

STRATEGY FOR STANDARDS MANAGEMENT

OCTOBER 2005

Foreword

The future of Railway Group Standards is in your hands

On the 19th January 2004, the rail industry took control of Railway Group Standards (RGSs) through the introduction of the Railway Group Standards Code (RGSC). In November 2004 the first version of this strategy was approved and published charting a course for a radical change in standards.

This second version of the **strategy for standards management** updates the first version with the benefit of the experience of working to implement it over recent months, and details progress in areas that were identified for further action, particularly in relation to cross-industry committees. This document also introduces proposed revisions to the RGSC to reflect the strategy and good housekeeping changes reflecting the changed industry/government relationship. The arrangements for RSSB to adopt the product of cross-industry groups are set out for the first time.

The number of mandatory measures within Standards is still expected to halve, with the other half to be maintained as voluntary standards, guidance or migrated to support duty holders' safety management systems. Some will disappear.

Many interfaces between duty holders will in future be governed by Technical Specifications for Interoperability (TSIs) – and be determined at European level. Current arrangements for influencing TSIs are described in an annex, but need to be refocused on the emerging European Rail Agency. This strategy enables the alignment of RGSs with the structure of European Standards - to make things simpler for users of standards.

The implementation of the strategy is proceeding – **we are getting on with it**. However, when the changes are taken together, they represent a **significant shift, enabling duty holders to take more direct control over their own activities**. Because it has now been decided to clarify the scope of RGSs within the RGSC, and to make some good housekeeping changes, a revised Code has been developed and will be formally consulted in accordance with the terms of the Code. It is planned to implement the revised Code in early 2006. Following the implementation of a whole suite of new Regulations, the Code will be further reviewed and a potentially significant simplification will be considered by the Industry Standards Co-ordination Committee (see Annex A).

This updated strategy is the product of a significant collaborative effort by representatives of all categories of RSSB membership and RSSB staff. I should like to record my appreciation to members of the Interim Industry Standards Committee (IISC) and RSSB staff for the contributions they have all made, and for the support they have offered to RSSB and each other as we have set about implementing the strategy.

Anson Jack

Rail Safety and Standards Board

OCTOBER 2005

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EXECUTIVE SUMMARY

This document is a strategy for:

- The development and future maintenance of those standards (and related documents) under the management of Rail Safety and Standards Board (RSSB).
- Cross-Industry Committees relating to Standards.
- Some elements of RSSB members' strategy for influencing the development of Technical Specifications for Interoperability (TSIs) and Euronorms (ENs).

It summarises the steps that are being taken to implement the strategy and the plan for the disposition of all current standards (Annex B).

The key elements of the strategy, which 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, are as follows:

1. 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. As a consequence of point 1. above, there will be a substantial reduction in the number of mandatory RGSs, with migration of around half of all measures currently in RGSs toward duty holders (subject to the usual standards change process).
3. The Railway Group Standards Code (RGSC) is being modified (through the change procedure) to clarify the change in scope of RGSs and to bring it up to date with recent changes in the industry.
4. Organising remaining mandatory measures into single documents governing all the requirements for each railway subsystem (eg Rolling Stock and Infrastructure) – like TSIs.
5. Introducing a set of rules to govern the publication of non mandatory standards, and for the adoption by RSSB of the output of any cross-industry group that is involved with standards.
6. The creation of an Industry Standards Co-ordination Committee – to fulfil the twin functions of the Standards Co-ordination Committee (under the RGSC) and the UK Co-ordination Systems Group (which co-ordinates the industry input to the development of TSIs in Europe).
7. The combining of Subject Committees (which approve RGS changes) and Mirror Groups (which co-ordinate and facilitate the parallel inputs of the industry players to the development of TSIs in European Groups)
8. The introduction of more targeted, but transparent, consultation.

The strategy and implementation plan have been developed by the Interim Industry Standards Committee (IISC), an industry stakeholder group, through a collaborative process, which has been led and project managed by RSSB, and builds on the work that was published in November 2004 following approval by the Standards Co-ordination Committee (SCC). The members of the IISC are listed in Annex G.

The strategy is supported by a set of guiding principles, a measures 'filter' and a set of working definitions - all of which form an integral part of this strategy (and are published on RSSB's web site).

It should be noted that although the CTRL infrastructure comes within the scope of high speed interoperability, the infrastructure owner, CTRL(UK) Ltd is not a member of the Railway Group. RGSs do not apply to the CTRL (unless adopted voluntarily), and instead CTRL standards are in force which are appropriate for high speed (up to 300 kph) operation. Hence references to GB system of standards or the GB rail industry position throughout this strategy document relates principally to Network Rail controlled infrastructure and should not be taken to imply that the CTRL or other Infrastructure Managers based in GB are included within the Railway Group or are in any way bound by RGSs.

CONTEXT AND INTRODUCTION

The three Interoperability Directives and the Safety Directive¹ will, as they increase in influence over the next few years, form the framework within which the GB rail network operates.

A set of guiding principles has been developed as part of the Standards Review. These are reproduced in full in Annex C of this strategy. They provide a framework for the future management of standards across the industry and can be summarised as follows:

- a) The 'European' approach provides the framework for the future and the steps set out in this strategy will migrate towards it.
- b) Many of the measures contained within the existing regime will need to continue for a considerable period, although convergence of both principle and detail will be encouraged.
- c) Only those parameters or processes that directly govern the ability of two (or more) duty holders to interface/co-operate with each other to the extent that harmonisation is required to deliver safety in the most economical way should be given the status of mandatory measures.
- d) The changes to standards management are not intended in themselves to bring about a change in overall safety levels.
- e) All future changes will seek:
 - Progressive simplification
 - Convergence with the European model

The guiding principles, and associated filter (reproduced in Annex D) have been developed to test and determine the future disposition of all existing mandatory standards. They can also be used to test other requirements set out in regulations and company standards suites to determine their future.

In addition to determining the future of RGSs, the 2004 Strategy identified changes to the existing process, and observed the workings of the RGSC (published in January 2004), to determine whether there are any lessons that can be implemented to improve the standards process for the benefit of the industry. A number of changes in the process were set out in section 4 of the original strategy and in this version the progress on implementing them is recorded.

The members of the Interim Industry Standards Committee and the RSSB Board concluded that all of the changes that are set out in this strategy should be adopted and, accordingly, this strategy was submitted and approved at the General Meeting of RSSB members on 13th October 2005.

¹ EC 96/48 (High Speed Interoperability) and EU 2001/16 (Conventional Interoperability), both as amended by EU 2004/50, and the Safety Directive – EU 2004/49

STRATEGY FOR STANDARDS MANAGEMENT

Standards that govern the way the railway system operates at present consist of:

1. TSIs;
2. RGSs (Notified National Technical Rules) temporarily filling gaps in TSIs; and
3. RGSs (residual national standards) covering subsystems not upgraded or renewed to TSI standards.

This strategy sets out the arrangements by which the standards under the control of RSSB will develop, and some of the arrangements for how the industry will influence TSIs. The following sections set out the arrangements and the changes that are being progressively made.

Key changes

1. Future disposition of existing standards

50% reduction in mandatory measures expected

The filter, together with its associated notes and definitions, provides a structured approach for the review of measures to determine their future role and is aligned with the guiding principles. This structure and the proposed packaging of work was approved by the Standards Co-ordination Committee (SCC) and all of the relevant Subject Committees (SCs).

An initial review of current standards using the filter suggests that approximately 50% of measures will be retained in a mandatory form – either to deal with temporary omissions in TSIs (Notified National Technical Rules) or as a residual national standard. All relate to an interface between different duty holders. A summary of the current programme for the disposition of standards is reproduced as Annex B.

The other 50% of measures can either be:

- Migrated to duty holders, to support their safety management systems;
- Maintained in a form of guidance that can be used by duty holders to support their safety management systems, ie as a voluntary standard (see section 2.6); or
- Withdrawn. If a measure is to be withdrawn because it does not qualify to be mandatory through the filter, but a related measure that would qualify is not present, the current measure will only be withdrawn when the gap in interface measures is filled.

Unless specifically requested by duty holders, once the transfers referred to in the paragraph above have taken place, RSSB will not participate in the development of measures that support single duty holders safety management systems.

2. Organising remaining measures into simpler documents

2.1 Progressive reduction and simplification

The process for reviewing standards has now been agreed by both the Interim Industry Standards Committee (IISC) and all the SCs. A two-stage approach has been adopted. 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.

This will reduce the headline number of RGSs over time from the present 230 or so standards to less than 10.

All measures, from the current suite of RGSs which continue, will be organised in such a way that it is clear whether they cover temporary omissions in TSIs (ie as Notified National Technical Rules – see section 2.10), or are purely domestic measures (ie Residual National Standards that will not be covered by TSIs).

Measures that only cover temporary omissions in TSIs will cease to have effect when (and if) the TSI is completed and will be withdrawn at that time.

Where particular subsystems are compliant with relevant TSIs, the equivalent domestic measures will cease to have effect. Measures can only be fully withdrawn if they are no longer relevant to the whole of the subsystem to which they relate. This may be either because the entire subsystem has become TSI compliant, or the measure only applies to new or upgraded assets and is therefore totally superseded by the TSI.

All future mandatory standards will continue to be called RGSs, although the measures contained within them will be clearly marked to indicate what function they are fulfilling (and hence aid both the interpretation of them and their future management).

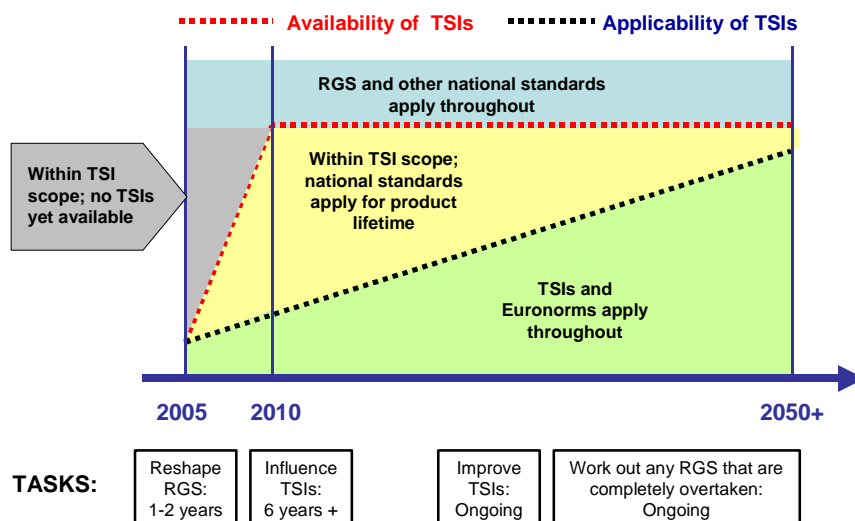
Any standards that are no longer mandatory but which are retained by RSSB in support of duty holders’ safety cases/certification will be known as a Rail Industry Standards.

