



Standards Manual

Issue Two

Approved by
Industry Standards Co-ordination Committee

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Issue Record

Issue	Effective date	Comments
Railway Group Standards Manual Issue One	07 June 2008	Original document. Issue One of the Standards Manual developed to support Issue Three of the Railway Group Standards Code.
Railway Group Standards Manual Issue Two	05 December 2009	<p>In this issue, the standards change process flow chart in part 3 has been amended to include cross-references to the Railway Group Standards Code and this Manual.</p> <p>It contains further guidance on: the process for co-operation between duty holders; the withdrawal of measures; and competence issues (part 8).</p> <p>It contains further guidance and requirements for small scale changes (part 9).</p> <p>It places a new requirement on Standards Committee Chairmen to sign a deviation approval form (part 10).</p> <p>The requirement for documents associated with Railway Group Standards to be reviewed every 30 months has been removed (part 11).</p> <p>It contains new guidance and requirements relating to: the process for RSSB support for other industry documents (part 13); the management of Railway Group Standards as national technical rules (part 14); and the management of Railway Group Standards as national safety rules (part 15).</p>

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1 Introduction

1.1 Background

- 1.1.1 The purpose of the Railway Group Standards Code (the Code) is to define the procedures by which RSSB and the members of RSSB co-operate to create, revise or withdraw Railway Group Standards (RGSs) and manage deviations from them, to monitor the effectiveness of RGSs, and the role of RSSB in authorising RGSs. The Code is approved by the Office of Rail Regulation (ORR).
- 1.1.2 The Standards Manual supplements the Code by defining those elements of the cross-industry management of RGSs and associated documents which are not subject to formal ORR approval. In addition, the Standards Manual includes guidance relating to the management of RGSs and defines procedures for RSSB's involvement with standards other than RGSs.
- 1.1.3 The Standards Manual is not a stand-alone document and needs to be read in conjunction with the Code.
- 1.1.4 In this Standards Manual, use of the word 'shall' indicates a mandatory requirement. Clauses which use the terms 'may' or 'should' or similar are not mandatory and define guidance or suggested actions as the context in which they are used suggests.

1.2 Purpose of the Standards Manual

- 1.2.1 The purpose of the Standards Manual is to define:
- a) The processes by which members of RSSB co-operate in order to deliver the requirements of the Code
 - b) The roles and responsibilities of RSSB and the members of RSSB within those processes
 - c) How the process for the production and maintenance of RGSs shall apply to the following documents authorised by RSSB:
 - i) Rail Industry Standard (RIS)
 - ii) Rail Industry Approved Code of Practice (RACOP), and
 - iii) Rail Industry Guidance Note (GN), and
 - d) The process for agreeing RSSB support in the production of other industry documents.

2 Definitions

2.1 Terms defined in the Code

The following terms are defined in the Code and shall have the same meaning in the Standards Manual:

- a) Derogation
- b) Deviation
- c) Duty holder
- d) Essential requirements
- e) Infrastructure manager
- f) Mainline railway
- g) Measure
- h) Member of RSSB
- i) Process for co-operation
- j) Railway Group Standard (RGS)
- k) Railway system
- l) Railway undertaking
- m) Small scale change to a RGS
- n) Subsystem
- o) Temporary non-compliance.

2.2 Additional definitions for the Standards Manual

Amendment published in the Standards Catalogue

An amendment published in the Standards Catalogue is a minor amendment to a RGS, RIS, RACOP or GN that does not alter the meaning of the relevant technical requirement. This mechanism is normally used where the promulgation costs of making an amendment to the document are expected to exceed the benefits from the amendment, hence reissuing the document is not supported. Such a change could include correcting a typographical error or a reference to another document where that other document has been reissued.

Clarification published in the Standards Catalogue

A clarification published in the Standards Catalogue is used to clarify the interpretation of a RGS, RIS, RACOP or GN where there is no need to amend the technical requirement or reissue the document.

Contracting entity

Contracting entity has the meaning given to it in the Railways (Interoperability) Regulations 2006.

Impact assessment

An impact assessment is a document that describes the predicted impacts, both positive and negative, resulting from a proposed change to a RGS (whether new, revised or withdrawn) in sufficient detail for the

industry to make informed comments during consultation and for a Standards Committee to make an informed decision regarding the approval of that change.

Lead Standards Committee

The Lead Standards Committee is the Standards Committee designated by the Industry Standards Co-ordination Committee (ISCC) as the approving Standards Committee in relation to a particular RGS.

National Operations Publications (NOPs)

NOPs are RGSs which define instructions for direct application by staff employed by duty holders. The NOPs are:

- a) Rule Book GE/RT8000 module series
- b) Working Manual for Rail Staff – Handling and Carriage of Dangerous Goods GO/RM3053
- c) Working Manual for Rail Staff – Freight Operations Manual GO/RM3056.

Duty holders may choose to apply NOPs to operations at stations, sidings, yards, in engineering possessions or at other locations which do not form part of the mainline railway.

National safety rule (NSR)

National safety rule has the meaning given to it in European Directive 2004/49/EC (Railway Safety Directive) on the safety of the Community's railways. For the GB mainline railway, NSRs include measures from RGSs.

National technical rule (NTR)

A national technical rule is a rule which is in use for implementing the essential requirements and is binding on infrastructure managers and railway undertakings. For the GB mainline railway, NTRs include measures from RGSs.

Notified national technical rule

A notified national technical rule is a NTR which has been notified to the European Commission by the Member State in accordance with European Directive 2008/57/EC on the interoperability of the Community's railways.

Open point

An open point is a technical aspect corresponding to the essential requirements which has not been explicitly covered in a Technical Specification for Interoperability (TSI).

Rail Industry Approved Code of Practice (RACOP)

A RACOP is a non-mandatory document that defines a potentially suitable and sufficient means (but not the only means) of meeting an identified set of mandatory measures within a RGS. A RACOP therefore relates to meeting a set of measures that involve co-operation between two or more duty holders. A RACOP will contain a methodology which is designed to deliver the requirements of the RGS, but where an

alternative methodology could be adopted. A RACOP will generally quote the relevant mandatory measures from a RGS alongside the non-mandatory content in order to provide a complete picture.

Rail Industry Guidance Note (GN)

A GN is a non-mandatory document that is intended to provide potentially helpful information relating to the management and/or operation of the railway system or its subsystems. A GN may provide background to the measures contained within a RGS or describe information in relation to an issue that is outside the scope of RGSs. In some circumstances a GN may quote the mandatory measures from a RGS alongside the non-mandatory content in order to provide a complete picture.

Rail Industry Standard (RIS)

A RIS is a non-mandatory document that a group of members of RSSB, including at least one duty holder, have requested RSSB to produce and which that group has agreed to work to. A RIS defines functional or technical provisions in circumstances when management of a railway subsystem does not necessitate co-operation between duty holders but where there are expected to be economic benefits from that group all doing things in a similar manner.

