator must consider such a request from ORR and notify ORR within four weeks of its decision to either suspend or withdraw a certificate, or take any other action. 'Other action' may include requiring the driver to have further professional knowledge and competence examinations for infrastructure or rolling stock. While this decision is being made by the train operator, we may prohibit the driver from driving trains in Great Britain.

What happens if a train operator either refuses to issue, update or renew a certificate or if a train operator has suspended or withdrawn a certificate?

Reg 36

- 5.33 If the train operator has either refused to issue, update, renew a certificate, or has suspended or withdrawn a certificate, the train operator should advise the driver of this decision and provide the reasons for the decision. The train operator should also advise the driver of their right to appeal the decision and that appeals should be submitted to ORR. We have produced a [guide to the appeal process for certificates](#).
- 5.34 If a train operator has suspended or withdrawn the certificate, it must notify ORR as soon as possible, as in some circumstances, there may also be issues which could affect the validity of the licence. We would then consider this in accordance with our [guide on suspending or withdrawing licences](#).

Annex A - Renewal of Train Driving Licences

The Train Driving Licences and Certificates Regulations (TDLCR) 2010 provides that licences are valid for a maximum of 10 years. Therefore, as a licence expiry date approaches, train operators should read this note and then submit the renewal application form below on behalf of the driver. We will consider the application and decide whether the conditions for holding a train driving licence continue to be met. If we are satisfied, we will re-issue the licence. If we are not satisfied, then we must not renew the licence. In such cases, we will write to the driver and their employing operator (if applicable) setting out the reason(s) for our decision, what actions might need to be taken before we can consider reissuing the licence, and any right to appeal.

The renewal process has been simplified in relation to a first licence application. Please complete the form in full, provide the requested information and complete the declarations. You should also supply a new photograph of the driver. Fully completed application forms and all attachments should be e-mailed to TDL.Applications@orr.gov.uk.

There is no limit to how far in advance of expiry a licence can be renewed. We will process fully complete applications within one calendar month. However, we suggest applying in a timely manner as, in our experience, incomplete applications can affect processing times. A driver must be in possession of their licence at all times when driving a train.

The maximum validity of the licence is 10 years. An early application for renewal will only result in a new 10 year licence. There is no provision to carry over the remaining time from the old licence to the new licence. The new licence will have the same licence number as the old one.

Once the driver has received their new licence, their old licence is no longer valid and must not be used. The old licence should be returned to ORR once the new licence has been received.

Train Driving Licence 10 Year Renewal Form

To apply to renew a train driving licence you must complete this form in full. That includes providing all the evidence we request, including details for maintaining medical and psychological fitness and continuous training to ensure ongoing competence requirements.

Please note: Applications for licence renewals can be made at any point in advance of the licence expiry date but renewed licences will be valid for no more than a 10-year period.

Safety organisation/authority information

- 1) Safety organisation/authority applied to:

Office of Rail and Road

Licence details

- 2) Please confirm that this application is only for a renewal of a current UK train driving licence:

Renewal: ☐ yes

UK train driving licence number:

- 3) *(Only for renewal of UK train driver licences by cross-border drivers who also hold an EU train driver licence).* Please provide your EU-issued train driving licence number:

Application details

- 4) Name of train operator submitting the form on behalf of the applicant:

- 5) If the driver has joined your organisation within the last 12 months please supply their previous employer's details:

6) Current train operator’s postal address, telephone number and e-mail:

7) Train driver’s details:

Surname:

First name:

Middle names (if any):

Date of birth (YYYY-MM-DD):

Place of birth:

8) New photo, contact details and permanent address of the driver (house number, street name, town/city, postcode, mobile number and e-mail).