2.2 Outline timescale

When TSIs are integrated into UK law, they become the definitive standard within the scope defined in the implementing regulations. Currently TSIs only apply to the four designated high speed routes for application during new and major upgrades, but further TSIs are being developed that can impact on the entire network covered by RGSs. When the UK Government introduces the requirements of EU Directives 2001/16 and 2004/50, which is planned to be

done in the next few months, the scope of TSIs is expected to include all major upgrades and renewals² of subsystems.

The process to write and implement TSIs has already begun and is being developed incrementally – initially through the AEIF³, and in the future by the European Rail Agency (ERA). As these documents are implemented into domestic law the scope of TSIs will progressively expand until around 2010 when it is planned that there will be a complete set of first generation TSIs, covering both high speed and conventional parts of the network. When this set is complete, the scope of domestic standards applying to new or renewed parts of the network will be significantly reduced (limited to any remaining gaps in the TSIs and schemes where it is determined (under Paragraph 14.3 of the Conventional Directive) that TSIs will not apply, or where derogations are sought⁴). However, there will continue to be a number of domestic measures that are not within the scope of TSIs – such as those relating to DC Electrification or voluntary overlays to TSIs. The diagram below summarises the relationship between the potential *availability* of TSIs and their *applicability*.



All existing RGSs that currently apply will remain the applicable standards for those assets and operations that have not been renewed, and thus will continue to have force for many decades. Those standards will also be

² The word 'renewals' as used in the directive is defined as 'any major substitution work on a subsystem or part subsystem which does not change the overall performance of the subsystem'. Hence the way that 'major' is defined in the implementing regulations will be key.

³ Association European de l'Interoperabilitee Ferroviarre – the European Association for Railway Interoperability

⁴ Derogations should be related to specific alternative solutions that best meet the particular need, and not to a different "standard" which may be equally inappropriate.

available in any cases where the Government decides (in accordance with Clause 14.3 of the Conventional Directive – 2001/16) not to apply TSIs.

Thus, the tasks in relation to cross industry standards management (in addition to the routine standards change process) over the next few years can be summarised as follows:

- To the end of 2007 – make the major changes to standards to meet the industry priorities - influence TSI development, make changes to existing RGSs consistent with this strategy.
- 2008 to 2012 – Complete the strategy by the creation of single TSI type documents for each subsystem – continue to influence TSI development - withdraw any RGSs completely overtaken by the completion of TSIs.
- 2012 onwards – maintain those RGSs that govern existing subsystems or that sit beyond the scope of TSIs. Withdraw any RGSs that govern subsystems that achieve complete TSI compliance or relate only to new, upgraded or renewed assets.

RSSB is undertaking the work using existing standards management resources. The process to simplify the presentation of the set of mandatory measures into their new form is expected to be completed to the timescales set out in Annex B.

2.3 Notified National Standards/Notified National Technical Rules⁵

RSSB will advise the Government (Department for Transport) on the updating and re-notifying the list of Notified National Technical Rules for both high speed and conventional interoperability as the number and scope of published TSIs is progressively increased. The Industry Standards Co-ordination Committee (ISCC)⁶ will approve the overall position and issue any guidance or decision criteria to be used by SCs. The committees will approve recommendations for changes for their specific measures according to these guidelines.

2.4 Development of new ways to present standards

RSSB is undertaking a project to explore the use of technology to provide an efficient way to hold all measures, to assist users in identifying requirements quickly and easily in relation to their activity.

⁵ The standards that are currently notified to the EU under interoperability legislation are presently known as Notified National Standards. By virtue of the amendment directive (EU 2004/50) these are now called Technical Rules, and will be referred to as Notified Technical Rules. Where there are references to Notified National Standards, particularly in the list of definitions and notes attached to the Filter, they are interchangeable with Technical Rules.

⁶ Industry Standards Co-ordination Committee – currently working in shadow mode as the Interim Industry Standards Committee (subject to proposed Code changes being approved). It is formed of the combination of SCC and UK CSG (UK Co-ordination Systems Group) - Annex A describes its role.

2.5 The Rule Book

The Rule Book (GE/RT8000), and its associated publications, comprise the working instructions to railway staff, working across interfaces with other industry parties, to enable them to deliver, in specific situations, the controls mandated by higher level measures. These publications are affected by the TSIs and they also cover several subjects that may ultimately fall within scope of duty holders' safety certification. Proposals for further industry discussion will be brought forward early in 2006.

2.6 Arrangements for publishing non-mandatory documents

The 2004 Strategy committed RSSB to develop and propose a hierarchical governance structure to support the publication of industry-agreed documents. Under the supervision of the IISC a new structure is emerging consisting of the following:

- a) **Voluntary Standards** – these are being developed to provide standards which support duty holders' safety cases. The most likely sources of these standards are to express those measures that were formerly included in mandatory RGSs but are now beyond the scope of RGSs. Where duty holders wish RSSB to continue to maintain standards that represent good practice they will fall into this category. The other source is where a number of duty holders in the same area of activity ask RSSB to maintain a standard or group of standards on their behalf which represent the most economic manner of delivering an agreed objective.

In all cases the governance that supports voluntary standards will be the same as that which supports RGSs. The process will be similar to, but not subject to, that set out in the RGSC, nor (by extension) to regulatory approval. There will be no 'compliance clause' or deviations procedures within the standards as it will be up to the industry party that adopts the standard how it is translated into company arrangements.

An example that is currently being developed for cross-industry approval relates to the updated standards for road rail vehicles used entirely within possessions. This will replace a RGS. The technical elements of the standards will be signed off by the relevant SC while the form of the document will, following a consultation process, be agreed by the ISCC.

- b) **Documents published on behalf of other cross-industry groups.** A number of cross-industry groups have approached RSSB about publishing their own standards or supporting them in the development of documents. The criteria for RSSB to adopt such activities or documents has now been approved by the RSSB Board and is set out in Annex F.
- c) **Guidance Documents** – the governance that supports Guidance Notes will be the same as that which supports RGSs. The process

will be similar to, but not subject to, that set out in the RGSC, nor (by extension) to regulatory approval. There will be no 'compliance clause' or deviations procedures within the guidance as it will be up to the industry party that uses the guidance how it is translated into company arrangements.

As the structure is further developed, RSSB will take the advice of the ISCC and seek Board approval over any issues of principle. In all cases where RSSB is invited to adopt a group or set of documents for publication the Board will decide, based on a recommendation of the ISCC.

3. Arrangements for industry committees

3.1 Subject committees (SCs)

SC functions are being combined with Mirror Group activity into subsystem standards committees to oversee both the domestic standards development, and mirror the workings of the ERA and European Representative Bodies for TSIs.

Standards committees will therefore oversee three categories of standards:

1. TSI input – as far as practicable through mirroring.
2. Notified National Technical Rules (RGSs) temporarily filling gaps in the TSIs – as the approval body.
3. Residual national standards (RGSs) covering subsystems not upgraded or renewed to TSI standards – as the approval body.

SCs have already been aligned to the scope of TSIs, and there is now a SC for each of Infrastructure, Rolling Stock, Control Command and Signalling, Energy and Traffic Operation and Management. There is also a 'domestic' SC that supervises Plant standards, there being no specifications for Plant in TSIs. The allocation of all standards to Lead and Support SCs has been completed and confirmed with the SCs.

The concept of lead and support SCs has been introduced (the lead SC to be the approval body; the support SC to provide technical expertise and advice to the lead SC) based on the contents of measures. The proposed amended RGSC identifies these different roles, as they are the preferred way of dealing with measures that impact on more than one subsystem. Multifunctional SCs are provided for in the Code to deal with issues involving more than one SC where there is no clear lead SC.

Plant SC will continue for the time being but when the disposition of standards is further developed it may be appropriate to review the need for such a Committee. RSSB will keep this under review and bring forward proposals to the ISCC when the disposition of current standards becomes clearer.

- 3.2** The IISC is currently steering and supervising the combining of Subject Committee and Mirror Group activity. The combined groups will fulfil the formal functions of SCs and the informal functions of mirror groups.

3.3 System Interface Committees (SICs)

SICs do not own (ie they are not the governance body for) any standards themselves, but they are, and will be, key proposers of changes to measures in RGSs, TSIs and other efficiency oriented industry standards. RSSB supports SICs through the provision of administration, technical expertise and research and development. RSSB provides the technical expertise from each of the relevant subsystem delivery units, thus enhancing the synergy between the work of SICs and the development of RGS and TSIs.

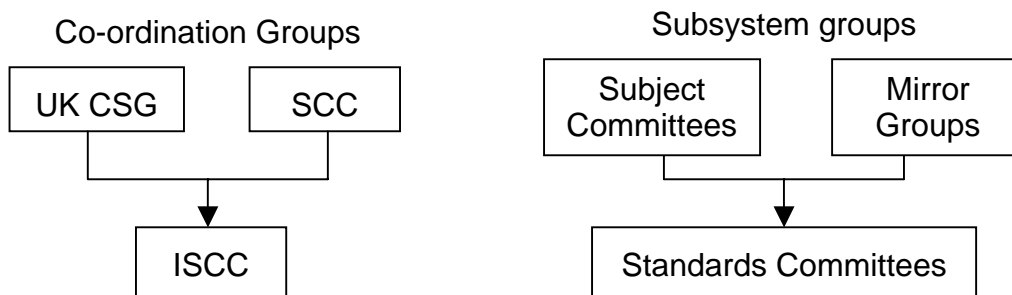
Although it is the interfaces between the activities controlled by autonomous duty holders (Railway Undertakings and Infrastructure Managers) where mandatory standards are appropriate, it is the assets that constitute the separate subsystems which are brought into service and managed by the different duty holders that are defined in the TSIs.

3.4 TSI Mirror Groups

The arrangements to support and co-ordinate TSI development are focussed on the AEIF. The ERA, which is replacing the AEIF, has commenced operation and is expected to be fully operational early in 2006. The arrangements to mirror this organisation in relation to interoperability involve the ISCC and the newly combined SC/Mirror Groups. The current arrangements are described in more detail in Annex E. As the current set of TSIs are completed and new ERA working groups are established, separate TSI mirror groups will disappear.

3.5 Evolution of Committees over time

The ISCC has, as one of its key roles, the keeping under review all of the committees that are involved in the development or changing of standards. The interim version of this Committee (IISC) has begun a review of all groups and the combination of UK CSG and SCC into the ISCC, and the combination of SC and Mirror Groups into Standards Committees, represent early achievements from this process.



In addition, the IISC has developed a model set of requirements to be fulfilled if the choice of the industry players is that such matters will be dealt with under the auspices of the RSSB or wishes for its output to be published by the RSSB.

