

# 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

## **New safety regulatory framework**

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## New safety regulatory framework

- Why?
- What do they replace?
- What are the main changes?

## New safety regulatory framework

- **What is ROGS?**  
ROGS is a new set of national regulations which define the safety management regime to be adopted across all UK rail companies from October 2006.
- **What does it stand for?**  
Railways and other Guided Transport Systems (Safety) Regulations 2006.

## New safety regulatory framework

- **Why a new set of regulations?**

In a word..... Europe but also aspiration to simplify domestic UK rail safety regulatory structure.

- **Let me explain more!**

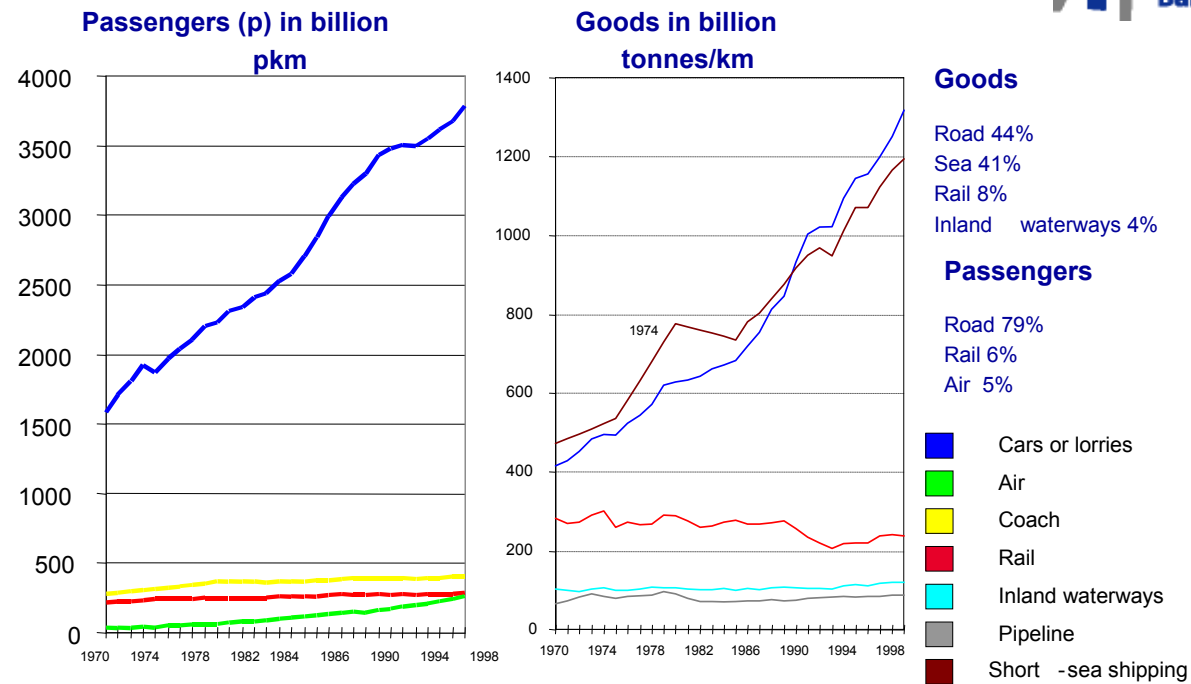
EU objective to improve the competitiveness of rail as a transport mode.

More competitive rail sector will grow market share which in turn will reduce environmental impact of transport.

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## New safety regulatory framework

### Deterioration of the modal split



## New safety regulatory framework

EU has introduced a new legislative regime for safety:

- **Regulation EC 881/2004:** Establishment of European Rail Agency (ERA)
- **Directive 2004/49/EC:** Railway Safety Directive – Establishment of standardised approach to safety management systems
- Interoperability Directives
  - 96/48/EC High Speed
  - 2001/16/EC Conventional
  - 2004/50/EC Amendment

## New safety regulatory framework

HM Government has developed and introduced Regulations on the following:

- Interoperability
- Access to Training
- Accident Investigation
- Safety (ROGS)

## New safety regulatory framework

### **What does ROGS replace?**

- The Railways (Safety Case) Regulations 2000
- The Railways (Safety Case) (Amendment) Regulations 2003
- The Railways (Safety Critical Work) Regulations 1994
- The Railways and other Transport Systems (Approval of Works, Plant and Equipment) Regulations 1994 (ROTS)

## New safety regulatory framework

- **Key provisions of ROGS?**
- Replaces Railway Safety Cases (RSC) with standardised safety management systems (SMS) for infrastructure managers (IM) and train operators
  - Part A generic – SMS (policies, procedures, methods and controls).  
Authorised by National Safety Authority (NSA) of home member state, recognised through EU.
  - Part B demonstration of controls to implement specific requirements of each member state.  
Authorised by NSA of relevant member state(s)  
Time scales are specified for how quickly the NSA will process applications.

## New safety regulatory framework

- Development of an SMS requires positive identification of affected parties, consultation with these parties and opportunity for them to formally review final submission.
- Authorised or certificated SMS is then valid for 5 years.
- Provides for full or part removal of authorisation or certification by NSA
- Removes requirement for NSA to authorise changes to an SMS unless substantial in terms of “type or extent”
- Removes the residual system safety responsibilities of Network Rail as Infrastructure Controller. Each operator now bears full responsibility for safety of the system, each for their own part

## New safety regulatory framework

- Enhances the Duty of Cooperation between IM and train operators for maintenance and improvement of system safety performance. Also requires Duty of Cooperation between railway systems.
- Makes the IM responsible for coordination of emergency plans
- Removes “in possession” train operation from scope and places this responsibility under the IM
- Removes the requirements for an annual third party SMS audit
- Introduces the requirement for new or amended assets to be authorised prior to placement into service under either the interoperability regime or in accordance with a formal safety verification regime

## New safety regulatory framework

- Refines safety critical work regime and requires SMS to demonstrate control regime including fitness and fatigue
- Undertake a comprehensive risk assessment and regularly update
- Prepare an annual safety report and submit to NSA