<p>Driver Photo</p> <p>See Annex A for specifications</p>	<p>Driver’s contact details and permanent address</p>
---	---

Driver Signature (**only** required if the signature has changed)

- 9) Has the driver passed a medical examination carried out by a doctor who appears on the ORR recognised doctor register, within the required periods set out in the TDLCR 2010? Drivers under 55 must pass a TDLCR medical every three years and once the driver reaches 55 they are required to pass a TDLCR medical annually

Yes ☐ No ☐

Full name of doctor:

Doctor's ORR registration number:

Date of examination (YYYY-MM-DD):

Does the driver wear glasses or lenses? ☐ Yes ☐ No

Does the driver wear hearing or communications aids? ☐ Yes ☐ No

Declarations

- 10) The train operator confirms that there are no current issues with this driver's ongoing psychological fitness to continue to drive trains on the mainline.

Yes ☐ No ☐

(If **no** – please contact TDL.Applications@orr.gov.uk for advice prior to submission)

- 11) The train operator confirms that this driver has completed general competence training and passed the relevant examination carried out by trainers and examiners who appear on the ORR register at their first licence application. The train operator confirms that there are no current issues around this driver's ongoing competence to drive trains on the mainline.

Yes ☐ No ☐

(If **no** - please contact TDL.Applications@orr.gov.uk for advice prior to submission)

- 12) I declare that all the information provided on this application form and any additional information is true. I confirm that I have the driver's authority to submit this renewal application and that the driver confirms that the information given is true. I understand that the application may be rejected and / or the licence withdrawn if it is subsequently found that false information has been provided. The provision of false information in pursuance of a train driving licence is an offence under section 33(1)(k)(ii) of the Health & Safety at Work etc. Act 1974.

Signature of person signing on
behalf of the employer:

13) ORR is responsible for issuing and regulating train driver licences in accordance with the Train Driving Licences and Certificates Regulation 2010. When processing personal data for train driving licensing purposes, we are relying upon the lawful basis that processing is necessary for compliance with a legal obligation conferred on ORR. Please see ORR's [privacy notice](#) for further information about how we handle personal data.

Name of person signing on behalf of
employer:

Job title:

Signature:

Date:

Checklist of documents to be appended to the application form for a train driving licence

- ☐ A copy of current licence (please retain current licence until the reissued licence is received)
- ☐ A recent (within the last month), photograph of the train driver
- ☐ All questions on this form and the declarations have been fully completed
- ☐ All signatures must be original and handwritten and to be scanned onto the form
- ☐ Please send completed applications to TDL.Applications@orr.gov.uk

Annex B - Cross-border driving: position up to 31 January 2022

1. European Union train driving licences (EU TDL) continue to be recognised in Great Britain until 31 January 2022. There is no requirement for cross-border drivers to hold a UK TDL before 31 January 2022.
2. From 1 February 2022 onwards, the EU TDL will not be recognised for driving on GB railway infrastructure.
3. Some, but not all, cross-border drivers may be covered by a future bilateral arrangement between the French and UK governments. This will apply within a limited geographical area. However, while technical discussions in relation to this arrangement have begun, it is not clear if, and when, it will be in place. Therefore, it is not appropriate to rely on any arrangement being agreed and coming into force before 1 February 2022. If this situation changes, the affected operators will be informed directly and as soon as reasonably possible.

Annex C - Cross-border driving: position from 1 February 2022

1. From 1 February 2022 cross-border train drivers will need an EU TDL to drive on EU infrastructure and a separate UK TDL to drive on GB railway infrastructure.
2. To be ready ahead of that date, there are two licence application scenarios for cross-border operators to consider and then act upon. Depending on an existing EU-licenced driver's current status, an application will need to be made for either:
 - Scenario 1: reinstating an EU-licenced driver's previously surrendered UK TDL;
or;
 - Scenario 2: a completely new UK TDL for an EU-licenced driver who has never held one before.
3. We explain these two scenarios, and their different application requirements, below.
4. The validity requirements for both UK and EU licences will need to be maintained by the driver and their employer. One practical impact for train operators will be the need for drivers to undergo separate medical examinations to satisfy both UK and EU legal requirements.