In all cases where a group or set of documents is to be adopted, the RSSB Board will be the final decision maker, subject to a recommendation from the ISCC. The generic rules for this are set out in Annex F.

4. Review of other processes and workings of the RGSC

4.1 Arrangements for industry inputs to other standards processes

The standards review identified the need for liaison to continue with the Department for Transport (DfT), and the Office of Rail Regulation (ORR) (both economic and safety regulatory parts) to ensure consistency of approach with interoperability implementation regulations (currently being developed by the DfT), interoperability guidance (currently being developed by the DfT) and the proposed regulations implementing the Safety Directive (currently being developed by the Health and Safety Executive (HSE)⁷). In particular, there is a need to clarify the status of existing and future mandatory standards, under the Interoperability and Safety Directives to support the Government in fulfilling the member state obligations for notifying relevant technical rules.

The review has also identified the need for closer alignment between BSI arrangements for EN development and the GB effort to influence the TSIs. A new set of relationships is being developed to enable the combined SC/Mirror Groups to act as a first port of call whenever a new EN is under development.

4.2 Consultation/consensus

Experts and interested parties will be involved both earlier in the process (at proposal stage) and throughout development. RSSB's function will be to provide technical (including economic analysis) and project resources to facilitate the development of a consensus for standards change.

The essence of the new arrangement is that the development stage will be **targeted** – identifying the relevant experts and the key stakeholders (who are likely to be most affected by the proposed change) and giving appropriate weight to their views during the development and consultation phases. The plan to achieve this will be endorsed/approved by the SC.

Other stakeholders and potential consultees (who are not targeted) will still be able to contribute to the process through an open and transparent consultation conducted through the Internet.

SC members will, as now, represent their constituencies.

Consensus will be developed amongst those most affected, taking account of any view expressed during the consultation phase, which is then ratified at SC.

⁷ At the time of publication of this strategy it is understood that the Government is going to transfer the railway functions of the HSE to the ORR.

4.3 Issues affecting both mandatory and non-mandatory documents

Infrastructure controllers and station operators will in future be referred to collectively as Infrastructure Managers. Train operators will become Railway Undertakings. However, the timing of this change will align with that of UK law changes. Eventually, measures within RGS will be mandated only upon Railway Undertakings and Infrastructure Managers.

Existing obligations placed on RSSB within RGSs (directly, or by virtue of being a Railway Group member (RGM)), will be considered when standards are reviewed as part of this process, and where RSSB Members want to keep obligations on RSSB, these will be migrated into the Constitution Agreement through the appropriate processes. When this process is complete RSSB will cease to be a RGM. No new obligations on RSSB will be inserted into RGSs. Within the revised Code, RSSB will cease to be a RGM.

4.4 Deviations

No immediate changes are proposed to the function of, and processes governing, deviations. The overall number of deviations will decrease as the volume of mandatory standards reduces, and when this reduction is well under way, a further review will be conducted into the possibilities to rationalise these further.

4.5 Railway Group Standards Code

Although the changes in the disposition of standards to date have been accomplished under the provisions of the RGSC dated 19 January 2004, it is the view of the RSSB Board and of the IISC that it is appropriate to update the Code to reflect the following:

- a) The change in the status of the Strategic Rail Authority (SRA), DfT, HSE and ORR.
- b) Good housekeeping, reflecting improvements in the processes for standards change and introducing more flexibility.
- c) Clarification of the intended scope of RGSs as set out in the 2004 Strategy and repeated in this document.

Accordingly a separate set of proposals for changes to the Code are being developed and will be put through the Code Change procedure, which involves full industry and regulatory consultation. It is planned that a revised Code will be introduced in the first half of 2006.

Why change the RGSC?

A particular issue in relation to the proposed changes to the Code is the question of responsibility for safety management and whether there is a need to demonstrate, as part of withdrawing a measure/standard, that the standard (or at least equivalent) will be maintained by the relevant duty holder. This is not considered an appropriate role for the standards process or SCs.

When measures are withdrawn from RGS the duty holder will continue to be responsible for managing the relevant risk. They already have and will continue to have the responsibility for the control of the risk. Only the responsibility for review and redefinition of standards according to circumstance is transferred from the RSSB standards process to the duty holder. Access to withdrawn RGSs will continue to be available to duty holders through the 'withdrawn' section of the RSSB catalogue and CD-ROM, however documents in this section are clearly not maintained or developed further by RSSB.

Thus because SCs and RSSB have no primary responsibility to control risk, and neither audit nor enforce the control of risk, there is no transfer of risk control responsibility from RSSB to duty holders and therefore no rationale or locus for RSSB and SCs to consider this when withdrawing measures.

Clarifying this point and adjusting the RGSC to narrow the scope of RGS, is designed to make the process of withdrawing standards in accordance with this strategy a mechanistic one relating to questions of what role a measure fulfils.

However, there are some measures that (once the principles are applied) would be withdrawn but would leave a gap in the current suite of standards at the adjacent interface. In such cases, the measure or measures to define the prescriptive requirements at the interface will be introduced at the same time as the inappropriate measure is withdrawn.

Future Changes to the Code

By the time that the current proposed changes to the Code are approved, to enable the more straightforward implementation of this strategy and to deal with the matters set out above, it is likely that the new regulations associated with interoperability, the safety directive, and the implementation of the transition from HSE to ORR will be complete. In addition, the ORR's consultation on the future direction of licensing will have concluded. At this stage it is likely to be appropriate to conduct a major review of the status and purpose of the RGSC and to explore whether there are opportunities to simplify it and further improve its clarity, including consideration of whether it could move toward being a non-regulated document. The ISCC will begin considering the opportunities for this as soon as the current changes have been agreed.

4.6 Role of RSSB in proposing standards change

During the review in 2004, RSSB restrained itself from directly making proposals for standards changes. This restraint has ceased at the request of RSSB's members. RSSB develops the detailed filtering and simplification of standards and brings forward proposals to implement them, as well as making proposals in other areas where the industry requests it to do so.

4.7 Early consideration of proposals

All proposals for standards change, whatever the source, are now put to the first available SC to enable industry representatives to confirm whether they support such proposals before any significant resources are deployed. This is an important gateway for industry representatives to confirm the priorities for resources to consider and develop changes to standards. The first presentation of proposals will include a general RSSB suggestion for the project plan to take the proposal forward (if adopted in the proposed Code changes). Approved project plans define the reporting requirements for the development of the standard change.

4.8 Speed of standards change

During the review in 2004, a number of RSSB members questioned whether the length of time it takes to change a standard is justified and whether it may be appropriate to change the RGSC to shorten the timescale. In order to test this proposition, and in addition to the normal routine monitoring of standards changes, a single standards change proposal was identified and considered in detail. The review of the change led to the conclusion that where there is general industry support for a change, it can be accomplished within four to six months, from proposal through to implementation. The RSSB member who proposed the change has confirmed that this is a satisfactory timescale. All parties have noted that where there are complex engineering or operating issues involving more than one duty holder, the development of changes to standards would take longer as they may need detailed research etc.

Where RSSB members wish, RSSB will provide practical support to them in the development and consideration of possible changes.

Having kept under review the detailed processes and procedures that support the standards change process the view of RSSB and of the IISC is that the processes for standards change could be revised further to create more flexibility. The version of the RGSC introduced in January 2004 provides a very prescriptive set of requirements for the production of remits, repeated visits to SCs etc. It is now the view of those participating in the process that the interests of the industry and the 'purpose of the RGSC' would be better met with a more flexible approach – allowing RSSB to present proposals to SCs which include the proposed project plan, and once this is approved, for that project plan to define the process for the standards change.

SCs will remain the principal decision makers about content and will have the ability to change the process – always subject to the Code decision criteria and scope, and the supervision of RSSB.

4.9 Value for money in standards

During the period of the review a number of changes have been made to standards because compliance with them would not be reasonably practicable. In particular, the requirements for drop light windows to be sealed, and for auditing of wheel-set components have been relaxed because they involved excessive cost in relation to the safety benefit.

These changes demonstrate that under the RGSC, it is possible to change a standard for economic reasons. Given the present financial position of the industry, RSSB encourages anyone who has knowledge of standards that may involve excessive cost in relation to safety benefit, to identify them for evaluation to enable early consideration as to whether a change may be justified.

4.10 Relationship with Network Rail actions on standards

Network Rail Action Plan SAF3 is aimed at improving the effectiveness and efficiency of Network Rail's standards through the simplification and rationalisation of the standards regime from a risk-based perspective. The objectives of SAF3 are to:

- Fundamentally review and revise risk control standards to deliver improvements in safety, cost and performance.
- Build an effective and rigorous standards management regime to support Network Rail's health, safety, quality and environmental and engineering assurance systems.
- Support effective intervention control of the key business risks.
- Rationalise and simplify Network Rail Standards and the processes governing their management, wherever possible.

The principles and development of SAF3 are entirely consistent with and supportive of the objectives of the Standards Strategic Review, namely to:

- Rationalise the number of existing RGSs.
- Reduced the duplication between TSIs, RGSs and Network Rail standards.
- Achieve tighter alignment between Interoperability/TSIs, RGSs and Network Rail Standards.

5. Organising to deliver the strategy

5.1 Organisation

RSSB's standards organisation has been aligned around the railway subsystems, which constitute the core Technical Specifications for Interoperability. These are:

- Infrastructure and Rolling Stock.
- Control Command and Signalling, and Energy.
- Traffic Operation and Management.

Each of the delivery units supports the SCs/Mirror Groups and also, the SICs.

Although it is the interfaces between the activities controlled by autonomous duty holders (Railway Undertakings and Infrastructure Managers) where mandatory standards are appropriate, it is the assets that constitute the separate subsystems which are brought into service and managed by the different duty holders that are defined in the TSIs.

5.2 Programme for implementation

- a) A summary of the programme for each of the three delivery units of RSSB (ie subsystems) is set out in Annex B.
- b) Designing the format of the new measures and standards is under way. The first voluntary standard is expected to be approved by the relevant SC in early 2006 and the revised mandatory standards will be introduced incrementally according to the programme in Annex B.
- c) Defining and implementing the technology that will support the new design and packaging.
- d) Exploiting further synergies with other related standards processes.

ISCC will oversee and supervise RSSB's delivery of the components of this strategy.

Amendments and updates to the strategy

This strategy is a relevant strategy for the purposes of the RGSC. Having been adopted by RSSB members on 13 October 2005, routine future amendments to it will be made by recommendation of the ISCC to the RSSB Board. Provided a unanimous resolution of the Board is passed, amendments to this strategy will come into effect.

