

Safety Certificate / Authorisation Assessment

Paul Appleton
2 December 2011



Great Britain rail network map



1



Background information

- 15,777 km of track
- 1,353 Million passenger journeys
- Passenger revenue £6,620 million
- Government support to railway £3,960 million
- 24 passenger train operators
- 4 main freight operators
- There have been no passenger or workforce fatalities in train accidents for 4 years
- 8 passengers died on stations & 1 worker

2



Office of Rail Regulation

- The ORR has two regulatory functions
 1. Economic regulation
 - licencing transport operators
 - Regulating track, station and depot access
 - Ensuring fair competition
 - Every 5 years: Review to determine the charges the infrastructure manager can make to cover its costs and deliver the outputs required.
 - Over 5 years: monitor the infrastructure manager to make sure it delivers the outputs required, and (if needed) fine it if it does not.
 2. Safety regulation

3



Office of Rail Regulation

- The ORR has two regulatory functions
 1. Economic regulation
 2. Safety Regulation
 - Assessing Safety certificate & Authorisation applications.
 - Makes sure railway companies have proper management systems to control safety risks
 - Supervision of railway companies
 - Checks that the railway companies are managing safety properly every day.
- ORR budget £31 million and 285 staff, paid for by a levy on railway company turnover.



Safety Regulation

- ORR's inspectors have wide ranging powers, they can use whilst carrying out their role:
 - Collect evidence – document, computers, photographs, interview staff, examine articles, etc
 - Give advice
 - Issue Improvement or Prohibition notices
 - Prosecute companies & individuals

5



Safety Certificates / Authorisations

- Emphasis is on Safety Management System (SMS)
- Same process and standard used across the EU
- Safety Certificate – Train Operators
- Safety Authorisation – Infrastructure Managers includes station operators

6



Purpose of Assessing Safety Certificates / Authorisations

- Make duty-holders think
- Focus on risks and how they manage them.
- Make us think
- Opportunity to challenge.
- Helps us diagnose an organisation's management capabilities and attitude....and improve it.

7



Part A & Part B Safety Certificates

- Describes a train operators Safety Management System
- Part A: Valid across Europe
 - Transferable across EU, but only for equivalent operation;
- Part B: Only valid for specific operation
 - Non-transferable (network specific);
 - Cannot last longer than Part A.

8



Safety Authorisation

- Describes the Safety Management System of the Infrastructure Manager
- Infrastructure includes track, signalling, telecom equipment and stations
- In Great Britain as the train operators generally also run the stations they hold both Safety Certificates and an Authorisation

9



Time limit for National Safety Authority's decision

- 4 months from receipt
- PLUS time for 'further information'
- But remember no Certificate/Authorisation = no operation!!!!!!!!!!

10



The overall regime: our approach

- Straight-forward assessment process & criteria
- For re-submissions, bring your knowledge of the duty-holder from previous inspections to the assessment work
- Focus is on showstoppers (the main things that are wrong)
- Link to post-issue supervision
- Well balanced and rigorous

11



Application evidence

- Test: **Is the safety management system capable of delivering safety?**
- Answer to test: weigh what is written (or missing) against each of the assessment criteria
- The application should give an overview of their systems
- The application should provide references to company systems and procedures

12



Company standards, procedures, etc.

- We do not normally look at copies of the applicants procedures, risk assessments, etc during the assessment process
- But you can request that information if you think it is necessary e.g. new company

13



Assessment Criteria

- The assessment criteria come from two Commission Regulations that set out the:
- Common Safety Method assessing conformity with the requirements for obtaining railway safety Certificates and Authorisations
- In the ORR we use these criteria but to assist our inspectors and the companies we have drafted additional guidance to explain the criteria

14



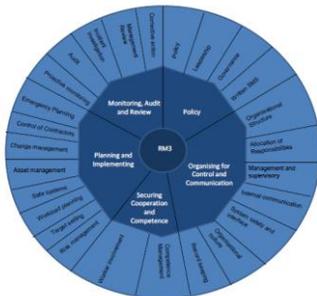
Safety Management System

- The assessment criteria act as a guide for both railway companies drafting applications for Safety Certificates/Authorisations and the National Safety Authority people assessing the document
- The criteria when taken as a whole should describe the applicant's Safety Management System

15



Model of a Safety Management System



16



Assessment Process

- Planning
- Initial screen (pass/fail)
- Main assessment
- Meet applicant (further information, supporting evidence)
- Assurance stage
- Final decision and sign-off of the Certificates / Authorisation
- Post-issue inspection

17



Planning of the Assessment

- In general should be straightforward
- Should take place long **before** an application is received - for anticipated applications (i.e. most) should be part of your annual planning cycle
- Aim is to ensure that applications are received in good time and sufficient staff time is available to do the work
- Should plan for both assessment and assurance
- Key is talking to the applicant well in advance of submission to ensure everyone understands what they need to do and by when

18



Initial Screen

- First check administrative details
- Second check that there is sufficient evidence provided against each criteria
- Takes about a day for a train operating company
- If the application is missing key evidence then you would ask the company for "further evidence"
- Whilst you are waiting for the "further evidence" you can choose to stop the clock on the 4 month decision period

19



Main Assessment

- Test: **Is the safety management system capable of delivering safety?**
- Answer to test: weigh what is written (or missing) against each of the assessment criteria
- The application should give an overview of their systems
- The application should provide references to company systems and procedures (supporting evidence)

20



What is Supporting evidence?

(Reminder: In general no copies of company procedures, standards or risk assessment are required during the assessment process
BUT they can be requested)

- Procedures
- Risk assessments
- Training programmes
- Company standards
- Etc.

21



Supporting evidence

• Why might it be necessary?

To give reassurance, e.g.:

- New duty holder;
- Duty holder with recent record of accidents;
- New technology.

22



Further information & supporting evidence

- "Further information" forms part of the application,
- "Supporting evidence" does not.

23



Thank you for listening

Do you have any questions?

Paul Appleton

HM Principal Inspector of Railways

paul.appleton@orr.gsi.gov.uk

30