Scenario 1

Reinstating a previously surrendered UK TDL for an existing EU-licenced cross-border train driver

Existing cross-border drivers with and EU TDL who have:

- previously held an UK TDL issued by ORR;

and

- this licence was surrendered prior to 31 December 2020 to enable them to apply for an EU TDL (issued by Établissement Public de Sécurité Ferroviaire – EPSF).

are now able to apply to reinstate their UK TDL.

We will reinstate previously surrendered UK TDLs once we have received and assessed an application from the relevant train operator. Applications should be made via an email to TDL.Applications@ORR.gov.uk. For each driver, the application must include:

- (1) The drivers full name and their ORR-issued UK TDL licence number;
- (2) Their current EPSF licence number;
- (3) Confirmation that the driver has continued to meet the requirements for ongoing medical fitness required to maintain a valid licence;
- (4) The date of the last completed driver medical examination. If it was a UK medical, please include the name of the recognised doctor who signed it;
- (5) Confirmation that the driver has been subject to ongoing arrangements for monitoring their competence and that such monitoring has not called into question their competence for the job;
- (6) Confirmation that the driver consents to the train operator seeking reinstatement of the UK TDL on their behalf;
- (7) Whether an application to renew this licence is also being made at the same time (see below).

New photographs and signatures for drivers will not routinely be required for reinstated licenses as we will reuse the ones we already hold. However, new photographs will be required for drivers whose appearance has changed (e.g. now wearing glasses), for the renewal of licences (see below) or where we no longer hold this information (affected operators will be contacted separately). Our guidance document "[ORR Train Driving Licences System Train Operator User Guide](#)" explains the specifications for train driver photographs at paragraph 2.23.

We will process fully complete applications within one calendar month. However, we strongly encourage operators to apply for all relevant drivers at the same time (as opposed to making individual applications).

You should ensure that you supply all the information required to avoid any processing delays. If you are unsure about any aspect of the application process, please contact us as soon as possible via email at TDL.Applications@ORR.gov.uk

If we decide that a driver is not eligible for a reinstated UK TDL, then you have the right to appeal this decision under regulation 35 of the TDLCR 2010.

A note on renewing UK Train Driving Licences

If a driver's UK TDL is due to expire, an operator can make an application to renew the licence at the same time as reinstating it. There is no prescribed time limit for when the licence can be renewed. Therefore, we can consider renewing a UK TDL at the same time as considering reinstating it if the expiry date is reasonably soon.

If this scenario applies, please clearly indicate on each reinstatement application if you would like us to consider renewal at the same time. Please complete and send us a separate renewal application form at the same time (Please note - for a licence reinstatement and renewal at the same time, you will need to supply a new photo, but this is not required solely for a licence reinstatement - see above).

Please ensure that you apply in a timely manner, well in advance of the deadline. Cross-border train drivers will need to hold a UK TDL from 1 February 2022 in order to drive on GB railway infrastructure.

Scenario 2

Applications for a **completely new UK TDL for existing EU drivers who have never held one before**

Applications for a UK TDL for existing cross-border drivers who have never held a UK licence will need to be made to ORR. Train operators should plan now and apply in a timely way so that ORR can consider and then issue these new licences ahead of the deadline. The table below summarises the requirements for a UK TDL:

Driver requirement	How this is met (full details are in our guidance)
To be at least 20 years old	Confirmation of a driver's date of birth from train operator
To have completed at least nine years of education (primary & secondary)	Confirmation that they have completed at least 9 years of education
To have attained level 3 educational competence	Declaration that the driver has successfully passed their vocational training required to become a train driver