Annex A - Purpose and remit of the Industry Standards Co-ordination Committee (ISCC)

Purpose

ISCC will promote the following principles in its approach to decision making and the exercise of its functions:

- A co-ordinated approach to European standards.
- Consistency with Technical Specifications for Interoperability.
- The future of the GB railway (and railway industry) with due regard to safety, performance and efficiency.
- Optimum economic solutions for the whole industry.
- A consistent and co-ordinated GB approach to standards.
- The reduction of risk to passengers, employees and the affected public so far as is reasonably practicable.
- Consideration of the impact on all classes of stakeholders likely to be materially affected.
- Offer advice to RSSB and the relevant committees/groups on the application of relevant scope and decision criteria to ensure so far as possible a consistent approach across all standards.

These principles are not in order of priority.

Remit

The detailed remit of the new body will be to:

1. Fulfil all the functions ascribed to the Standards Co-ordination Committee (proposed for change to the Industry Standards Co-ordination Committee in the revised RGSC) in the RGSC in accordance with the requirements of that Code.
2. Authorise new, revise, or recommend closure of, cross-industry groups associated with standards. This is to include their respective governance arrangements.
3. Provide oversight in matters of policy, direction, co-ordination and (standards) advice to the RSSB Board, if needed, and the various groups and committees that emerge from the rationalisation identified above.
4. Review the operation of the procedures for continuing efficiency and effectiveness, prioritising standards and resource allocation raising issues with the RSSB Board as the need arises.
5. Form a working group for the industry that can resolve apparently intractable cross industry issues relating to standards (Gunge Busting).
6. Monitor the effectiveness and implementation of the Strategy for Standards Management and to recommend changes as the need arises.
7. Be the GB industry group overseeing GB industry input to the development of interoperability, with particular focus on the development and implementation of TSIs and their potential impact on the GB industry.

8. Be the GB mirror group to the European Association for Railway Interoperability (AEIF) CSG (or European Rail Authority [ERA] equivalent when that emerges).
9. To pass on those recommendations (which do not impact on standards) suggested by SICs, or other interface bodies, to the most suitable bodies.

Membership

Membership to consist of:

Two nominees from Infrastructure Controller category – at least one of which to be from Network Rail (2 in total).

One Member from each of the other categories of RSSB member – nominated or elected in accordance with the requirements of the RGSC (5 in total).

A chairman – nominated by RSSB Board (in accordance with the requirements for the Chairman of SCC within the RGSC) (1).

The **Executive Director** of RSSB with responsibility for Standards (1).

Co-opted members – members who in the opinion of ISCC can help the Committee to better fulfil its purpose and remit, co-opted by the ISCC (up to 5)

Observers – representatives from the DfT and the ORR (and HSE so long as it has railway functions)

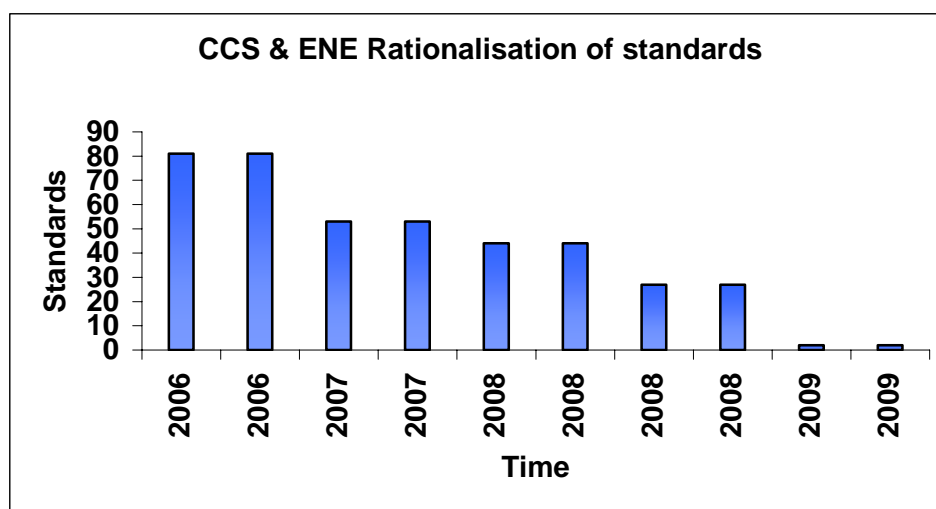
Annex B Programme for implementing the strategy

The programme for the implementation of the Standards Strategy is available on the RSSB web site (www.rssb.co.uk).

At the time of going to print, the following summarises the programme for each of the three RSSB delivery units.

Control Command and Signalling, and Energy Standards Delivery

As indicated on the graph below the number of documents for which CCS and ENE are the lead SCs will be reduced by around 50% up to the end of Q4 2007.



The criteria for establishing the work programmed into each phase has been based on the urgency of work already in progress, the contribution to resolving TSI open points and the preferences stated by the lead SC for the subject area.

There are significant gaps in the prescriptive measures across the interfaces identified which will require new measures to be mandated. The opportunity is being taken to rectify this situation. The methodology has been established as part of the interface identification and the required measures identification is in progress. It is therefore to be noted that the output from the CCS and Energy delivery unit will not be restricted to the withdrawal of measures but also the creation of new measures.

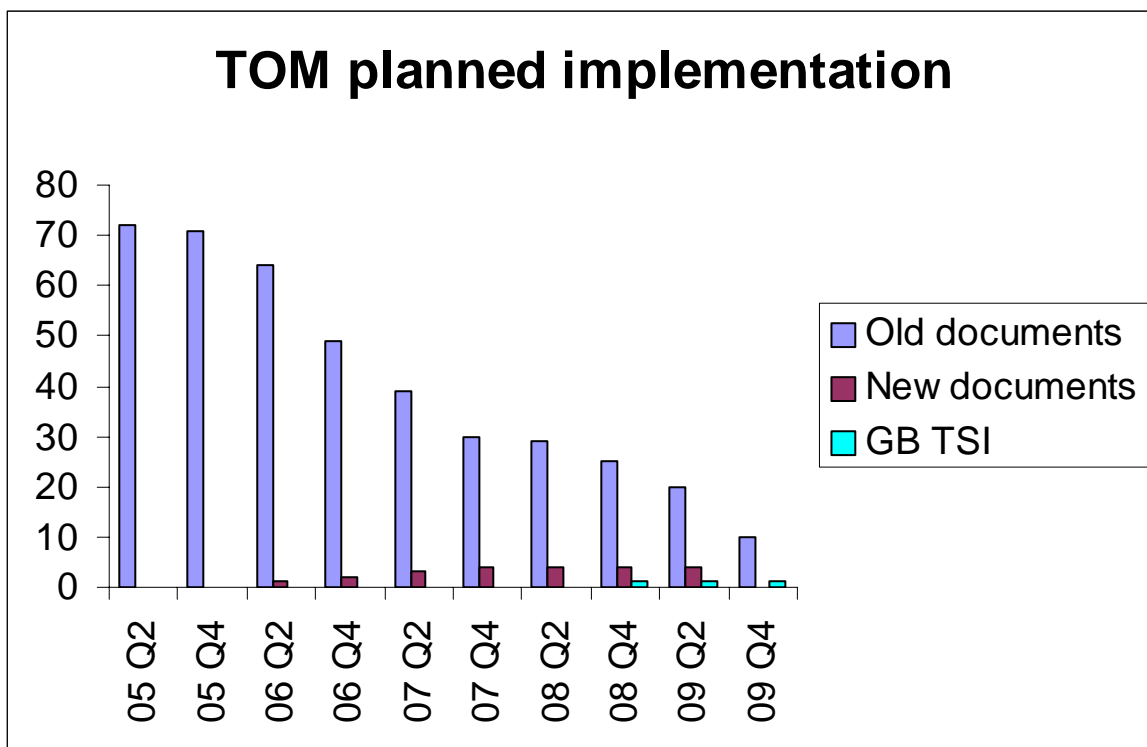
Particular points of note are as follows

- The Electro Magnetic Compatibility product will seek to address an open point in the CCS TSI.
- The train radio product will close an open point on the CCS TSI.
- Network Rail will not be constrained by mandatory standards in managing control centres, earthing and bonding and most of the controls for level crossings and interlocking.

Annex B – Programme for implementing strategy

- A GB view on the open points in TSIs with respect to the pantograph to overhead line interface will be determined.
- Electrified line instructions – ac and dc – new interface measures and a new Rule Book module will be created while those elements that are solely within the control of Network Rail are expected to be transferred to them.

Traffic Operation & Management Standards Delivery Unit



Achievements planned to be delivered by end of 2007

It is planned to reduce the number of TOM documents by more than half (from 72 to approximately 30) by the end of 2007. By that time, all TOM documents will have been filtered and proposals brought forward for their disposition.

A package of voluntary standards and guidance (assuming requests from industry) will have been developed on competence and medical fitness; two mandatory requirements for train drivers are likely to be retained.

A package of guidance will have been produced on dangerous goods, replacing six existing documents. The mandatory requirements are all statutory (GB or European).

A new document on defective equipment on trains will be in place (a revised Rule Book module TW5 will also have been produced) replacing most of the mandatory requirements in GO/RT3437 and the recommendations in GO/RC3537 with guidance (assuming request from industry).

The estimates given are subject to an increasing margin of error, particularly beyond Q4, 2006. Specified Operations Publications such as GE/RT8000 (the Rule Book) are being processed separately and are not currently included in this plan.

Significant changes include:

- transfer of responsibility for management of competence and fitness of staff (and their contractors) to duty holders. One document is envisaged, containing residual mandatory standards and guidance material, for both train drivers and signallers.
- TOM RGS and related documents containing measures concerning infrastructure work will have been withdrawn, as the risks they seek to address are the exclusive responsibility of Network Rail.

Benefits

The withdrawal of almost all mandatory measures relating to competence and medical fitness (which, often provide a prescriptive overlay to statutory requirements on duty holders) will allow flexibility for duty holders to control their risks and meet their statutory obligations in ways tailored to their operation, rather than to a template. It is anticipated that industry will request voluntary standards and/or guidance in areas where there remain potential economic benefits from all doing things in the same manner.

The removal of prescriptive requirements in respect of on train equipment should permit improved performance, without increased safety risk, by enabling train operators to make risk-based decisions about contingencies for managing defects when they occur.

Network Rail will have the ability to plan and manage infrastructure work in a rational way, with the potential for increased productivity from possessions and improved infrastructure reliability, leading to reduced need for degraded operation and exposure of track workers to hazards on or near the line.