Specific case

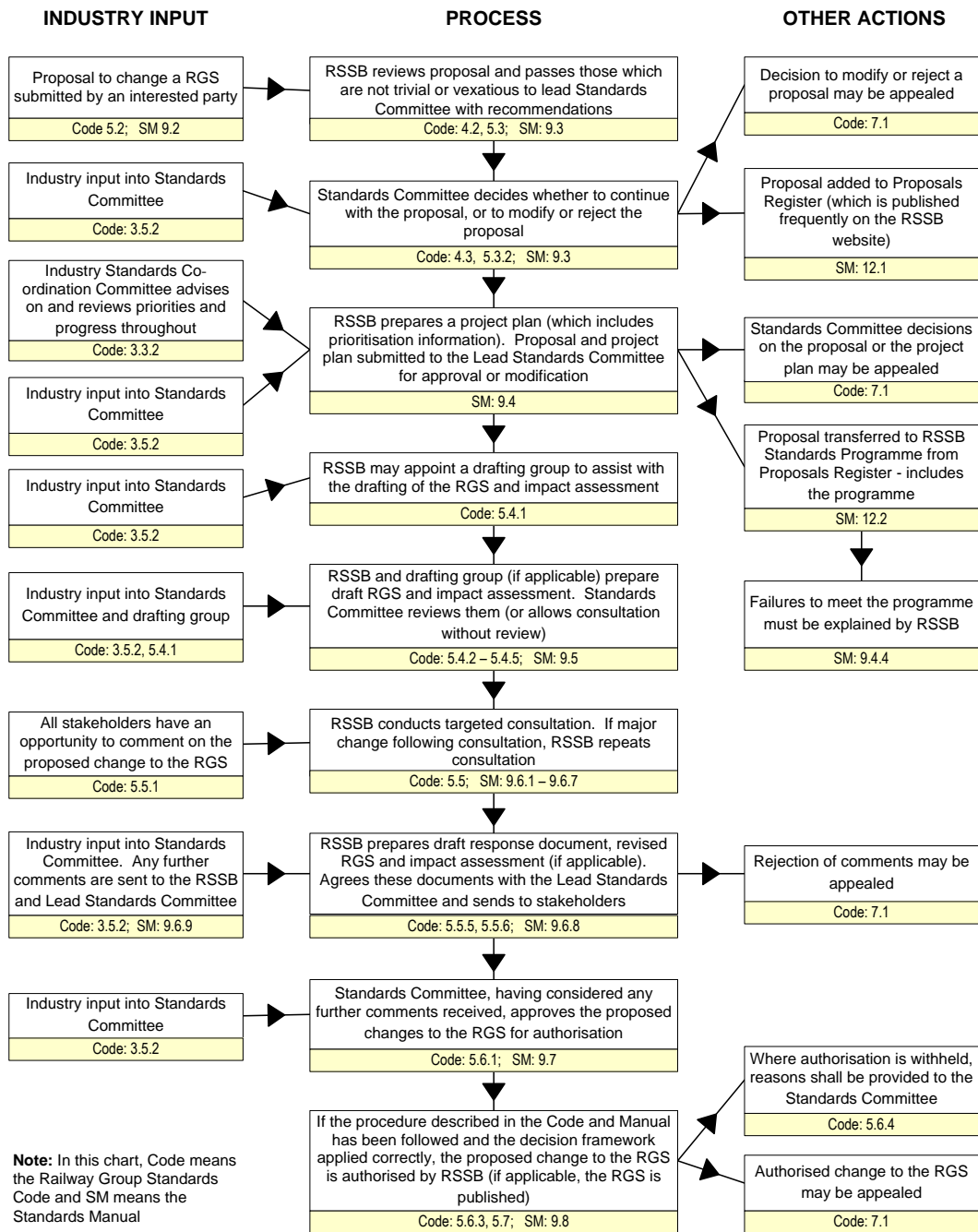
A specific case is a special provision defined in a TSI that applies to a part of the railway system because of geographical, topographical or urban environment constraints; or to maintain compatibility with the existing system. A specific case may be either temporary or permanent.

Support Standards Committee

A Support Standards Committee is a Standards Committee, other than the Lead Standards Committee, that has locus in respect of the content of specific measures within a particular RGS.

3 Standards change process flow chart

3.1 This flow chart gives a broad overview of how changes to RGSs usually take place. It should be read with the full text of the Code and the Standards Manual. If there is any inconsistency, the text of the Code or the Standards Manual shall prevail over the content of this chart.



4 Governance role of RSSB

4.1 RSSB is responsible for publishing the Code and the management of its processes as provided for in the RSSB Constitution Agreement and the Code as authorised. ISCC is the cross-industry group assigned the responsibility for taking an overview of the operation of the Code and the giving of advice to RSSB on the efficient operation of the Code.

4.2 Only RSSB can make decisions relating to the authorisation of RGSs. However, the remit of ISCC includes the provision of advice to RSSB concerning authorisation of RGSs where ISCC believes a proposed RGS should or should not be authorised notwithstanding either the action or inaction of the relevant Standards Committee. Such situations are covered by the intervention procedure set out in the following section.

4.3 Intervention procedure

4.3.1 No part of 4.3 shall be amended without the consent of the Board of Directors of RSSB (the Board):

- a) Prior to any amendments being made, and
- b) Of the proposed amendments to the text prior to publication.

4.3.2 If the Board, following consultation with the ISCC, considers a Standards Committee is failing in a material way to apply the requirements of the Code or Standards Manual (for example, without limitation, by failing to apply the decision framework defined in 4.3 of the Code correctly, causing undue delay or failing to act), the Board shall:

- a) Encourage the Standards Committee to take appropriate action
- b) Draw the issue to the attention of members of RSSB, or
- c) Review the membership of the relevant Standards Committee and require the replacement of one or all of its members.

4.3.3 Where all the actions in 4.3.2 have (where reasonably practicable) been tried and have failed to remedy the failure in a timely manner, the Board shall take further action appropriate to the circumstances. For example, this may involve moving the standards change procedure concerned on to the next stage by:

- a) Publishing a draft RGS in its then current state, or in such form as the Board considers appropriate, for consultation, or
- b) In the light of responses to the consultation on a draft RGS, authorising the RGS in a form which the Board considers to be appropriate.

- 4.3.4 Where the Board takes action pursuant to 4.3.3, it:
- a) May seek the views of the ISCC
 - b) Shall include within the consultation, response or other relevant published document, a statement of the nature of the failure
 - c) Shall demonstrate that, where appropriate, the Board had access to appropriate advice
 - d) Shall, so far as appropriate, take account of divergent views within the Standards Committee, and
 - e) Shall provide, alongside any consultation draft or authorised RGS, a written assessment against 4.3 of the Code.
- 4.3.5 Where the Board does not believe a change to a RGS, as approved by a Standards Committee, should be authorised, it shall itself (or cause the RSSB to) decline to authorise the Standards Change. Such a decision shall be made by reference to the following criteria:
- a) Have the appropriate persons been involved in the development of the RGS, has the necessary consultation (and consideration of responses) been undertaken and have all other procedural requirements been met
 - b) Are the criteria against which the change to the RGS has been developed consistent with 4.3 of the Code, and any strategies approved by the Board as relevant to RGSs, and is the proposed change to the RGS consistent with 4.3
 - c) Whether there are grounds for believing that adequate care has not been taken in the drafting the RGS, and
 - d) Whether there has been a failure to observe the provisions of the Code and the Standards Manual.
- 4.3.6 If the Board applies 4.3.5, it shall:
- a) Publish a reasoned assessment against 4.3 of the Code, which shall be fully documented by references to available information
 - b) Send that assessment to the relevant Standards Committee(s) and all industry parties which have an interest in the subject or RGS in question, and
 - c) Expedite the process as set out in 4.3.2, 4.3.3 and 4.3.4.