To have passed the medical examination detailed in Schedule 1 of TDLCR 2010	Undertake a TDLCR medical by or under supervision of a doctor on the ORR Register of recognised doctors (Note: tests carried out by a non-recognised doctor outside of the UK will need to be verified by a doctor on the ORR register of recognised doctors. You are advised to contact us to explain any such arrangements before commencing)
To have passed the occupational psychology fitness examination (The Rail Safety and Standards Board's RIS3751 provides details)	Undertake a TDLCR occupational psychological fitness examination with a psychologist on the ORR register of recognised psychologists, or under the supervision of an ORR recognised psychologist. (Note: We are available to discuss the practical options for meeting this requirement)
To have passed the general professional competence examination	Declaration of assurance from the operator that the driver has passed the required general professional competence examination

TDLCR 2010 contains the requirements necessary to obtain a train driving licence. Our guidance for train operators, including details about how to apply for a new UK TDL is available [here](#).

We will process fully complete applications within one calendar month. Please ensure that you apply in a timely manner, and sufficiently in advance of the deadline.

You should ensure that you supply **all** the information required to avoid any processing delays. If you are unsure about any aspect of the application process, please contact us as soon as possible via email at TDL.Applications@orr.gov.uk



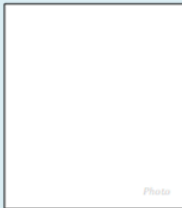
If we decide that a driver is not eligible for a new UK TDL, then you have the right to appeal this decision under regulation 35 of the TDLCR 2010.

Please ensure that you apply in a timely manner, well in advance of the deadline. Cross-border train drivers will need to hold a UK TDL from 1 February 2022 in order to drive on GB railway infrastructure.

Annex D - Example of a train driving licence



Annex E - Format of the certificate and information to be contained in it

COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVERS			COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVERS			COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVERS											
3. CATEGORIES OF DRIVING Fill the relevant boxes and made void the non-relevant ones <div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div> Notes: <div></div> </div>			1. DATA OF THE EMPLOYER/ CONTRACTING ENTITY <div> Railway Undertaking <div>Legal Name</div> <input type="checkbox"/> </div> <div> Infrastructure Manager <input type="checkbox"/> </div> <div> Working place <div></div> </div> <div> Postal address <div></div> </div> <div> Town – Country <div></div> </div>			<div>  </div> <div> Reference to the Science number <div></div> </div> <div> COMPLEMENTARY CERTIFICATE indicating the infrastructure on which the train driver is authorised to drive and the rolling stock the train driver is authorised to drive in conformity with the Train Driving Licences and Certificates Regulations 2010 (as amended) </div> <div> Surname(s) <div></div> </div> <div> Name(s) <div></div> </div> <div> Reference number given by the employer <div></div> </div> <div> Issuing date <div></div> </div> <div> Expiry date <div></div> </div> <div> Issuing organisation <div></div> </div> <div> Postal Address <div></div> </div> <div> Internal reference number <div></div> </div> <div>  </div>											
4. ADDITIONAL INFORMATION <div></div> <div></div>			2. DATA OF THE HOLDER <div> Place of birth <div></div> </div> <div> Date of birth <div></div> </div> <div> Nationality <div></div> </div> <div> Postal address <div></div> </div> <div> Town <div></div> </div> <div> Town – Country <div></div> </div> <div> Signature <div></div> </div> <div>  </div>														
5. LANGUAGE SKILLS Linguistics knowledge for infrastructure for which the certificate is valid <table border="1"> <thead> <tr> <th>Date</th> <th>Language</th> <th>Notes</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>			Date	Language	Notes												
Date	Language	Notes															
6. RESTRICTIONS <div></div>																	

COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVERS

7. ROLLING STOCK THE DRIVER IS AUTHORISED TO DRIVE

Date	Description	Notes
------	-------------	-------

[illegible]

COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVER

8. INFRASTRUCTURE ON WHICH THE DRIVER IS AUTHORISED TO DRIVE

Date	Extension	Notes
------	-----------	-------

This image shows a full page of primary-ruled notebook paper. It features multiple sets of horizontal lines designed to guide letter height. Each set consists of a solid top blue line, a dashed middle blue line, and a solid bottom blue line. These sets are repeated vertically down the entire page, providing a template for practicing handwriting. The background is white, and the lines are consistently spaced throughout.


