

# ROGS IMPLEMENTATION BRIEFING 2006

## **Railways and other Guided Transport Systems (Safety) Regulations 2006 (ROGS)**

### **Implementation Briefing September/October 2006**

Supported by:

ATOC, C2C Rail, Chiltern Railways, EWS, First Engineering, First Group, Freightliner, Grantrail on behalf of ISLG, LUL, National Express, Network Rail, ORR, Porterbrook, South West Trains, RIA, and RSSB

## **Development, consultation and scrutiny of new safety management systems**

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## Development, consultation and scrutiny of SMS

In this session we will:

- Briefly run through the process
- Focus on what the regulator will be looking for
- Touch on some other key issues

## Development, consultation and scrutiny of SMS

### Where we are now:

- Period of transition
- Moving from safety cases to deemed certificates/authorisations
- Underlying assumption on adequacy of the SMS
- Template

## Development, consultation and scrutiny of SMS

### Applying 'for real'

- Planned timetable for transferring from safety cases to certificates and authorisations
- Contact HMRI account holder (or HMRI central admin team) for advice

# ROGS IMPLEMENTATION BRIEFING 2006

## Development, consultation and scrutiny of SMS Application – who needs what?

ROGS SMS & cert/auth	ROGS SMS only	Neither
Mainline railway transport undertakings (TUs) and infrastructure managers(IMs)	Tramways	Use of a vehicle within a possession
Metro systems TUs and IMs	Transport systems max speed <40kph	Goods/maintenance depots/sidings
Any other guided transport system		System within mine, harbour, factory
		Sundry other (reg 2(1))

## Development, consultation and scrutiny of SMS

- **Mainline Safety certificates: Part A/Part B**
  - Part A:
    - Demonstrates that the holder's SMS meets the requirements of ROGS (valid EU wide).
  - Part B:
    - Demonstrates that the holder has adopted provisions necessary to ensure safe operation (valid in member state of issue only).

## Development, consultation and scrutiny of SMS

- **Non-mainline Safety Certificate:**
  - Demonstrates that the holder's SMS meets the requirements of ROGS and has adopted provisions to ensure safe operation.
- **All Safety Authorisations:**
  - Demonstrates that:
    - the holder's SMS meets the requirements of ROGS; and
    - has adopted provisions necessary for the safe design, maintenance and operation of the infrastructure.

# ROGS IMPLEMENTATION BRIEFING 2006

## Development, consultation and scrutiny of SMS What is the regulator looking for?

- Application evidence
  - Overall test: is the safety management system capable of delivering safety?
- What's required?
  - Overview of systems
  - Specific signposts (to systems and procedures)
- And not required?
  - No copies of procedures or risk assessment required  
BUT CAN BE REQUESTED IF THOUGHT NECESSARY
- Judged against the HMRI assessment criteria

## Development, consultation and scrutiny of SMS

- **Assessment Criteria**

Different sets for:

- Mainline transport undertaking
- Mainline infrastructure manager
- Non-mainline transport undertaking
- Non-mainline infrastructure manager

## Development, consultation and scrutiny of SMS

- **Assessment Criteria (cont.)**
  - 15-16 criteria for each category;
  - Tailored to requirements of the regs.;
  - Largely SMS based.

## Development, consultation and scrutiny of SMS

- Examples of assessment criteria for mainline transport undertaking:
  - Part A:
    - Type and extent of operations
    - Training and maintenance of competence
  - Part B
    - Types of work and compliance with standards

# ROGS IMPLEMENTATION BRIEFING 2006

## Development, consultation and scrutiny of SMS

### Key differences between IM and TU submissions

<b>Infrastructure manager</b>	<b>Transport undertaking</b>
Particulars of the infrastructure	Type and extent of operation
Co-operation <u>and</u> arrangements for TUs to operate safely	Co-operation
Emergency planning: own arrangements + how co-ordinates with TUs	Emergency planning: own arrangements only
Safe design of the infrastructure	National and International Standards and legislative requirements
Safe maintenance of the infrastructure	Types of work and compliance with standards
Safe operation of the infrastructure	Types of rolling stock and compliance with standards

## Development, consultation and scrutiny of SMS

- Process
  - Initial screen (pass/fail)
  - Representations from ‘affected parties’
  - Main assessment
  - Meet applicant (further info & supporting evidence)
  - Assurance stage
  - Final decision and sign-off
  - Post-issue inspection

## Development, consultation and scrutiny of SMS

- Other issues
  - Consulting affected parties
  - Amendments to certificates and authorisations
  - Renewals

# ROGS IMPLEMENTATION BRIEFING 2006

## Development, consultation and scrutiny of SMS ROGS/safety cases - comparisons

	RSC	ROGS
Assessment process	Detailed	High level
Assessment time limit	None	Yes
Validity	3 years	5 years
Approval of changes	All material revisions	Substantial only
Exemptions	Many (100 – 150)	Few
Revocation	No	Yes
IM involvement	Direct	Indirect

## Development, consultation and scrutiny of SMS

- Guidance
  - HMRI assessment manual <http://www.rail-reg.gov.uk/upload/pdf/284.pdf>
  - Assessment criteria <http://www.rail-reg.gov.uk/upload/pdf/285.pdf>