Opportunities include:

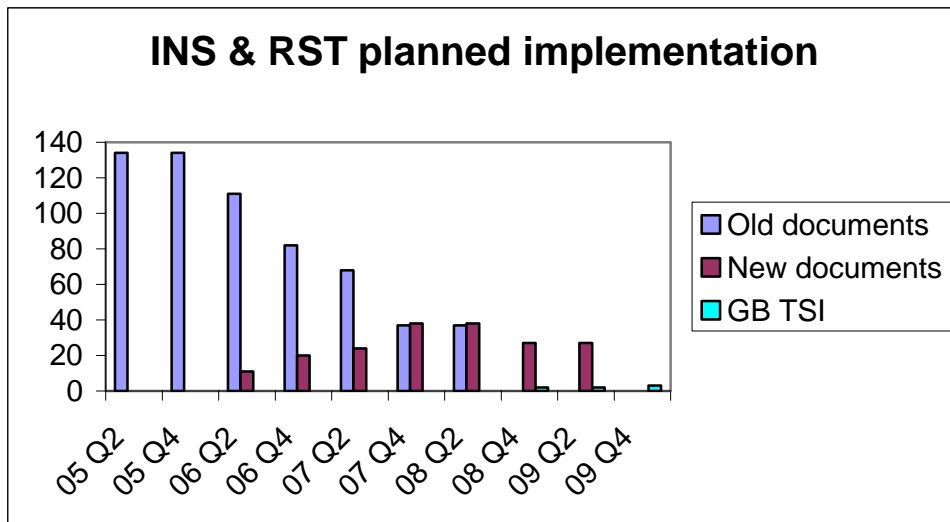
Reducing the likelihood of significant numbers of legal challenges, because of the application of mandatory medical standards, to Railway Group employers as a result of the Disability Discrimination Act.

Train operators and Network Rail can build on recent investment in simulation equipment for training, by reviewing training, competence assessment and certification without the constraints of existing mandatory requirements, which do not reflect recent developments and were largely inherited from British Rail.

The results of research into competence management are already being applied to guidance being published in 2005/6, which will form part of the suite of documents to replace RGSs in this area.

Infrastructure & Rolling Stock Standards Delivery Unit

The table below shows the transition from the current documents (RGSs and related documents) to the creation of a single document for each discipline (Infrastructure, Rolling Stock and Plant).



Planned to be delivered by the end of 2007

The five priority packages (out of nine) for **Rolling Stock** will have been through the filter process, developed into revised documents and published. This will reduce 42 separate documents to a maximum of 15.

All **Plant** documents are expected to have been reviewed, filtered and reissued (probably as voluntary standards, with perhaps an overarching high level RGS).

All **Infrastructure** documents are anticipated to have been through the filter process, developed into revised documents and published. This is expected to result in a reduction from 41 documents to 17.

Significant changes

Significant changes for rolling stock and infrastructure will include an alignment with requirements specified in published and draft TSIs and an adoption, where possible, of requirements set out in Euronorms.

Requirements for inspections of track and structures are expected to be passed over to the infrastructure manager and train inspection to railway undertakings.

Benefits

Aligning requirements for rolling stock with those TSIs will enable the GB rolling stock community to migrate smoothly to TSIs.

Single documents giving all railway requirements for an item of plant in one place.

Migrating inspection requirements will allow Network Rail to take advantage of new technologies and developments in its own risk based approach.

Opportunities

The opportunity to incorporate findings from recent research into crashworthiness and vehicle interior safety will form a key input at this stage of the standards development process.

The development of both vehicles standards and infrastructure standards in one delivery unit will help to ensure that measures relating to this important interface are managed with clarity and recognition of both the Railway Undertaking and Infrastructure Manager issues.

Annex C – Guiding Principles for GB Railway Standards

Introduction

The five principles were developed in 2004 as part of the standards review and provide an agreed framework for the detailed review of standards within RSSB, leading to detailed disposition proposals.

The principles reflect the significant shift in emphasis taking place in GB as a result of the European Interoperability and Safety Directives, and are based on the following assumptions:

- a) The 'European' approach provides the framework for the future and the steps set out in this strategy will migrate towards it.
 - b) Many of the measures contained within the existing regime will need to continue for a considerable period, although convergence of detail will be encouraged.
 - c) Only those parameters or processes that directly govern the ability of two (or more) duty holders to interface/co-operate with each other to the extent that harmonisation is necessary for safety reasons should be given the status of mandatory measures.
 - d) The changes to standards management are not intended in themselves to bring about a change in overall safety levels.
 - e) All future changes will seek:
 - Progressive simplification.
 - Convergence with the European model.
-

Principle 1: The GB standards regime should be aligned with the European regime.

1. Under the European standards regime, legally required safety controls are derived from either the safety directive or from interoperability directives.
2. The safety directive applies only to railway undertakings (train operators) or infrastructure managers (infrastructure controllers and station operators), whilst the interoperability directives apply to railway undertakings, infrastructure managers and other bodies that can be contracting entities.
3. The industry should have an effective structure and mechanism to change the national standards regime to align with the European regime.
4. There is a GB expectation that the level of safety performance will not be affected by the introduction of the European standards regime.
5. There is a GB expectation that there will be a simplification of applicable standards as the European regime predominates.
6. The European standards regime requires standards for safety, reliability, availability, the environment and for occupational health.

Principle 2: European standards take precedence over and are generally preferable to national standards (subject to reasonable cost constraints), but there will be a continuing role for national standards to manage that to which TSIs do not yet, or will never, apply.

1. It is necessary to identify a process that will define new roles for GB standards:
 - Support for interoperability in Europe intra-operability in GB – see Principle 3.
 - Support for safety controls required for Safety Certification required by the European Safety Directive GB – see Principle 4.
 - Support for GB national infrastructure and vehicle characteristics outside the scope of interoperability – see Principle 5.
 2. Future changes in national standards should be assessed using concepts and criteria from the European standards regime.
 3. GB should exploit the potential for Euronorms to provide pan-European replacements for GB standards.
-

Principle 3: Where required, prescriptive national standards should be mandated to support safety controls derived from the interoperability directives, for interoperability in Europe and for intraoperability in GB.

1. Prescriptive national standards should only deal with interfaces.
 2. Prescriptive national standards must not act as a barrier to interoperability.
 3. Prescriptive national standards should migrate to the same form, style and scope as the TSIs.
 4. The principle of differential (prescriptive) standards is implicit within the European Interoperability Directives.
-

Principle 4: Where required, national Voluntary standards should be available to support Safety Certification required by the Safety Directive

1. Some national standards, adopted voluntarily by duty holders may have a role in supporting safety certificates required by the safety directive.
2. Voluntary national standards must not act as a barrier to interoperability.
3. There could be two types of voluntary national standard: standards where compliance is optional, and mutually binding standards.

4. Any mutual binding mechanism should be clear and agreed by all parties to whom it will apply.
-

Principle 5: Where required, national standards should be available to support safety controls needed for infrastructure and vehicle characteristics that are outside the scope of interoperability

1. Prescriptive national standards will be required to regulate parts of the system to which the TSIs do not yet apply.
2. Prescriptive national standards will be required to ensure technical compatibility with and between non-TSI compliant infrastructure and rolling stock (for example, legacy systems).

Annex D – Filter, notes and definitions

A process for filtering control measures in GB standards

NOTES FOR FILTER VERSION 6.3 (AGREED AT SCC ON 13 JULY 2004)

The filter provides a structured approach for the review of measures to determine the need for their adoption, retention or withdrawal. Where the same measures are mandated in more than one TSI these are classed as separate measures which will follow separate routes through the filter (see note i).

The source of measures may be from any document - often a RGS or a proposal to change a RGS.

Notes to flow chart

The following notes are numbered as on the flow chart:

- Notes with Roman numerals relate to inputs
- Notes with numbers relate to filters
- Notes with letters relate to outputs.

Inputs

Note i - Measure (existing or proposed)

Note that for this purpose, the same controls are classed as separate measures if they are mandated in more than one TSI. For example, the conventional rail and high speed infrastructure TSIs will contain the same limiting values for cant. However, as one TSI is published and one is not, the same control can take two separate routes through the filter, and is therefore considered as two measures.

Filters

Note 1 - Included in scope of a published TSI?

The test is whether or not a measure is included in the defined scope of a published TSI. When an 'open point' is included within the published TSI, the 'open point' is included within scope.

Currently, only high speed TSIs are published. The scope of these is limited to 'new' and 'upgraded' works. Therefore, for example, a section of route that is not upgraded (even if renewed) is out of scope.

Note: Directive 2004/50 extends the scope of the high speed TSIs to include renewals.

Note 2 - To be included in scope of a proposed TSI?

The test is whether or not a measure is reasonably likely to be included in a proposed TSI (for example, conventional rail infrastructure or safety in rail tunnels).

This may include a proposed revision to an existing TSI, where the revision introduces a new measure.

To determine whether a measure is reasonably likely to be included in a TSI reference should be made to the three objectives of a TSI and the essential requirements contained within the directives as amended by the second railway package and described in the AEIF document 'The Scope and Content of TSIs'.

Note 3 - Required for interworking?

The measure is required for interworking if the answer to all the following questions is 'yes'.

- Does the measure relate to an interface?
- Is the measure 'reciprocal' (are there related measures both sides of the interface)?
- Is it necessary to deliver safety in an economic manner for the measure to be prescriptive ('each category of duty holder must do the same thing'), rather than risk-based?

'Yes' to all of the above questions may indicate a measure is required for interworking, even though it has been excluded from the scope of the TSIs and European interoperability (for example, because the measure is necessary for operation of 'heritage' subsystems not upgraded or renewed to TSI standards).

Where a measure is required for interworking but is not in the scope of a published TSI (but should be) the **yes** route through 'common interpretation in Europe' allows a measure to be developed. Note C refers.

Notes:

- If measure requires a risk assessment it is unlikely to be required for interworking and the **no** route should be taken.
- The filter is not appropriate for work instructions, for example those contained in the Rule Book. However, work instructions may contain 'implicit' measures not documented elsewhere. These measures will need abstracting before the filter can be applied.
- For example, consider the Rule Book requirement that "You must arrange for marker boards to be positioned in the four foot at least 100 metres (approximately 100 yards) from each end of the work site" (Module T3, clause 10.4 a). This is an instruction to an individual, not a measure. However, implicit in this is a measure to the effect that 'Worksites shall be protected by providing indications for drivers warning of the presence of the worksite'.

Note 4 - In scope of Railway Safety Case (EU safety certificate)?

The Railway Safety Case Regulations, and European Safety Directive require that the safety management system is documented.

The areas to be considered to determine whether the measure is in scope include:

- Does the measure control a risk associated with the activities falling within the duty holder's (railway undertaking's) safety management system?
- Is the measure needed to support the duty holder's (railway undertaking's) network specific part of the safety certificate?

Note 5 – Require an Amendment to published TSI (including open points)?

Article 17 of Directive 2001/16/EC (as amended by 2004/50) states:

Where it appears that the TSIs do not fully meet the essential requirements the Committee referred to in Article 21 may be consulted at the request of a Member State or on the initiative of the Commission.