COMPLEMENTARY CERTIFICATE FOR TRAIN DRIVER

8. INFRASTRUCTURE ON WHICH THE DRIVER IS AUTHORISED TO DRIVE

Date	Extension	Notes
------	-----------	-------

[illegible]

Annex F - Example of a certified copy of the train driver's certificate when they leave employment

RU/IM	COPY OF COMPLEMENTARY CERTIFICATE		
Brand mark	In accordance with Regulation 15 the Train Driving Licences and Certificates Regulations 2010		

1. EMPLOYER - CONTRACTING RU/IM	COMPANY NAME		
	RAILWAY UNDERTAKING <input type="checkbox"/> INFRASTRUCTURE MANAGER <input type="checkbox"/>		
	Postal address		
	Post code and town	Country	
Holder Reference number			

2. HOLDER	Licence Number											
	Surname(s)											
	Name(s)											
	Place of birth											
	Date of birth											
	Nationality											
	Postal address (optional)											
	<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">PHOTO</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Signature</div> </div>											

3. CATEGORY OF DRIVING	<div style="display: flex; justify-content: space-between;"> <div> A <input type="checkbox"/> </div> <div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> _____ </div> </div>										B <input type="checkbox"/>	
											<input type="checkbox"/> <input type="checkbox"/>	

4. ADDITIONAL INFORMATION	
---------------------------	--

5. RESTRICTIONS	
-----------------	--

6. LANGUAGE SKILLS	
--------------------	--

Annex G - Information to be contained in the certificate register

What information do I need to keep on the register of certificates? The basic parameters for registers of certificates are set out in Annex II of [Commission Decision of 29 October 2009 2010/17/EC](#) (in accordance with [Article 22\(4\) of Directive 2007/59/EC](#). Incorporated into UK law They are:

- data to be collected;
- data format;
- accessing the information in the register;
- data exchange;
- how long data is retained; and
- procedures in the event of bankruptcy.

Data to be collected and data format

Your register of certificates must be comprised of 4 sections.

- Section 1 contains information about the current state of the licence held by the train driver.
- Section 2 contains information about the certificate issued, as listed in Annex I, Section 3, of Directive 2007/59/EC incorporated into UK law
- Section 3 contains historical information about the certificate.
- Section 4 contains information about basic requirements and initial checks to allow the certificate to be issued and about subsequent checks to be recorded to allow the certificate to remain valid.

You must provide information on the train driver's current knowledge of rolling stock, infrastructure and linguistic knowledge (as assessed in accordance with the relevant part of Directive 2007/59/EC) in Section 2, including the date of the next expected assessments. After these assessments have been carried out, you should move the information into section 3 and the new information from the assessments should be included in section 2.

Information on the data to be collected and format is set out in the table at the end of this Annex.

Rights to access the data

You must give access to the information in the register to the following interested parties when being used for the following purposes:

- A competent authority (safety authority) of the Member State (in this case ORR) in accordance with article 22(2)(b) of Directive 2007/59/EC
- to competent authorities of the EEA Member States in which the railway undertaking or infrastructure manager operates, and where the driver is authorised to drive on at least one line of the network:
 - for their task of monitoring the development of certification, under Article 19(1)(g) and Article 26 of Directive 2007/59/EC;
 - for their inspection tasks under Article 19(1)(h) and (2) and Article 29(1) of Directive 2007/59/EC (this task may be carried out by a delegated entity);
- to train drivers, for the data concerning them, in accordance with Article 22(3) of Directive 2007/59/EC;
- to investigation bodies set up in accordance with Article 21 of Directive 2004/49/EC, for investigating accidents, in particular as stated in Article 20(e) and (g) of that Directive.