5 Industry Standards Co-ordination Committee

5.1 Membership

5.1.1 The ISCC members shall comprise:

- a) Up to seven elected industry members, being one for each of the industry categories other than Network Rail and two for Network Rail
- b) The RSSB Director responsible for RGSs
- c) Persons co-opted onto the ISCC, and
- d) The ISCC Chairman.

5.2 Industry Standards Co-ordination Committee Chairman

5.2.1 No part of 5.2 shall be amended without the consent of the Board:

- a) Prior to any amendments being made, and
- b) Of the proposed amendments to the text prior to publication.

5.2.2 The Board shall nominate a person to act as the ISCC Chairman.

5.2.3 The nominee:

- a) Must have appropriate professional expertise and wide experience of the railway industry
- b) Must not represent any particular sector of the industry in their role as ISCC Chairman, and
- c) Need not necessarily be an existing ISCC member.

5.2.4 If a member of ISCC has a concern regarding the suitability of the nominee for the role of ISCC Chairman they shall raise this concern with the Board.

5.2.5 In the absence of valid objections being raised within four weeks of their nomination by the Board, the nominee shall occupy the role of ISCC Chairman.

5.2.6 If the ISCC Chairman is selected from one of the industry category nominated ISCC members, the industry category concerned shall be entitled to appoint a new ISCC member on the nominee becoming the ISCC Chairman.

5.2.7 Subject to 5.2.8, the ISCC Chairman shall occupy the post for a three year term. At the end of the term the ISCC Chairman shall automatically retire. They may offer themselves for re-nomination.

5.2.8 The ISCC Chairman shall be required to relinquish his office if:

- a) A simple majority of the members of the ISCC so resolve, and
- b) The Board resolves that it agrees with that resolution.

5.2.9 If the ISCC Chairman is removed from office, the Board shall nominate an ISCC Chairman in accordance with the preceding provisions of 5.2.

- 5.2.10 In addition to chairing all meetings of the ISCC, during the first quarter of each calendar year the ISCC Chairman shall prepare and submit an annual report to the Board which shall comprise, as a minimum:
- a) A summary of the activities of the ISCC (including those of any ISCC sub-committees) over the previous calendar year, and
 - b) The views of the ISCC on the progress made by RSSB on work relating to RGSs and associated documents.

5.3 Operation

- 5.3.1 The ISCC may regulate its proceedings as it sees fit, subject at all times to complying with the provisions of the Code and the Standards Manual.
- 5.3.2 Unless the ISCC otherwise decides:
- a) It shall meet at least once every three months, and
 - b) Its meetings shall be quorate only if at least five of its members are present which must include at least one Network Rail representative and one railway undertaking (passenger) representative.
- 5.3.3 ISCC shall only take a decision if, in addition to the requirements of 5.3.2b), the representatives of the industry categories most likely to be affected by that decision are present.
- 5.3.4 Where the representatives of the industry categories most likely to be affected by an ISCC decision are not present, the decision shall either be:
- a) Deferred to the following meeting, or
 - b) Dealt with via correspondence if the ISCC Chairman believes this is appropriate given the timing and importance of the relevant issue.
- 5.3.5 The ISCC Chairman shall:
- a) Approve the agenda for each ISCC meeting, and
 - b) With support from the ISCC Secretary, encourage the relevant parties to submit papers which adequately support each agenda item.
- 5.3.6 At appropriate intervals, the ISCC shall review the adequacy of its remit and composition.
- 5.3.7 Any proposals for change to the composition of the ISCC defined in 5.1.1 shall:
- a) Comply with 3.5.1 of the Code, and
 - b) Require the consent of the Board.

5.4 Openness

5.4.1 For the ISCC, RSSB shall publish:

- a) A full list of the members of the ISCC (and shall re-publish that list when the membership changes), and
- b) The annual report of the activities of the ISCC (including those of any ISCC sub-committees) produced in accordance with 5.2.10.

5.5 Oversight of the Standards Committees

5.5.1 ISCC, taking account of the views of RSSB and the Standards Committee via their Chairmen, shall approve the composition and coverage for each Standards Committee, as described in 6.6.1, with any necessary amendments ISCC determines are appropriate.

5.5.2 If the ISCC, on the advice of RSSB, considers a Standards Committee is failing in a material way to apply the requirements of the Code or Standards Manual (for example, without limitation, by failing to apply the decision framework defined in 4.3 of the Code correctly, causing undue delay or failing to act), the ISCC shall encourage the Standards Committee to take appropriate action.

5.5.3 Where the action in 5.5.2 has (where reasonably practicable) been tried and has not remedied the failure in a timely manner, the ISCC shall draw the issue to the attention of the Board.

5.6 RSSB actions in relation to the Industry Standards Co-ordination Committee

5.6.1 RSSB shall:

- a) Submit to the ISCC regular progress reports (at a frequency to be determined by the ISCC) covering:
 - i) The proposals register
 - ii) RSSB standards programme
 - iii) The work being undertaken by the Standards Committees
 - iv) Deviation applications, and
 - v) The number, type and summary of deviations in force
- b) Seek advice from the ISCC on:
 - i) The needs of the railway industry for change to RGSs, and
 - ii) The priorities of RSSB for changes to RGSs, and
- c) Take account of advice given by the ISCC in relation to:
 - i) The prioritisation of work on RGSs, and
 - ii) The application of strategies approved by the Board as relevant to RGSs.

6 Standards Committees

6.1 Membership

- 6.1.1 Subject to 3.5.1 of the Code, the membership of each Standards Committee shall be appropriate to the technical areas on which it is required to take decisions.
- 6.1.2 Subject to 6.1.3 and 6.1.4, and following consultation with any relevant Standards Committee via its Chairman, RSSB shall recommend to ISCC for approval:
- a) The number of persons who will be elected as members of each Standards Committee, and
 - b) Which industry categories such persons will represent (if it is appropriate, an industry category may be represented by more than one person on that Standards Committee).
- 6.1.3 If there is no relevant Standards Committee Chairman, for example when an entirely new Standards Committee is being formed, RSSB shall consult directly with the ISCC in recommending the composition of that Standards Committee.
- 6.1.4 RSSB shall appoint an appropriate member of RSSB personnel to serve on each Standards Committee.
- 6.1.5 Each Standards Committee shall:
- a) Review the scope of technical expertise of its elected members and identify any additional expertise which is required appropriate to the technical areas on which it is required to take decisions, and
 - b) Seek to obtain this additional expertise, when required, through co-opted members, observers or guests.
- 6.1.6 Where a Standards Committee considers it necessary or expedient, it may recommend to ISCC that the elected membership of that committee should be altered so as to enable that committee to be as representative as possible of the views and expertise of the relevant parts of the railway industry.