In such a case, the TSI shall be reviewed in accordance with the procedure referred to in Article 6(2). If certain technical aspects corresponding to the essential requirements cannot be explicitly covered in a TSI, they shall be clearly identified in an Annex to the TSI. Article 16(3) shall apply to these aspects.

('The Committee referred to in Article 21' is usually known as the Article 21 Committee.)

The test is whether the published TSI needs to be changed. This could be a challenge by the Member State through the Article 17 route, either to fill an identified open point with the candidate measure, or to replace an existing measure in the TSI with the candidate measure (for example, because the TSI measure is considered to be flawed).

Note however, that some amendments are in practice adopted by industry consensus through the current TSI revision process, without formal challenge. The Article 21 Committee will then approve the changes once the revised TSIs are complete.

In practice it is envisaged that all proposed changes to TSIs that are identified by the industry standards body (currently RSSB) will go through the TSI revision process rather than as a Member State challenge.

Note 6 - (Amendment to TSI) Accepted by Article 21 Committee?

It is assumed that if the Article 21 Committee accepts the challenge to TSI, the measure can be listed as a 'National Technical Rule, pending revision of the TSI. If not, it must be withdrawn.

Note 7 - Required National Increment?

'National Increment' is used to refer to additional national requirements that do not conflict with the TSI (that is, they are within the scope permitted by the TSI), and

which do not inhibit interoperability. They include measures required to support a GB ‘specific case’ in Chapter 7.

Note that such measures do not have to be explicitly permitted by the TSIs.

Examples:

- The TSI sets a minimum interval between adjacent tracks - however, it is permissible to require tracks to be built with a greater separation.
- The TSI sets a maximum limiting value on cant and cant deficiency. Provided the specified performance is met, there is no reason why lower limiting values should not be mandated locally.

(It is not suggested that GB would wish to take advantage of either of the two examples given.)

It is possible that ‘National Increments’ only apply to infrastructure subsystems.

Note 8- Required National Increment?

As note 7, but in this case, the ‘National Increment’ is used to refer to additional national requirements not likely to conflict with the requirements reasonably likely to be included in a proposed TSI.

Note 9- Reasons to mandate?

There are many reasons why a measure required for interworking within GB should be mandated, even if it is outside the scope of European interoperability. The reasons include:

- Measures required to regulate parts of the network not falling within the geographical scope of a TSI.
- Measures required to regulate parts of the network not falling within the scope of a TSI because the infrastructure has yet to be upgraded.
- Measures required permitting running of vehicles (either nationally or under bi-lateral agreements) not conforming to the specification set out in the Rolling Stock TSIs. Such vehicles will be permitted by the draft Conventional Rail Rolling Stock Freight Wagon TSI.
- Measures required to manage legacy signalling systems (listed in Annex B of the Control Command and Signalling TSI), including their associated operating requirements.
- Measures required to ensure technical compatibility with and between legacy infrastructure and rolling stock.
- Measures required to support a TSI that specifically mandates the use of national rules (though TSIs should not do this).
- Measures required to manage derogations

Reasons not to mandate an interworking measure could include:

- The measure deals with a situation that is not likely to apply in practice

This list may not be complete.

Note 10– Common interpretation in Europe?

Applies where scope for a common approach across Europe is recognised, which may be documented in, for example, a new TSI measure or EN.

Outputs

Note: the outputs from the filter are proposals within the E2E standards process for the drafting (or withdrawal) of the identified measure within the standards portfolio. The filter outputs do not define the final packaging of measures into documents.

Note A - Stop or withdraw

The measure is outside the scope of standards tested by the filter.

Note B - Voluntary Standard if required or else withdraw

The term voluntary standard is used for a GB safety control that RGMs may wish to cite compliance with in their Railway Safety Case (or Safety Certificates) as their method of controlling specific risks, with the presumption of 'industry approved practice'.

Note C – GB input to development of European standard?

Depending on the timescale for developing and introducing a TSI measure or EN it may be appropriate to introduce an interim GB standard.

Note D - Stop or withdraw

The measure is not required.

Note: withdrawal will need to be managed.

Note E - National Interworking Standard

The term 'National Interworking Standard' is used for a mandatory standard required to achieve GB interworking (probably limited to Network Rail controlled infrastructure). They are national standards covering things that are not covered by an existing or proposed TSI. They cannot and do not need to be notified.

Note F – GB input to development of European standard or TSI?

Depending on the timescale for developing and introducing a TSI measure it may be appropriate to introduce an interim GB standard.

Note G - National Technical Rule

The term 'National Technical Rule' is used for a mandatory standard required pending revision or completion of a TSI. By definition, such standards are transitory.

Note H - National Technical Rule + GB TSI overlay

See Notes D and F. In this case, the GB overlay adds to requirements reasonably likely to be included in a proposed TSI, rather than a published TSI. In practice, the National Technical Rule would incorporate the GB overlay. However, it will be useful to have a clear idea of the GB overlay likely to be required once the TSI is published and the National Technical Rules are withdrawn.

Note I - Stop or withdraw

The measure duplicates the requirements of the TSI and does not need to be mandated in a GB standard.

Note J - GB TSI overlay

The term 'GB TSI overlay' is used for a mandatory standard required to achieve a national objective within the scope permitted by the TSI, and which does not inhibit interoperability (probably limited to Network Rail controlled infrastructure). They cannot and do not need to be notified.

Note K – Stop or withdraw (or seek derogation)

If Article 21 committee does not accept the measure for inclusion in a revised TSI, the measure must be withdrawn. However, the option of seeking a derogation remains.

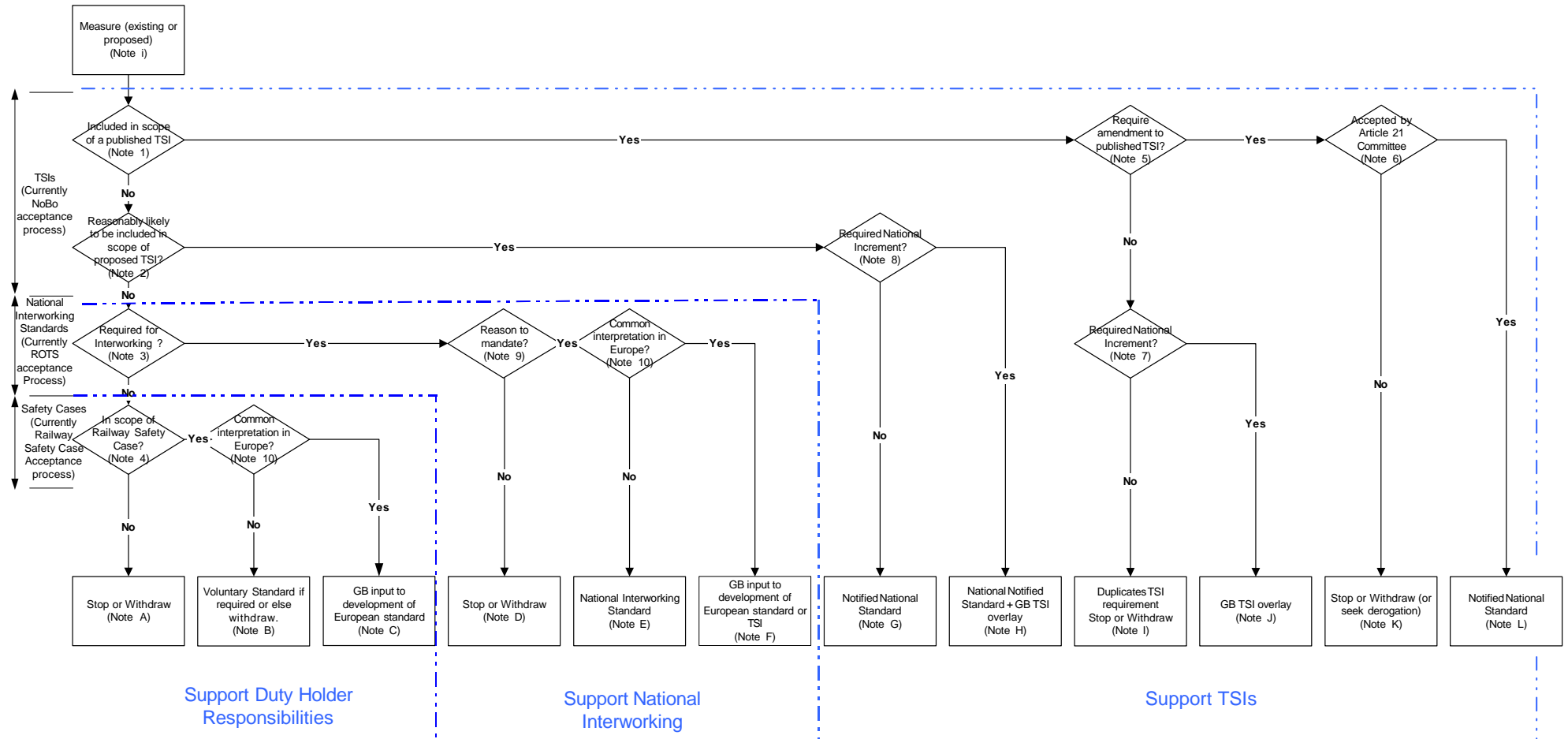
The continuing existence of an RGS is assumed to not be necessary to support derogations against TSIs.

Note: withdrawal will need to be managed.

Note L - National Technical Rule

The term 'National Technical Rule' is used for a mandatory standard required pending revision or completion of a TSI. By definition, such standards are transitory.

Standards Filter



Definitions of terms used in the Filter and Guiding Principles

Note: defined terms are shown emboldened and underlined.

Control

A requirement placed upon parties to carry out some form of action or put in place some form of procedure to manage safety risk. Controls are not prescriptive and compliance assessment is therefore judgement based. A control will specify what must be done or addressed, but not how. Controls are an appropriate form of measure when it is not appropriate to harmonise procedures or parameters.

European Standards (eg Euronorms)

In the railway context are a full, prescriptive and detailed description of all attributes of a component or constituent of a system. They take three forms

- a) **European standards mandated in the TSI** - Some European standards or clauses of European standards are conferred higher status by being directly mandated in a TSI. Compliance is therefore compulsory
- b) **Harmonised European Standard** - Compliance with a European standard declared to be a harmonised European standard is not mandatory but it automatically confers a presumption of conformity with the relevant part of the Technical Specifications for Interoperability, which is mandatory. This mirrors the European 'new approach' to technical harmonisation whereby conformity with harmonised European standards creates an entitlement to free movement of goods throughout the EU.
- c) **Other European Standards** exist. These are normal EN standards which have not been declared to be harmonised European standards and as such they are neither mandatory nor does compliance with them confer a presumption of conformity with the TSI. Often these are standards that predate the 'new approach'.