You may grant access to the register to other users, subject to the legal requirements on personal data protection.

Data exchange

You must grant access to relevant data in accordance with Directive 2007/59/EC to:

- to the competent authorities where the railway undertaking or infrastructure manager is domiciled, in accordance with Article 22(2)(b) of Directive 2007/59/EC,
- to drivers, upon request, in accordance with Article 22(3) of Directive 2007/59/EC.;

You must provide the data, without delay, in a manner which ensures secure transmission of information and protection of personal data.

You may offer login facilities on your website to all who have access rights, provided you ensure that reasons for requests are checked.

Duration of data retention

You must keep all data in the certificate register for at least 10 years from the last expiry date referred to on the certificate.

If at any time during this 10-year period an investigation involving the driver is started, you must keep data relating to the driver beyond the 10-year period if so required.

Any changes in the register shall be recorded.

Procedure in case of bankruptcy

If your company goes bankrupt, the railway undertaking or infrastructure manager taking over the operation of the service also takes over responsibility for the data contained in the register of certificates.

Where another railway undertaking or infrastructure manager does not take over, then ORR, as the safety authority, become the repository of data contained in the register of certificates.

No	Datum to be displayed		
	Content	Format	Status of the requirement

Section 1: Reference to the licence

1	Licence number		
1.1	Number of the licence, giving access to data in the national register	EIN (12 digits)	Compulsory
2	Current state of the licence		
2.1	Evidence of the current state of the licence <ul style="list-style-type: none">ValidSuspendedWithdrawn	text	Compulsory

Section 2: Information about the current certificate issued, as listed in Annex I, Section 3, of Directive 2007/59/EC

3	Surname(s) of the holder (the same of the licence)			
3.1	Surname(s) displayed on passport or national identity card or other recognised document proving identity. More surnames are allowed, depending on national custom	text	Compulsory	
4	Name(s) of the holder (the same of the licence)			
4.1	Name(s) displayed on passport or national identity card or other recognised document proving identity. More names are allowed, depending on national custom	text	Compulsory	
5	Date of birth of the holder			
5.1	Date of birth of the holder	YYYY-MM-DD	Compulsory	
6	Place of birth of the holder			
6.1	Place of birth of the holder	text	Compulsory	
7	Date of issue of the certificate			
7.1	The current date of issue of the certificate	YYYY-MM-DD	Compulsory	
8	Date of expiry of the certificate			
8.1	Date of the expected formal expiry of the certificate, to be set by the company and included in the procedure required in Article 15 of Directive 2007/59/EC.		YYYY-MM-DD	Compulsory
9	Name of issuing entity			
9.1	Name of the entity issuing the certificate (railway undertaking, infrastructure manager, other)	Text	Compulsory	
10	Reference number assigned to the employee by the employer			
10.1	Company reference for the train driver	Text	Optional	
11	Photograph of the holder			
11.1	Photograph	Original or Electronic scanning	Compulsory	
12	Signature of the holder			
12.1	Signature	Original /Photocopy/ Electronic scanning	Compulsory	
13	Permanent place of residence or postal address of the holder			
13.1	Address of the holder	Street and number	Text	Optional
13.2		Town	Text	Optional
13.3		Country	Text	Optional
13.4		Postcode	Alpha-numerical code	Optional
13.5		Telephone number		