6.2 Standards Committee Chairmen

- 6.2.1 Except as provided in 6.2.2, the Chairman of each Standards Committee shall be elected by the Standards Committee members from amongst their number.
- 6.2.2 If the Standards Committee and ISCC so agree, a Standards Committee Chairman may be appointed from outside the Standards Committee and without an election. Such a person shall automatically become a Standards Committee member on their appointment as Standards Committee Chairman.

- 6.2.3 When elections are to be held for the Chairman of a Standards Committee, RSSB shall arrange for the election of a Standards Committee Chairman, as follows:
- a) RSSB shall request nominations from the Standards Committee members (the RSSB Standards Committee member is eligible for nomination and may make nominations)
 - b) Nominations shall only be accepted if the nominee consents
 - c) If there is more than one nomination RSSB shall hold an election by secret ballot to select the Standards Committee Chairman, and
 - d) For any ballot:
 - i) Railway undertakings' (passenger) representatives shall be entitled to exercise in aggregate 30 per cent of the total voting rights
 - ii) Railway undertakings' (non-passenger) representatives shall be entitled to exercise in aggregate 10 per cent of the total voting rights
 - iii) Network Rail and other infrastructure managers' representatives shall be entitled to exercise in aggregate 30 per cent of the total voting rights
 - iv) Rolling stock owners' (including rolling stock leasing companies) representatives shall be entitled to exercise in aggregate 10 per cent of the total voting rights
 - v) Infrastructure contractors' representatives shall be entitled to exercise in aggregate 10 per cent of the total voting rights, and
 - vi) Suppliers' (including rolling stock manufacturers) representatives shall be entitled to exercise in aggregate 10 per cent of the total voting rights, and
 - e) Where there is more than one representative within an industry category, the aggregate percentage of the voting rights for that industry category is to be divided equally between those representatives of that industry category present and entitled to vote
 - f) The elected Chairman of a Standards Committee must not represent any particular sector of the industry in their role as Chairman
 - g) If an elected Chairman of a Standards Committee was one of the industry category committee members, the industry category concerned shall be entitled to elect a new committee member on the nominee's appointment as Chairman
 - h) Subject to 6.2.4, a Standards Committee Chairman shall be elected for a three year term. At the end of the term the Standards Committee Chairman shall automatically retire. They may offer themselves for re-election.

- 6.2.4 A Standards Committee Chairman shall be removed from office provided both:
- a) At least 65 per cent, in accordance with the voting rights defined in 6.2.3d), of the members of Standards Committee concerned so resolve, and
 - b) The ISCC resolves that it agrees with that resolution.
- 6.2.5 If a Standards Committee Chairman is removed from office, an election shall then be held for a Standards Committee Chairman in accordance with the preceding provisions of 6.2, in which the former Standards Committee Chairman may stand if he or she wishes.

6.3 Operation

- 6.3.1 Each Standards Committee may regulate its proceedings as it sees fit, subject at all times to complying with the provisions of the Code and the Standards Manual.
- 6.3.2 Each Standards Committee shall produce a remit which describes the agreed working arrangements for that committee including the circumstances, if any, in which the Chairman of that committee may approve an application for a temporary non-compliance outside of a committee meeting.
- 6.3.3 At appropriate intervals, each Standards Committee shall review the adequacy of its remit.
- 6.3.4 Unless a Standards Committee otherwise decides:
- a) It shall meet at least once every three months, and
 - b) Its meetings shall be quorate only if at least three quarters of its members are present which must include at least one Network Rail representative and one railway undertaking (passenger) representative.
- 6.3.5 A Standards Committee shall only take a decision if, in addition to the requirements of 6.3.4b), the representatives of the industry categories most likely to be affected by that decision are present.
- 6.3.6 Where the representatives of the industry categories most likely to be affected by a Standards Committee decision are not present, the decision shall either be:
- a) Deferred to the following meeting, or
 - b) Dealt with via correspondence if the Chairman believes this is appropriate given the timing and importance of the relevant issue.
- 6.3.7 The Standards Committee Chairman shall:
- a) Approve the agenda for each Standards Committee meeting, and
 - b) With support from that committee's secretary, encourage the relevant parties to submit papers which adequately support each agenda item.

- 6.3.8 When a Standards Committee considers a final draft of a new or revised RGS or the withdrawal of an existing RGS and approves it for authorisation by RSSB, the Standards Committee Chairman shall sign a certificate (provided by RSSB), signifying the approval of the committee to the content of the RGS as being suitable for authorisation or withdrawal.

6.4 Standards involving more than one Standards Committee

- 6.4.1 RSSB, taking into account the views of the Standards Committees, shall recommend to ISCC for each RGS:
- a) Which Standards Committee shall be the Lead Standards Committee
 - b) Which other Standards Committees shall be Support Standards Committees, and
 - c) Whether changes to that RGS should be approved by a Multifunctional Standards Committee, in accordance with the requirements of 6.4.6.
- 6.4.2 In making its recommendation to ISCC in accordance with 6.4.1 RSSB shall:
- a) Identify the Traffic Operation and Management Standards Committee as the Lead Standards Committee for all NOPs, and
 - b) Not identify a Multifunctional Standards Committee as a Lead Standards Committee for any RGS.
- 6.4.3 ISCC, taking account of the views of RSSB, shall approve the allocation of each RGS to a Lead Standards Committee and, where appropriate, Support Standards Committees or a Multifunctional Standards Committee, including any amendments which ISCC determines are appropriate.
- 6.4.4 Wherever a change to a RGS or a deviation from a RGS is being considered by a Lead Standards Committee or, in accordance with 6.4.2 of the Code, the Chairman of that committee:
- a) Shall take account of the views of any Support Standards Committees in making any decisions, and
 - b) In the event of any disagreement with the Support Standards Committee, the views of that Support Standards Committee shall prevail in respect of any measures for which it has the primary locus.
- 6.4.5 Decisions in respect of proposals or deviations related to a particular RGS shall normally be taken by the Lead Standards Committee for that RGS, even when a Multifunctional Standards Committee is to be established to consider subsequent decisions regarding the changes to that RGS.

