



A Direction for Railway Group Standards

Issue One

**Approved by the
Industry Standards Coordination Committee**

23 April 2010

ISCC/007

Email: enquirydesk@rssb.co.uk
www.rssb.co.uk

Issue record

Issue	Date	Comments
One	April 2010	Original document

Contents

1	Introduction.....	4
2	Progress in delivering the Strategy for Standards Management	4
3	What remains to be delivered?	5
4	Standards Committee approaches to delivery of the filtering and disposition of measures.....	6
5	An alternative to organising remaining mandatory measures into single documents.....	6
6	Conclusion.....	8

1 Introduction

- 1.1 The Strategy for Standards Management was approved by the Board of RSSB and it was published in October 2005.
- 1.2 Progress in delivering the Strategy for Standards Management has been reviewed by the Industry Standards Co-ordination Committee (ISCC) who considered what remains to be delivered and the lessons learnt.
- 1.3 As a result of this review, ISCC have established a future direction for Railway Group Standards (RGSs), documented in this paper.
- 1.4 The scope of this document excludes the Rule Book (GE/RT8000) (which is the subject of the 'New Approach' project) and other National Operations Publications (for example, the Working Manual for Rail Staff).

2 Progress in delivering the Strategy for Standards Management

- 2.1 The Strategy for Standards Management ('the Strategy') stated:
All future Railway Group Standards (RGSs) will only mandate measures in the areas of interface/co-operation between different duty holders. Where measures currently in a RGS affect only one duty holder, they will be de-mandated and disposed of through an agreed process.
- 2.2 It is this element that most people mean when they refer to the Strategy. However, the Strategy is far wider than this. The Executive Summary of the documented Strategy listed the following key elements:
 - a) RGSs to only mandate measures in the areas of interface/co-operation between different duty holders (the element referred to above).
 - b) Substantial reduction in the number of mandatory RGSs
 - c) Modification of the Railway Group Standards Code
 - d) Organising remaining mandatory measures into single documents like TSIs
 - e) Publication of non mandatory standards and the output of cross-industry groups involved with standards
 - f) Creation of Industry Standards Co-ordination Committee
 - g) Combining of Subject Committees and Mirror Groups
 - h) More targeted consultation
- 2.3 The Executive Summary noted that 'The key elements of the strategy, ... are designed to align with the European standards framework, contribute to simplifying the GB system of standards, avoid duplication and address identified concerns over standards'.

- 2.4 All elements of the Strategy dealing with changes to organisational and governance arrangements have been delivered (elements 3, 5, 6, 7 and 8). Although substantial progress has been made, delivery of those elements involving changes to Railway Group Standards themselves (elements 1, 2 and 4) is not yet complete.
- 2.5 The next section of this document considers what remains to be delivered.

3 What remains to be delivered?

- 3.1 As noted in section 2, delivery of those elements involving changes to Railway Group Standards themselves (elements 1, 2 and 4) is not yet complete.
- 3.2 Element 2 is simply a consequence of the delivery of element 1, and therefore these two elements can be considered together.
- 3.3 The Strategy envisaged a two stage approach to the delivery of elements 1+2. It stated (Strategy, section 2.1):

The first stage consists of the filtering and disposition of measures within a logical grouping of standards, known as packages – for instance all of the standards relating to stations. At the end of the first stage, a single RGS will remain covering all of the measures that relate to stations, and the equivalent for all other ‘packages’. When all of the relevant packages for the railway subsystem have been completed, it will be a relatively straightforward task to combine them into one document that will contain all the GB measures relating to that subsystem, covering the same areas as TSIs – eg one each for infrastructure, energy, rolling stock, control command and signalling, operations and, possibly, one for telematics.
- 3.4 Although not yet complete, good progress continues to be made on the delivery of the first stage envisaged by the Strategy, with a progressive reduction in the numbers of both measures and current Railway Group Standards. The amount of progress made varies from subsystem to subsystem, depending on the complexity of the task. Actual progress will be reported separately to ISCC by the chairmen of Standards Committees in their regular attendance at ISCC.
- 3.5 Each Standards Committee has adopted an individual approach to delivery of elements 1+2, adapted to suit the particular circumstances relating to the RGS for which the committee is the lead. This is considered further in section 4 below.
- 3.6 No action has been taken on the delivery of element 4, organising remaining mandatory measures into single documents like TSIs. This is in part because its delivery requires the completion of the first stage of elements 1+2, and in part because, although the ‘single document like TSIs’ set a useful target when initiating the Strategy, experience now indicates that this is no longer the most appropriate solution for remaining domestic standards. The reasons for this are set out in section 5 below.

4 Standards Committee approaches to delivery of the filtering and disposition of measures

- 4.1 The individual approaches taken by Standards Committees to the delivery of the filtering and disposition of measures have identified a number of broad principles. These will continue to guide the approach to be taken in the delivery of the filtering and disposition of measures:
- a) The revision of RGS to remove out-of-scope measures should proceed pragmatically. Where a standard contains only a few out-of-scope measures, and these measures do not impose an unreasonable constraint on duty holders, revision of the RGS to withdraw the out-of-scope measures may be deferred until the RGS is revised for other, more significant reasons.
 - b) Revision of RGS should recognise that, long term, the principal functions of RGS will be to document the detailed requirements needed to support GB specific cases within TSIs, to document the choices made by GB when TSIs allow options, and to maintain compatibility between new assets and existing assets and operating practices.
 - c) Where measures in RGS are required to fill open points within TSIs (including the cases where there are not yet TSIs – for example, an Infrastructure TSI for non-TEN routes), the RGS should be revised with this purpose in mind.
 - d) Where a substantial number of measures in RGS are missing, the missing measures should be developed on the basis of a systematic analysis of the subsystem concerned. This activity should take priority over the filtering of existing measures. [This principle is applicable to the Energy subsystem.]
- 4.2 The detailed application of the principles to each subsystem will be documented in the relevant Standards Committee's strategic plan (as called for in ISCC's strategic plan).