13.6		e-mail address		
14	Address of the railway undertaking or infrastructure manager for which the driver is authorised to drive			
14.1	Address of the RU/IM	Street and number	Text	Compulsory
14.2		Town	Text	Compulsory
14.3		Country	Text	Compulsory
14.4		Postcode	Alpha-numerical code	Compulsory
14.5		Contact person	Text	Optional
14.6		Telephone number	text	Compulsory
14.7		Fax number	text	Compulsory
14.8		e-mail address	text	Compulsory
15	Category in which the driver is authorised to drive			
15.1	Relevant code(s)		Text	Compulsory
16	Rolling stock which the driver is authorised to drive			
16.1	(list, record to be repeated)		Text	Compulsory
16.2	For each item the date of next expected check shall be added		YYYY-MM-DD	Compulsory
17	Infrastructure on which the driver is authorised to drive			
17.1	(list, record to be repeated)		Text	Compulsory
17.2	For each item the date of next expected check shall be added		YYYY-MM-DD	Compulsory
18	Language skills			
18.1	(list, record to be repeated)		Text	Compulsory
18.2	For each item the date of next expected check shall be added		YYYY-MM-DD	Compulsory
19	Additional information			
19.1	(list, record to be repeated)		Text	Compulsory

Section 3: Historical records on the status of the certificate

21	Date of first issue		
21.1	Date of first issue of the certificate	YYYY-MM-DD	Optional
22	Update(s) (Several records are possible)		
22.1	Date of update	YYYY-MM-DD	Compulsory
22.2	Details of and reason for update (correction of one or more data displayed on the certificate, e.g. personal address of the driver)	Text	Compulsory
23	Amendment(s) (Several records are possible)		
23.1	Date of amendment	YYYY-MM-DD	Compulsory
23.2	Reason for amendments, referring to specific parts of the certificate: amendments in field 3 "Categories of driving" amendments in field 4 "Additional Information" amendments in field 5: new linguistics knowledge acquired or knowledge periodically checked amendments in field 6 "Restrictions" amendments in column 7: new rolling stock knowledge acquired or knowledge periodically checked amendments in column 8: new infrastructure knowledge acquired or knowledge periodically checked	Text	Compulsory
24	Suspension(s) (Several records are possible)		
24.1	Length of period of suspension	From (date) to (date)	Compulsory
24.2	Reason for suspension	Text	Compulsory
25	Withdrawal(s) (Several records are possible)		
25.1	Date of withdrawal	YYYY-MM-DD	Compulsory
25.2	Reason for withdrawal	Text	Compulsory
26	Certificate reported lost		
26.1	Date of communication	YYYY-MM-DD	Compulsory
26.2	If yes, date of issued duplicate	YYYY-MM-DD	Compulsory
27	Certificate reported stolen		
27.1	Date of communication	YYYY-MM-DD	Compulsory
27.2	Date of any duplicate issued	YYYY-MM-DD	Compulsory
28	Certificate reported destroyed		
28.1	Date of communication	YYYY-MM-DD	Compulsory
28.2	Date of any duplicate issued	YYYY-MM-DD	Compulsory

Section 4: Historical records in connection with the basic requirements for issuing a certificate and the results of periodic checks

	Linguistic competence			
	Basic requirement	Working language(s) for which a statement that the criteria set out in Annex VI(8) of Directive 2007/59/EC had been fulfilled was issued	Text	Compulsory
29.2	Periodic check	Date of certified knowledge (exam passed) for each language. Several records are possible.	YYYY-MM-DD	Compulsory
30	Rolling stock knowledge			
30.1	Basic requirement	Rolling stock for which a statement that the criteria set out in Annex V of Directive 2007/59/EC had been fulfilled was issued	Text	Compulsory
30.2	Periodic check	Date of periodic check (certified knowledge) Several records are possible.	YYYY-MM-DD	Compulsory
31	Infrastructure knowledge			
31.1	Basic requirement	Infrastructure for which a statement that the criteria set out in Annex VI of Directive 2007/59/EC had been fulfilled was issued	Text	Compulsory
31.2	Periodic check	Date of periodic check (certified knowledge).Several records are possible.	YYYY-MM-DD	Compulsory



© Crown copyright 2021

This publication is licensed under the terms of the Open Government Licence v3.0 except where otherwise stated. To view this licence, visit nationalarchives.gov.uk/doc/open-government-licence/version/3.

Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

This publication is available at orr.gov.uk

Any enquiries regarding this publication should be sent to us at orr.gov.uk/contact-us