- 6.4.6 It is permissible to establish a Multifunctional Standards Committee to take decisions in respect of changes to a specific RGS:
- a) Where, having taken the advice of RSSB, ISCC considers it would be more expedient or efficient to form a Multifunctional Standards Committee, or
 - b) When the Lead and Support Standards Committees do not or cannot agree on an issue that involves more than one subsystem.
- 6.4.7 In exceptional circumstances and with the prior approval of ISCC, it is permissible to establish a Multifunctional Standards Committee to take decisions in respect of proposals or deviations related to a particular RGS.
- 6.4.8 When a Multifunctional Standards Committee is to be established, RSSB shall:
- a) Develop a remit for the Multifunctional Standards Committee, and
 - b) Establish the Multifunctional Standards Committee.
- 6.4.9 Each Multifunctional Standards Committee shall be formed as follows:
- a) RSSB shall request the relevant Standards Committee Chairmen to each select two or more persons to sit on the Multifunctional Standards Committee
 - b) With the consent of their Standards Committee, each Standards Committee Chairman may nominate persons who are not members of their Standards Committee
 - c) RSSB shall appoint an appropriate member of RSSB personnel to serve as a member of the Multifunctional Standards Committee
 - d) Each Multifunctional Standards Committee shall, as a minimum, include representatives of the following industry categories:
 - i) Railway undertakings (passenger)
 - ii) Railway undertakings (non-passenger), and
 - iii) Network Rail and other infrastructure managers, and
 - e) Once the members of the Multifunctional Standards Committee are identified, RSSB shall nominate to ISCC for approval which of those members will act as Chairman of the committee.
- 6.4.10 While it is in existence, a Multifunctional Standards Committee shall take on the role, rights and responsibilities of the Lead Standards Committee for the specific RGS under consideration.
- 6.4.11 Each Multifunctional Standards Committee shall cease functioning once it has completed the specific task for which it was created.

6.5 Openness

6.5.1 In addition to the requirements of 3.5.4 of the Code, RSSB shall publish, for each Standards Committee:

- a) The name of the Standards Committee
- b) Its coverage in terms of technical areas
- c) A list of RGSs and associated documents for which it is the Lead Standards Committee, and
- d) A list of RGSs and associated documents for which it is a Support Standards Committee.

6.5.2 RSSB shall update and re-publish the lists for each Standards Committee at least once every six months and when any changes occur.

6.6 RSSB actions in relation to Standards Committees

6.6.1 RSSB shall:

- a) Propose to ISCC a statement for each Standards Committee which sets out:
 - i) The composition of the committee, in accordance with 6.1.2, and
 - ii) The coverage for the committee, and
- b) Following ISCC approval, provide that statement to the relevant Standards Committee.

6.6.2 At appropriate intervals, RSSB shall:

- a) Undertake a full review of the number of and remit for the Standards Committees
- b) Consult with the Chairmen of the Standards Committees (where they have been elected), and
- c) Recommend to ISCC whether a change to the number or remit of the Standard Committees would better fulfil RSSB's purpose.

6.6.3 Following such a review, RSSB shall:

- a) Publish a report which sets out its conclusions
- b) Consult with the members of RSSB
- c) Publish its final proposals (re-consulting if any major amendment has been made in response to consultation)
- d) Obtain the approval of the ISCC of the proposed changes, and
- e) Taking account of any amendments by ISCC, make the changes.

- 6.6.4 RSSB shall brief the Standards Committee Chairmen on relevant issues from ISCC to encourage:
- a) Consistency of policies and advice
 - b) A co-ordinated approach from all committees, and
 - c) Appropriate information sharing between committees.
- 6.6.5 RSSB shall publish a list of:
- a) The dates on which Standards Committee meetings are to be held, and
 - b) The cut-off date for the submission of proposals and deviation applications corresponding to each of those meetings.

7 Requirements applicable to all committees

7.1 Consensus

- 7.1.1 The Chairman of a committee shall seek to allow sufficient time for consideration of each agenda item.
- 7.1.2 Where a committee cannot achieve consensus in relation to any particular matter, the Chairman shall decide the most appropriate way to proceed following consultation with those committee members who represent industry categories consisting of organisations which hold safety authorisations or safety certificates relevant to the matter in question.
- 7.1.3 When a Standards Committee cannot reach consensus on an issue, the following guidelines shall also apply:
- a) Where the difference of opinion is of a technical nature the issue should be resolved within the relevant Standards Committee
 - b) Where related to the purpose or understanding of the Code the issue should be raised with the ISCC by the Standards Committee Chairman, and
 - c) Where related to an alleged failure of process by RSSB the issue should be raised with the ISCC by the Standards Committee Chairman.
- 7.1.4 Where the ISCC cannot reach consensus on an issue the ISCC Chairman shall raise the issue with the Board.

7.2 Alternate members

- 7.2.1 Any committee member (other than an alternate) may:
- a) Appoint any other suitable person (including an existing member of that committee) to be their alternate member, and
 - b) May change their appointment of an alternate member at any time.
- 7.2.2 An alternate member shall be entitled:
- a) To receive notice of all committee and sub-committee meetings of which their appointer is a member
 - b) To attend any such meeting at which the member appointing them is not personally present, and
 - c) Generally to perform all the functions of their appointer as a member in their absence.
- 7.2.3 Where an alternate member attends a committee meeting in place of their appointer, that alternate member shall be counted in the quorum for that meeting.
- 7.2.4 An alternate member shall cease to be an alternate if their appointer ceases to be a committee member.

- 7.2.5 Any appointment or removal of an alternate member shall be by written notice to the Chairman of the relevant committee, signed by the committee member making or revoking the appointment.

7.3 Co-opted members

- 7.3.1 A committee may co-opt persons to be members of that committee where it appears to the committee that such persons will better enable it to fulfil its functions, provided that the majority of the committee members are elected representatives of the industry categories referred to in 3.5.1 of the Code.
- 7.3.2 A co-opted member shall not have the right to veto any issue affecting the committee of which they are a member.
- 7.3.3 For each co-opted member, the relevant committee may withdraw that person's membership of the committee at any time.

7.4 Observers

- 7.4.1 A committee or sub-committee may invite anyone to attend any meeting as an observer.

7.5 Election of committee members

- 7.5.1 All elected committee members shall be elected in accordance with 7.5.
- 7.5.2 Committee members shall be elected for a three year term. After three years, they shall automatically retire. Retiring members may be nominated for re-election.
- 7.5.3 To enable continuity, at least one third of each committee's members shall be subject to re-election each year (the longest serving members being subject to re-election first and, in the case of service of equal length, the matter to be decided by the drawing of lots).
- 7.5.4 In order to be eligible for election as a committee member each candidate shall meet the following minimum requirements:
- a) Demonstrate competence in the area concerned, including relevant practical experience (for example, by submitting a comprehensive curriculum vitae)
 - b) Occupy (or have occupied) senior positions in the industry
 - c) In the case of engineering experts, be chartered members of an appropriate professional institution which covers the relevant area
 - d) Have a broad understanding of the Code and Standards Manual, particularly the scope and decision framework defined in part 4 of the Code, and
 - e) If elected, be willing to act as deputy chairman of the committee concerned, if so requested by that committee.