GB TSI overlay

The term 'GB TSI overlay' is used for a mandatory standard required to achieve a national objective within the scope permitted by the TSI, and which does not inhibit interoperability (probably limited to Network Rail controlled infrastructure). They cannot and do not need to be notified.

Interworking

Means the ability of trains and infrastructure networks to operate together.

Note: Safe interworking is defined in the specific context of the RGS code as ‘a situation where risks arising from the interfaces between the assets or operations of RGMs are controlled so as to be as low as reasonably practicable’.

More generically safe interworking means the ability of trains and infrastructure networks to operate together safely and it is this meaning that will be used in this document.

By implication the terms interworking and safe interworking are interchangeable because no standards regime would describe or mandate unsafe interworking.

Interoperability

Means ‘the ability of the (trans-European) rail system to allow the safe and uninterrupted movement of trains which accomplish the required levels of performance for these lines. This ability rests on all the regulatory, technical and operational conditions which must be met in order to satisfy the essential requirements’.

Interoperability can therefore be considered as interworking at a European level that is optimised to deliver the best economic system performance through the standardisation of system architecture. This is delivered by

- a) Prescriptive definition of common technical parameters describing the technical interfaces between subsystems controlled by different actors
- b) Prescriptive definition of common processes used to control the shared elements and interfaces of the subsystems
- c) Prescriptive specification of the functionality and interfaces of system constituents (interoperability constituents)

Interoperability is comprehensive in that covers all the necessary essential requirements (not just safety) and it incorporates economic considerations. Because of this it is broader in scope than (safe) interworking. It is also deeper in scope because, to deliver the economic benefits of standardisation, it describes safety measures in prescriptive detail.

Intra-operability

Means interworking at a GB level optimised to deliver the best economic system performance through the standardisation of system architecture. This is delivered by:

- a) Prescriptive definition of common technical parameters describing the technical interfaces between subsystems controlled by different actors
- b) Prescriptive definition of common procedures used to control the shared elements and interfaces of the subsystems
- c) Prescriptive specification of the functionality and interfaces of system constituents (interoperability constituents)

Interoperability and intra-operability are therefore the same concept, the former utilising parameters and procedures that are harmonised at a European level intended to apply to new or upgraded subsystems and constituents, the latter utilising parameters and procedures that are harmonised at a national level intended to apply to existing subsystems prior to upgrading or renewal.

Measure

Is defined in the RGSC as ‘a requirement (or proposed requirement) in a standard’.

RGSs describe safety measures mandated upon RGMs. Their purpose when originally created by Railtrack Safety & Standards Directorate within their former safety regulatory role was to ensure system safety and safe interworking by controlling risk imported to the Railtrack network by the users of the Railtrack network.

Measures contained within RGSs fall into two categories: specifications or controls, each deemed necessary to assure safety.

Notified National Standard – now known as Technical Rules

The term ‘Notified National Standard’ is used for a mandatory standard required pending revision or completion of a TSI and which is notified to the EU and its member states in accordance with EU 96/48 and EU 2001/16 (as amended by 2004/50). By definition, such standards are transitory.

National Interworking Standard

The term ‘National Interworking Standard’ is used for a mandatory standard required to achieve GB interworking (probably limited to Network Rail controlled infrastructure). They are national standards covering things that are not covered by an existing or proposed TSI. They cannot and do not need to be notified.

Parameter

A quantifiable physical attribute of a tangible component or system.

Procedure

Describes the manner in which a process is to be carried out in a given set of circumstances.

Process

The flow of activities that move a system, subsystem or element thereof from one state to another. Train despatch for example is the process whereby a stationary train with open doors becomes a train in motion with closed and locked doors

Railway Group Standard (RGS)

Is defined by the RGSC as ‘a standard authorised by the RGSC, being:

- a) Technical standards with which railway assets or equipment used on or as part of railway assets by or on behalf of Railway Group Members must conform; or
 - b) Operating procedures with which the operators of railway assets must comply
- compliance with which will contribute significantly to the safe operation of the rail network and the safe operation and safe interworking of railway assets used or to be used on or in connection with the rail network’.

NOTE: In the proposed revisions to the RGSC, the definition of a RGS is amended to ‘a standard authorized under the Code’ and the detailed criteria for a standard are captured in the decision criteria and scope descriptions that are included as an annex to the Code. As the Code has not yet been through the change process the definitions in the current Code are retained in this document. Section 4.5 describes the intended changes.

Specification

When used in the context of European Technical Specifications for Interoperability (TSIs), describes the functionality and interfaces of those components of the overall system (eg interoperability constituents), which must be harmonised. (ie those functionalities and interfaces that must be the same for everybody). As such a specification must be precise and prescriptive and assessment of compliance must involve measurement or checking of fact rather than judgement. A specification however should not describe how the functionality is to be achieved or the internal attributes of a component of a system and it is therefore less prescriptive than a European standard (Euronorm) as defined below. Specifications may describe harmonised parameters or harmonised procedures.

Standard

The term used to refer to a document that describes one or more of the following:

- a) Regulatory requirements - things that the law or regulation requires a party or parties to address but not necessarily in the same way by everybody (as used in Railway Group ‘Standards’).
- b) Mandatory (common parameters or processes) - things everybody must do exactly the same by law (as used in the doc in references to European ‘standards’ - eg TSIs – although strictly the term ‘specification’ is correct)
- c) Voluntary (common parameters or procedures) - things everybody may voluntarily do exactly the same (as in harmonised European ‘standards’ – also known as ‘Euronorms’).

Note: BS 0 formally describes a standard as ‘a document, established by consensus and approved by a recognised body, that provides for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the optimum degree of order in a given context’. This is a narrower definition than that above.

Technical Specification for Interoperability (TSIs)

European Commission Decisions, which comprise technical specifications for interoperability, issued pursuant to either of the following:

Annex D – Filter, notes and definitions

- (a) Council Directive 1996/48/EC of 23 July 1996 on the interoperability of the trans-European high-speed rail system.
- (b) Directive 2001/16/EC of the European Parliament and of the Council of 19 March 2001 on the interoperability of the trans-European conventional rail system.
- (c) Any other Directives adopted by either the Council or the European Parliament and the Council, which relate to technical specifications for interoperability of trans-European rail systems.

A TSI is the specifications by which each subsystem or part subsystem is covered in order to meet the essential requirements and ensure the interoperability of the trans-European conventional rail system.

The objective of the TSIs is to improve the competitive position of rail by harmonising technical and safety specifications.

Note: although some parameters and procedures are contained within both RGSs and TSIs (e.g. rail gauge, operating rules), the fact that TSIs and RGSs each have a very different purpose and rationale means that many of the requirements contained within RGSs are incompatible with those of the TSIs and vice versa. Thus the realignment of the GB safety and standards regime covered by the review is one based on a fundamental change of principle.

Annex E – Arrangements to support TSI development activities

1. Introduction

PRINCIPLES OF EUROPEAN RAIL INPUT BY GB DUTY HOLDERS

PURPOSE

Development of European rail safety and technical requirements for a harmonised and interoperable network will have a major impact on GB railways. To secure the maximum benefit from this regime and to avoid unnecessary potentially costly requirements being placed upon GB duty holders, RSSB will facilitate this activity providing administration, technical expertise and representation where requested by the duty holders.

This note sets the simple principles to be followed.

PRINCIPLES

- (i) GB industry will be formally represented by their respective trade associations (NR-EIM, TOCs-ATOC-CER, suppliers-RIA-UNIFE) and will endeavour to ensure appropriate representation via these associations – the 'GB Players'.
- (ii) Priorities in respect of representation will be focused upon the areas of greatest business impact.
- (iii) GB players will need to establish a suitable support network and governance structure with their railway associations in Europe to encourage co-ordination at European level.
- (iv) A co-ordinated approach is required to GB input to Europe which will be based around a sensible governance structure. The objective will be, where practicable to reach a consensus position between the industry sectors. However, it is recognised that, firstly, on occasion the industry sectors may have different interests and secondly, in the context of facilitating a single European Rail area and the multi-national nature of the train operator and supply community, a GB position, may not always be possible nor desirable. The ISCC is charged with overseeing this activity and the Standards Committees (the various combined SC/Mirror Groups) will fulfil the detailed mirroring requirements
- (v) The GB governance structure should ensure a co-ordinated and efficient approach between input to Europe, national standards and project development activity including system interface committees.
- (vi) As the GB cross-industry standards body, RSSB's role will be to support and facilitate the development of a competent GB position on behalf of its members or establish the reason why this is not possible. RSSB will not

normally participate directly in European forums, unless it has a mandate to represent one or more of the GB players. There may be a small number of occasions when RSSB is invited to attend in its own right, but these would be the exception. If RSSB is mandated to represent one of its members it will do so transparently and will not represent a position that is in conflict with any of its members (where such positions have been made known to RSSB).

- (vii) Notwithstanding the potential for occasional differences of interests, the GB players, as members of RSSB, will share with each other their knowledge, information and position upon issues of common interest.
- (viii) Where a consensus exists between GB Players, the GB governance structure will attempt to influence the DfT as the “Member State” body.
- (ix) Experts nominated by the GB players to act in Europe will be required to discharge their obligations in accordance with a defined terms of reference, including appropriate preparation and briefing. They will also be required to act in accordance with their respective trade body governance rules at both GB and European level.
- (x) A set of “ground rules” will be drawn up to help guide GB players and their staff on these principles.

The roles of each group are summarised below.

a) The role of the ISCC

ISCC’s functions include to:

- Be the GB industry group overseeing GB industry input to the development of interoperability, with particular focus on the development and implementation of TSIs and their potential impact on the GB industry. (Note that this group will not cover those areas already overseen by the DfT’s Interoperability Implementation Forum (IIF) or vice versa).
- Be the GB mirror group to the AEIF’s Co-ordination Systems Group (CSG) until it ceases.

The group:

- a. Provides an industry focus for work on the development and implementation of TSIs.
- b. Promotes the development of consensual GB industry positions on TSI development and ensures the GB position (where agreed) is put forward in a consistent and professional manner at relevant European meetings. This may involve empowering one or more persons to represent a GB industry position.
- c. Where there is no existing group that can fulfil this role (such as the relevant SC), agree the creation or dissolution of a mirror group – including consideration of whether the right skills experience and interests are represented in the mirror groups.