5 An alternative to organising remaining mandatory measures into single documents

Measures that fall outside the scope of TSIs

- 5.1 TSI are principally concerned with requirements that must be met before a sub-system is placed into service, to ensure it meets the 'essential requirements'. They also contain a small number of requirements that set in-service limits that are to be maintained throughout the life of the subsystem once it has been placed into service to ensure it continues to be interoperable (for example, flangeway dimensions in Switches and Crossings, specified in the CR Infrastructure TSI).

- 5.2 However, the scope of RGSs set out in the Railway Group Standards Code is wider than that of TSIs. In particular they include a number of 'processes for cooperation' – for example, GE/RT8270 Assessment of Compatibility of Rolling Stock and Infrastructure and GO/RT3119 Accident and Incident Investigation. Some of these are notified as National Safety Rules.
- 5.3 It is not appropriate to include measures that fall outside the scope of TSIs within 'single documents like TSIs'.

Standards for compatibility assessment

- 5.4 The concept of compatibility assessment has been significantly developed as a result of the efforts put into drafting and gaining agreement to GE/RT8270 Issue 2 (Assessment of Compatibility of Rolling Stock and Infrastructure). The core of GE/RT8270 is a process for cooperation. However, the process requires supporting technical standards that define how compatibility at particular interfaces should be assessed, and that set out the criteria for deciding that there is a good fit or safe clearance (as appropriate) at that interface.
- 5.5 Typically these technical standards define a two step process – a simple assessment of compatibility by means of a common system of categorisation (for example, Route Availability numbers and standard vehicle gauges), where compatibility is simply established by comparing categories (RA 3 rolling stock is compatible with RA 3 or higher infrastructure); and more complex analysis based on actually asset characteristics where the simple comparison of categories fails.
- 5.6 Technical standards defining how compatibility at particular interfaces is assessed typically contain the complementary requirements for both sides of an interface (infrastructure and rolling stock), and may refer to a common reference or gauge. GE/RT8073 is an example, where both the infrastructure and rolling stock requirements refer to a suite of standard vehicle gauges that are common to both, though the application rules are different in each case.
- 5.7 These standards for compatibility assessment do not fit easily into the 'single documents like TSIs' model. They do not deal with requirements that must be met before a sub-system is placed into service. They apply to any change, including those that do not involve placing a sub-system into service (for example, transferring rolling stock to a new route). Neither do they set in-service limits that are to be maintained throughout the life of the subsystem once it has been placed into service.

Other factors

- 5.8 There are three additional factors that indicate that 'single documents like TSIs' are not the best solution for GB domestic standards:
- a) Users of standards generally prefer documents that are targeted at their specific subject areas or disciplines. For example, track engineers do not use bridge design standards.

- b) Smaller standards are easier to manage and adapt to changing circumstances than large standards. If a standard is opened to make a small, specific, revision, consultation will result in suggestions for yet further changes throughout the document. Smaller standards will assist in focusing change where it is specifically requested by the industry, rather than as responses to passing 'good ideas'.
- c) The RGS Catalogue is the means of bringing all RGS requirements together, ensuring everybody has a complete picture of the mandatory requirements in RGS. A single document for each subsystem is not required to achieve this.

Implications for the future direction of RGSs

- 5.9 'Single documents like TSIs' will not be pursued for the reasons set out above.
- 5.10 Whilst each Standards Committee will need to develop its own specific model, a number of broad principles have been established to guide the approach that should be taken to organising the mandatory measures retained in RGS:
 - a) Determine the number and organisation of RGSs that best suits the needs of users, and deliver this. This is expected to result in further reductions in the number of standards (but not to the point of having a single standard for each subsystem).
 - b) Create standards that cover a distinct discipline or subject area, useful to particular groups of users.
 - c) Differentiate between standards based on the type of measures they contain, for example:
 - i) Standards containing 'processes for cooperation'
 - ii) Standards containing measures used as National Safety Rules
 - iii) Standards containing operating rules
 - iv) Technical standards for compatibility assessment at particular interfaces
 - v) Technical standards containing measures that describe how something is to be designed, built, altered or maintained in service (which may be required as national technical rules)

6 Conclusion

- 6.1 The principles set out in the Strategy for Standards Management have stood the test of time, and remain sound.
- 6.2 Delivery of all elements of the strategy except those involving changes to Railway Group Standards themselves were complete by publication of Issue Two of the Standards Manual in December 2009.
- 6.3 Section 4 of this paper identifies a number of broad principles that guide the continuing approach to be taken by Standards Committees in the delivery of the filtering and disposition of measures.

- 6.4 Remaining mandatory measures will not be organised into single documents like TSIs, but Railway Group Standards will continue to be produced and organised to suit the users of the standards and to make maintenance of the documents more manageable. This is expected to result in further reductions in the number of standards (but not to the point of having a single standard for each subsystem).
- 6.5 In view of the progress made in delivering the Strategy for Standards Management, the strategy document is now withdrawn and replaced by this document, a 'Direction for Railway Group Standards'.