- 7.5.5 If a company or association in the electorate concerned has a doubt as to whether a candidate meets the requirements of 7.5.4 and lodges a formal concern with RSSB:
- a) For concerns regarding a member of a Standards Committee, the ISCC shall decide whether the candidate does meet those requirements, or
 - b) For concerns regarding a member of ISCC, the Board shall decide whether the candidate does meet those requirements.
- 7.5.6 The voters in the electorate for a committee seat shall be the members of RSSB in the industry category that the committee member will represent.
- 7.5.7 Where the electorate for a committee seat is covered by a single company, association or other person, it shall nominate its representative and an election need not be held.
- 7.5.8 Where the electorate for a committee seat consists of more than one company or association, then:
- a) When there is a vacancy, invitations for the nomination of candidates shall be sent by RSSB to the chief executive (or equivalent person) of each company or association in the electorate for that committee seat, and
 - b) Although nominations may only be made by a company or association in the electorate for that committee seat, candidates need not be employed by or have any other connection with a company or association.
- 7.5.9 Before an election for a seat on the ISCC, the ISCC Chairman shall inform each industry category of the type of expertise from within that industry category that would be most beneficial to the ISCC in view of the expertise available from the existing members.
- 7.5.10 The following voting arrangements shall apply to all elections for members of a committee:
- a) Elections shall be conducted by an independent body nominated by RSSB
 - b) The single transferable vote system shall be used
 - c) The ballot paper shall be sent to the chief executive (or equivalent person) of each company or association
 - d) The right to vote may not be transferred
 - e) In the event of a tie, the committee concerned shall be asked to select the successful candidate, and
 - f) The results of the vote shall be published and sent to all the voters in the electorate.

7.6 Removal of an elected committee member

7.6.1 The relevant industry category shall, at the request of RSSB, remove and replace an elected member of a committee if that member:

- a) Ceases to meet the minimum requirements for selection as a member
- b) Is absent from at least three out of six consecutive committee meetings, without the permission of that committee, or
- c) Resigns their office by notice to the committee Chairman.

7.7 RSSB support

7.7.1 In administering each committee, RSSB shall:

- a) Provide a person to be the Secretary for each committee (who shall not be considered a member of that committee)
- b) Circulate the agenda and papers to the committee members so they are received not less than five clear business days before the meeting
- c) Prepare a schedule of committee meetings for a period not less than six months in advance
- d) Provide notice of committee meetings to all members of that committee and their alternates, where relevant
- e) Provide a venue for meetings, and
- f) Provide any other support that the committee members, Chairman or Secretary may reasonably require.

7.8 Committee meeting minutes

7.8.1 Within two weeks of each committee meeting:

- a) The Secretary shall prepare draft minutes of that meeting
- b) The draft minutes shall include, as a minimum:
 - i) The names and status of the persons present at the meeting
 - ii) A record of all decisions made in that meeting, and
 - iii) A record of the rationale for each decision made in that meeting, or a reference to where the record of the rationale may be found, and
- c) If requested by a committee, the draft minutes shall then be sent to the members of that committee and any other persons determined by that committee.

7.8.2 At each meeting, a committee shall:

- a) Consider the minutes of its previous meeting
- b) Propose and agree any amendments to those minutes, and
- c) Approve the minutes of the previous meeting.

- 7.8.3 Once the minutes have been approved:
- a) The approved minutes of ISCC shall be published
 - b) A record of decisions made in each Standards Committee meeting shall be published, and
 - c) The relevant parts of the minutes shall be sent to any other person who submitted items for consideration by the committee, if so requested by that person.

7.9 Sub-committees

- 7.9.1 A committee may delegate tasks to a sub-committee, whenever it is necessary or expedient to do so and only when the work does not fall within the remit of an existing committee.
- 7.9.2 The delegating committee shall determine:
- a) The membership of any sub-committees created by that committee, and
 - b) The arrangements that apply in terms of determining whether each sub-committee meeting is quorate.
- 7.9.3 Not all sub-committee members need be members of the delegating committee, but each sub-committee shall include at least one member of the delegating committee.
- 7.9.4 A member of each sub-committee shall be responsible for producing a note of the sub-committee meeting in the form determined most appropriate by that sub-committee.
- 7.9.5 The members of the delegating committee who take part in a sub-committee shall be responsible for informing that committee of the work of the sub-committee.

7.10 Conflicts of interest

- 7.10.1 Subject to 7.10.2, members are appointed to a committee to represent the interests of the industry category which appointed them.
- 7.10.2 If the interests of the industry category which appointed a member in any way conflict with the purpose of RSSB or the best solution for the whole industry (as demonstrated by the relevant impact assessment), that member shall not seek to promote their industry category's interests in a manner which is inconsistent with the purpose of RSSB or the best solution for the whole industry.
- 7.10.3 A committee may require a member to resign from that committee if that member breaches 7.10.2.
- 7.10.4 In such circumstances:
- a) A successor shall then be appointed under the procedures in 7.5, and
 - b) ISCC and the Board shall be informed of the fact of such a resignation.

7.11 Disclosure of interests

- 7.11.1 It is possible that a committee member or the person for whom they work may have a direct or indirect personal or corporate interest in a matter to be discussed by that committee, as distinct from a common interest of the industry category they represent.
- 7.11.2 In such circumstances, the member concerned shall declare that interest:
- a) To the Chairman of the committee of which they are a member at the earliest possible opportunity, and
 - b) To the committee of which they are a member:
 - i) On the first occasion at which the matter is discussed, or
 - ii) If they are not aware of that interest at that time, at the next committee meeting after which they become aware of the interest, whether or not the matter is being discussed at that meeting.
- 7.11.3 Once disclosed, an interest need not be disclosed again.
- 7.11.4 When a committee member declares such an interest:
- a) The other committee members shall decide whether that member may continue to participate in discussions on the matter concerned, and
 - b) If the other committee members decide it is appropriate, the member may be excluded from the meeting when it discusses the matter concerned.
- 7.11.5 Should the committee decide to exclude the member with the interest, and provided he or she has sufficient notice of the exclusion, the member shall exercise reasonable endeavours to appoint a suitable alternate for discussion on the matter concerned.
- 7.11.6 Where a committee member has breached 7.11.2, the relevant committee shall determine whether it requires that member to resign from that committee.
- 7.11.7 In such circumstances:
- a) A successor shall then be appointed under the procedures in 7.5, and
 - b) ISCC and the Board shall be informed of the fact of such a resignation.

8 Decision taking on Railway Group Standards

8.1 Introduction

8.1.1 Decision taking on measures in, or proposed to be included in, RGSs is a two-step process, as follows:

- a) The first step is to decide if a measure is in scope in line with 4.2 of the Code and the guidance in 8.2 and 8.3, and then
- b) Given a measure is in scope, the second step is to apply the decision framework defined in 4.3 of the Code and the guidance in 8.4.

8.1.2 As part of deciding if an existing or proposed measure in a RGS is in scope, it is necessary to decide whether that measure is part of a suite of measures describing a process for co-operation. It can be difficult to identify a process for co-operation and 8.3 provides guidance on recognising such a process.

8.1.3 Where it is decided that a measure in an existing RGS is not in scope according to 4.2 of the Code, or the measure is in scope but does not promote the long-term best interests of the mainline railway, the measure will normally be withdrawn. Guidance on the withdrawal of measures from RGSs is set out at 8.5.