Annex E – Arrangements to support TSI development activities

- d. Provides generic instruction and guidance to the groups that mirror TSI development as to objectives, remits and cross-functional technical and economic issues arising.
- e. Provides support and guidance to representatives from GB organisations involved in TSI drafting and in other European standards development.
- f. Ensures the GB economic evaluation of emerging TSIs. Ensuring that the GB position represents the best value for money/economic cost benefit analysis possible by proposing a prioritised plan for GB industry activity and making recommendations for use of RSSB budget or proposals to the DfT for funding.
- g. Reviews progress of TSI drafting and issues raised.
- h. Reviews recommendations for and progress with GB specific cases.
- i. Reviews implications of any proposed GB derogations as they may relate to TSI drafting (DfT handles derogations themselves).
- j. Liases with RSSB, making recommendations for the prioritisation of RGS development/redundancy to take account of interoperability.
- k. Seeks to influence and guide the AEIF CSG/ERA to achieve the interoperability objectives consistent with the GB objectives and interpretation of the objectives.
- l. Develops (agreed by consensus) positions to brief GB based members of the senior AEIF committees – providing detailed briefs and ensuring that feedback from meetings reaches all participants in the AEIF processes as soon as possible.
- m. Develops agreed by consensus positions to brief UK based Article 21 Committee and AEIF Board members – providing detailed briefs and ensuring that feedback from Article 21 Committee and AEIF Board meetings reaches all participants in the TSI development processes as soon as possible.
- n. In fulfilling its functions, ISCC develops (with the assistance of RSSB) and maintains a strategy document for each TSI that is under development – setting out the overall strategy, key points for the GB rail industry, tactics to be adopted in the development process. This document will be maintained alongside the document managed by the mirror groups (see next section) that lists all issues in detail as TSIs are developed.
- o. Keeps the development of the ERA under review and make adjustments to the ISCC agenda and functions as necessary to ensure alignment with the emerging body
- p. Develops and maintains contact with those involved in Euronorm development (including cross attendance at steering group meetings)
- q. Maintains contact with, and reviews involvement of, other interested parties (such as emergency services) that may have an interest in relation to specific TSI developments

Administration of ISCC

- r. RSSB manages ISCC and provides secretarial support
- s. The chairman of ISCC is nominated by the Board of RSSB and approved by its members
- t. RSSB maintains the strategy document (referred to in o. above) together with listing of outstanding issues for all TSIs that are currently under development. The strategy document is overseen by ISCC and the issues list by the group that functions as a mirror to the TSI development group.

b) The role of GB groups that mirror TSI development

The role and function mirroring Interoperability groups is to co-ordinate the activities of GB industry as it inputs to AEIF:

- Providing a forum for all members of the GB rail industry to exchange views and positions on the working of the respective representative bodies (EIM, CER and UNIFE) and the AEIF/ERA working group they mirror.
- Developing common technical and negotiating positions for input to the AEIF, based on the objectives set out above.
- Keeping abreast of the membership of relevant Representative Bodies mirror groups.
- Promoting or secure the research or other technical input/analysis to develop the GB case.
- Producing a running list of outstanding issues, with a log of actions and processes to resolve them.
- Communicating issues that represent a risk or opportunity for the GB industry both directly and through ISCC.

2. Guidance for members of ISCC and those involved in TSI mirroring activity

The following is issued as guidance to those directly or indirectly participating in the TSI development process:

- a. GB mirror groups operate on a co-operative, voluntary and consensus basis. No members are obliged to participate in them, and no one is bound by their positions.
- b. Ideally the GB mirror group will agree a position. Where there is a strong consensus for a position, it should be possible to have a relatively small number of people attend AEIF meetings.
- c. It is also desirable that those attending AEIF meetings are able to attend them consistently and develop relationships with members from other railways and countries.
- d. In developing GB industry positions the long-term economic interests of the GB rail industry are the main reference point.
- e. In developing views and positions on the developing TSIs all members of the group should bear in mind that TSIs have to be justified on an economic

basis. TSIs are required by law to be 'the minimum' requirements necessary to achieve interoperability, facilitate operation in different Member States and open up the supply market. They should in all cases mandate the most economically viable solution. Therefore all of the 'nice to have', or improvements that seem to be a good idea, are almost certainly beyond the scope of TSIs unless they represent the minimum change necessary to achieve the objectives listed above and/or deliver a positive CBA compared to the reference scenario (ie not mandating a parameter or process).

- f. The Directive provides that there must be an economic evaluation to justify the selection of each parameter and the final TSI as a whole.

GUIDANCE TO MEMBERS OF AEIF WORKING GROUPS

(NOTE THAT THE AEIF IS SHORTLY TO CEASE DEVELOPING TSIS. ONCE THE EUROPEAN RAIL AGENCY HAS ESTABLISHED ITS OPERATING PROCEDURES AND THE VARIOUS EUROPEAN REPRESENTATION BODIES HAVE PUT IN PLACE THEIR ARRANGEMENTS, A NEW SECTION WILL BE INSERTED INTO THIS STRATEGY TO REFLECT THE AGREED CROSS-INDUSTRY ARRANGEMENTS).

Where industry representatives work directly in the AEIF process, they need to be aware of the general rules applying to the activity they are undertaking, as well as the objectives they are seeking to achieve.

The primary purpose of the process is to produce a TSI that is compliant with the directive (i.e. complete and economically evaluated). In doing so, most representatives who participate in the process have a number of other objectives, such as to perpetuate their own national way of doing things. GB based members of working groups should seek to achieve the purpose, while ensuring that any strategic or specific interests of the GB industry are protected.

The method of working of the AEIF is through consensus. That means that if a member has a serious reservation about the way the group is going, the reservation cannot be set aside through a majority vote. There is no requirement upon members of groups to accept the majority view.

Where one is in a minority in relation to a proposed document, the options available are to:

1. Produce a reasoned case to reject the current proposal.
2. Produce a reasoned case to change the TSI to an acceptable position.
3. Create an argument for a specific case to apply a different set of specifications for GB. This must however be based upon a genuine difference between GB and the rest of Europe that has serious economic or compatibility consequences. A specific case should not simply be proposed, 'because we do things differently' or 'know best' or 'we have always done it that way'. As a guide remember that:

Annex E – Arrangements to support TSI development activities

- a) The specific case must refer to the ‘target subsystem’ ie you must justify why it is not practicable to comply with the TSI in **future** new works, upgrades or major renewals.
- b) All GB specific cases to date have been the result of the long term distinctive features of the GB network, in respect of upgrades and renewals but not new works.
- c) ‘Bespoking’ for GB by means of a specific case will become increasingly expensive as manufacturers concentrate on TSI compliant components and subsystems.

The issues should be recorded and prioritised on an issues log for the group to track its own progress and to keep the ISCC aware of the development within GB and AEIF. In the event of losing a debate the issue should be escalated to the ISCC for support. The ISCC will also escalate any issues to any GB Members of relevant committees and to the UK representative on the Article 21 Committee.

If it is necessary to undertake work to explore a position for the mirror group, RSSB can make resources available to support this – sometimes personnel, but also, potentially, financial. The ISCC oversees this process and the relevant mirroring group approves budget and remit while the ISCC keeps an overview of expenditure against the overall budget and objectives.

Remember content can only go in if there is consensus. If you say ‘no’ it is blocked and if you keep failing to agree it goes to AEIF CSG, whereas if you acquiesce to a majority view or the view of AEIF staff, then it is taken as agreed by you and very much more difficult for it to be reversed it at CSG.

Meanwhile three points of principle apply to all TSI drafting:

- a. Issues not agreed or in dispute remain blank or square bracketed in a draft and the TSI remains incomplete and not ready for approval until they are resolved or identified as agreed open points in the final draft by headings under which an accompanying sentence states that the issue is an open point. They are also to be listed in the list of open points that forms part of the TSI.
- b. Where there is an interface to a TSI without a mandate, the interface parameters must be an open point.
- c. A TSI cannot be submitted for approval until its contents have been shown to be properly economically evaluated.

Annex F

Guiding Principles for cross-industry groups or documents relating to Standards to be owned/adopted/supported by RSSB

1. The Standards 'Filter' contains a principle that if a subject is within the control of one duty holder then a RGS is not necessary. The same principle should apply to the need for Industry Committees, which should be confined to issues that cross the boundaries between the Industry groupings or cover more than one industry group.
2. **Basic Governance requirements** When a cross-industry committee, whose output is likely to affect cross-industry standards, is required, its governance should meet a number of requirements for its output to be accepted by RSSB without further consultation. These are:
 - a. Its remit should be acceptable to the ISCC.
 - b. The arrangements between the group and RSSB/industry should be set out in a protocol between the group and RSSB – to be approved by the RSSB Board on a recommendation by the ISCC.
 - c. It should provide for representation of all the groups affected (who should have the means to consult and obtain a mandate from their constituency). Groups to be the categories of membership of RSSB board.
 - d. The remit should fit into the structure agreed by the RSSB Board.
 - e. The output should demonstrate evidence of adequate consultation and consensus (either as part of the request to publish, or within the text of the published document).
 - f. A change control process to amend or update the documents produced should be in place or be capable of being put in place
3. **RSSB resources** in facilitation and governance should only be available to bodies meeting these principles.
4. **Broad industry membership** Other parties not represented in the categories of RSSB membership (e.g. CTRL, other countries) should be welcome to join such bodies subject to the approval of the relevant cross-industry group (including a consensus of RSSB members). Regulators and funders are welcome as observers.
5. **Chairpersons** These committees should choose their own chair.

ISCC shall act on behalf of the RSSB Board to provide a continuing overview of the structure and its successful operation.

Annex G

List of members of the Interim Industry Standards Committee (IISC)

| | | |
|------------------|--------------|--|
| Cliff Perry | Independent | (Chair of SCC and Joint Chair of IISC) |
| Anson Jack | RSSB | (Chair of UK CSG and Joint Chair of IISC) |
| Richard Lockett | TOCs | (nominated member of SCC and Member of UKCSG) |
| Richard Gostling | Suppliers | (nominated member of SCC and member of UK CSG) |
| John Abbott | Network Rail | (Nominated member of SCC) |
| Andy Doherty | Network Rail | (member of UK CSG) |
| Michael Robson | Network Rail | (member of UK CSG) |
| Keith Rose | ROSCOs | (Nominated member of SCC) |
| Mike Sadler | FOCs | (nominated member of SCC and member of UK CSG) |
| Keith Watson | CTRL | (Member of UK CSG) |
| Collin Carr | InfraCos | (nominated member of SCC – papers only) |
| Marie Marks | RSSB | (Member and Secretary of UK CSG) |

Observers

| | | |
|--------------|------|---|
| Laura Beales | RSSB | (Secretary of SCC and Secretary of IISC) |
| Giles Thomas | DfT | (UK member of Article 21 Committee and ERA Admin Board) |
| Paul Hadley | ORR | |
| Mike Harwood | HSE | |

NB: Industry Standards Co-ordination Committee – currently working in shadow mode as the Interim Industry Standards Committee (subject to proposed Code changes being approved), it is formed of the combination of SCC and UK CSG.