8.2 Scope

8.2.1 There are four elements to consider in determining whether a measure is in scope of a RGS under Issue Three of the Code. The fourth element, that of co-operation, is usually the one which is the most complex to articulate, hence the following steps have been developed to help determine whether a measure involves co-operation:

- a) The first step is to identify if the text under consideration is a measure, as defined in the Code
- b) The second step is to identify and describe what is being directly controlled by the measure under consideration
- c) The third step is to identify any other measures that also contribute to what is being controlled, and
- d) The fourth and final step is therefore to determine whether two or more duty holders are responsible for what is being controlled by the measure(s) under consideration.

8.2.2 In carrying out the steps at 8.2.1a) and 8.2.1b), a measure may at first appear to be out of scope of a RGS if the measure was written under an earlier issue of the Code. The text may therefore need to be reviewed in greater detail before the process at 8.2.1 can be completed and it can be properly determined if the measure is in scope.

- 8.2.3 Measures which involve co-operation between two or more duty holders are either:
- a) 'Reciprocal', which may not be decided on independently by an individual duty holder, as it has to be directly compatible with a measure implemented by another duty holder, or
 - b) 'Complementary', which:
 - i) Is not reciprocal, but
 - ii) Is part of a suite of measures, and
 - iii) May not be changed independently by an individual duty holder, as it has to complement the other measures in the suite of measures, one or more of which is implemented by another duty holder, in order to deliver the intended control.
- 8.2.4 When considering a suite of measures that defines a process for co-operation, the purpose of the process should be considered to determine whether it involves co-operation and is therefore in scope. If the overall process is in scope then the resulting RGS should contain all of the measures that are needed to enable the process to work, even if some of those measures would be out of scope if they were considered in isolation from the remainder of the process.
- 8.2.5 Under UK safety legislation, it is the responsibility of duty holders to provide competent staff to carry out the tasks necessary to deliver a safe working environment and implement the controls at the interface with other duty holders. These arrangements should be described in the duty holder's safety management system, which is required to be approved by the ORR. A RGS should not therefore contain competence management requirements that duplicate legislative requirements.

8.3 Identifying a process for co-operation between duty holders

- 8.3.1 A process for co-operation is distinct from technical or operational requirements. The following three questions can be used to test whether the measures in a particular RGS describe a process for co-operation:
- | | | |
|----|--|---|
| a) | Do the measures in the RGS describe a process? | Do the measures describe a series of actions that must be taken to achieve a result, rather than what assets look like or how they are used? |
| b) | Can the outcome from applying the process defined in the RGS be different each time the process is applied to a different situation? | If the outcome from applying the process can be different each time the process is applied to a different situation, the measures need to define the process to arrive at the outcome. In contrast, if applying the process always leads to the same outcome, the measures need to define that outcome as a prescriptive requirement rather than the process used to identify it. |
| c) | Do two or more duty holders need to co-operate in order to deliver the process as a whole? | A process must involve more than one duty holder in order to involve co-operation and therefore be in scope of a RGS. |
- 8.3.2 If the answer to all three questions listed in 8.3.1 is 'yes' then the suite of measures in that RGS describes a process for co-operation.
- 8.3.3 One particular type of activity that does not normally, in its own right, constitute a process for co-operation is that where the staff employed by one duty holder are working under contract for another duty holder.

8.4 Decision framework

- 8.4.1 After determining whether a measure, or a suite of measures, is in scope, it is necessary to consider if the measure promotes the long-term best interests of the mainline railway. The application of the decision framework in 4.3 of the Code is used to determine whether the measure should be retained, or included in, or withdrawn from the RGS. This decision framework has been developed in line with the industry document 'Taking Safe Decisions' which can be downloaded from the RSSB website.
- 8.4.2 In determining whether the railway system and its subsystems meet the essential requirements, as far as co-operation is involved in doing so, it is necessary to consider relevant national legislation as well as the measures within RGSs. This is particularly important in relation to the essential requirements other than safety.

- 8.4.3 The concept of 'reasonable practicability' has not been included as a decision criterion in the Code as this is an overarching legislative requirement and there is no need to duplicate it within the governance arrangements for RGSs. It is still expected that measures should be removed from the suite of RGSs where, for example, they are judged to no longer be reasonably practicable, or where they relate to activities which are no longer undertaken. In addition, there are other reasons why measures may no longer be needed in RGSs and it is unnecessary to attempt to define all of these circumstances in advance.

8.5 Withdrawal of measures from RGSs

- 8.5.1 Measures are normally withdrawn from RGSs either because they do not meet the scope requirements in 4.2 of the Code or they are in scope but do not promote the long-term best interests of the mainline railway in accordance with 4.3 of the Code.

- 8.5.2 Withdrawal of the measure from a RGS does not mean that the risk the measure was intended to control no longer needs to be controlled. It means that:

- a) Compliance with the measure, as the particular means of controlling the risk, is no longer mandatory within the RGS framework
- b) Duty holders remain fully responsible for continuing to manage the risk that the measure was intended to control
- c) Immediately on withdrawal of the measure from the RGS, duty holders continue to apply the same controls as those required by the measure until such time as they implement a change to manage the risk by some other method, in accordance with their safety management system, and
- d) The measure described in the RGS at the time of withdrawal will not be maintained or updated by RSSB as circumstances change.

- 8.5.3 Where a party identifies a need to retain for industry use the substance of a measure proposed for withdrawal, that party may submit a proposal for an alternative document of a type described in part 11.

8.6 Legislation

- 8.6.1 A measure shall not:

- a) Repeat legislation, or
- b) Require action or inaction from duty holders which would knowingly put them in breach of legislation.

- 8.6.2 A measure may:

- a) Impose more restrictive limits on duty holders than is defined in legislation
- b) Expand the scope of legislation to include the mainline railway, where this is not already the case, or
- c) Define how duty holders are to comply with legislation.

8.7 Impact assessment

- 8.7.1 The information required to be recorded for each change to a RGS in response to 4.5.1 of the Code shall be contained in a document which is called an impact assessment.
- 8.7.2 The impact assessment shall describe:
- a) Why the relevant RGS is being changed
 - b) What has been changed in the RGS including, where appropriate, a description of any alternative options that have been considered in developing the measures in a RGS together with the reasons why those options were rejected
 - c) What duty holders will have to do differently in response to the new, revised or withdrawn RGS
 - d) The predicted impacts that arise as a direct result of duty holders doing things differently, and
 - e) Based on an assessment of the predicted impacts, how the decision framework defined in 4.3 of the Code has been applied to the proposed changes to the new, revised or withdrawn RGS.
- 8.7.3 Where a RGS under amendment contains measure(s) that have been, or are intended to be, proposed for notification as national technical rules or national safety rules, the impact assessment shall describe how the notified status has affected the proposed changes, and/or how the proposed changes will affect the notification of those measures.
- 8.7.4 Where a measure is included or retained in a RGS solely because it is necessary to address an open point in a TSI then the impact assessment shall identify any measures which have been included for that purpose.
- 8.7.5 A Standards Committee taking a decision on the creation, revision or withdrawal of a RGS shall take into account the information contained in the impact assessment.

8.8 Involvement of groups other than Standards Committees

- 8.8.1 When a Standards Committee is taking a decision in relation to a RGS containing a process for co-operation the committee shall take account of any relevant advice from recognised industry groups that have an interest in that process for co-operation. Examples of such groups include the Safety Policy Group or the SMIS Programme Board.

9 Procedure for change to Railway Group Standards

9.1 General

- 9.1.1 This part 9 supports part 5 of the Code.
- 9.1.2 Within the requirements of the Code, the procedure for RGSs change is flexible, especially with regard to the time required for each stage. The Standards Committees, taking account of advice from RSSB, have the authority to amend the procedures in order to match the needs of a particular proposal. For example, where a RGSs change is needed urgently then the time spent on each stage may be shortened accordingly.
- 9.1.3 The process for small scale change to a RGS is intended to be used for changes which are obvious and where there is a clear consensus regarding the proposed change. Such changes may include circumstances where an error is identified in a published RGS and where that error needs to be corrected but where the rest of the RGS does not require review.

9.2 Proposals

- 9.2.1 RSSB shall publish a proposal form.
- 9.2.2 All proposals shall:
- a) Be submitted on the proposal form, and
 - b) Contain sufficient information on the issues listed in 5.2.4 of the Code to enable the Lead Standards Committee to take a decision regarding whether RSSB should continue to do any work in relation to that proposal.
- 9.2.3 Examples of issues from which proposals may arise include, but are not limited to:
- a) The analysis of risk or performance data relating to relevant railway operations
 - b) The Strategic Safety Plan
 - c) Strategies approved by the Board as relevant to RGSs
 - d) New or amended legislation
 - e) Inquiry recommendations
 - f) Changes in working practices and innovation
 - g) Intelligence gathering and industry feedback, and
 - h) Deviation applications.

9.3 Consideration of proposals

- 9.3.1 RSSB shall keep the work on each proposal under review and shall recommend to the Lead Standards Committee that work on a proposal should stop, if in the opinion of RSSB, either:
- a) The reason for the proposal ceases to exist or to be material, or
 - b) The proposal ceases to comply with the scope or decision framework defined in part 4 of the Code.
- 9.3.2 RSSB shall request further information from the party submitting a proposal:
- a) Prior to that proposal being considered by a Standards Committee, where RSSB does not consider that the proposal is sufficiently complete to enable a Standards Committee to take a decision in relation to that proposal, or
 - b) Following a request from a Standards Committee for further information.
- 9.3.3 The party submitting the proposal shall provide any such further information as is reasonably requested by RSSB in accordance with 9.3.2.
- 9.3.4 For each new proposal, the Chairmen of any Support Standards Committee(s) for the relevant RGS shall decide whether that proposal should be considered by their committee, based on:
- a) The published lists of Lead and Support Standards Committee interest in RGSs, and
 - b) Consultation with the Chairman of the Lead Standards Committee for that RGS.
- 9.3.5 Where a Support Standards Committee is to consider a proposal, the Chairman of that committee shall inform the Chairman of the Lead Standards Committee for the relevant RGS of:
- a) The date on which the proposal is to be considered, and
 - b) The opinion of the Support Standards Committee after it has considered the proposal.
- 9.3.6 Where a Standards Committee is unable to take a decision in relation to a proposal because that proposal is not sufficiently complete, the Standards Committee shall request RSSB to seek the necessary information from the party submitting the proposal.

- 9.3.7 In determining whether to continue with a proposal in accordance with 5.3.2 of the Code, the Lead Standards Committee shall decide:
- a) Whether the proposal should be:
 - i) Adopted without modification
 - ii) Adopted with modification, or
 - iii) Rejected
 - b) Where relevant, whether a proposal should be considered as a small scale change or as a proposal relating to an entire RGS, and
 - c) How the proposal is to be prioritised relative to other proposals that are already under consideration.
- 9.3.8 In determining whether a proposal should be considered as a small scale change to a RGS in accordance with 5.3.3 of the Code, the Lead Standards Committee shall consider the following factors which would support the use of a small scale change:
- a) The frequency of previous changes to the document in question is low
 - b) The benefits from changing the RGS and reissuing the document are expected to exceed promulgation costs
 - c) The RGS is not due for a more substantive amendment or review in the near future, and
 - d) There is no proposal to update the document to reflect current terminology or use the most recent document format.
- 9.3.9 Standards Committees may direct RSSB to give a higher priority to a proposal for a new, revised or withdrawn RGS when there is a:
- a) More cost-effective safety benefit
 - b) Large cost saving
 - c) Need to deliver related changes to RGSs at the same time
 - d) Need to develop changes associated with a new technology or service being introduced in accordance with a strategy approved by the Board as relevant to RGSs, or
 - e) Need to remedy a material non-compliance with RSSB's Primary Objective.
- 9.3.10 Any decision to alter the prioritisation of a proposal shall take into account any disruption or inefficiency that may result from the change in prioritisation.

9.4 Project plan

- 9.4.1 For each proposal, or related group of proposals, approved by the Lead Standards Committee RSSB shall prepare a draft project plan which shall include the following (with the level of detail being commensurate with the project stage):
- a) The proposal or proposals
 - b) An outline impact assessment
 - c) A programme, setting out timescales and resources
 - d) The consultation approach, addressing the requirements of 5.5.1 and 5.5.2 of the Code
 - e) The proposed Support Standards Committees
 - f) The reporting arrangements to the Lead Standards Committee
 - g) The reporting arrangements to the Support Standards Committee
 - h) The proposed priority, relative to other changes to RGSs
 - i) Any additional work or research that may be needed to support taking a decision in relation to the proposal
 - j) The proposed list of stakeholders to be consulted, and
 - k) A list of proposed drafting group members (if any).
- 9.4.2 Issues to be considered in setting out the consultation approach referred to in 9.4.1d) include:
- a) Whether the representative associations to be consulted need to include groups such as Trades Unions, passenger groups or the Private Wagon Owners Federation in addition to the Association of Train Operating Companies and the Rail Industry Association, and
 - b) Whether a sufficient level of industry consultation could be undertaken by representations made by and to the Standards Committee members.
- 9.4.3 The draft project plan shall be submitted to the Lead Standards Committee and any Support Standards Committee(s) for approval:
- a) When it is first prepared, and
 - b) If it is subsequently amended prior to publication of the relevant RGS, with an explanation of why the amendment has been necessary.
- 9.4.4 Once the proposal and draft project plan have been approved by the Lead Standards Committee, this will form the baseline for the project and RSSB shall advise the proposer, follow the project plan and report progress to the Lead Standards Committee and others in accordance with it.

9.5 Drafting Railway Group Standards

- 9.5.1 Standards Committees shall, where practicable:
- a) Avoid frequent changes to any one RGS, and
 - b) Progress changes to related RGSs concurrently, except in cases where this would unreasonably delay the introduction of a measure.
- 9.5.2 In developing the measures to be included in a new or revised RGS, RSSB shall, where appropriate, allow for backwards compatibility with the existing measures that currently apply to the railway system.
- 9.5.3 A RGS that is subject to a small scale change shall only be changed in respect of:
- a) The specific clauses that are the subject of change
 - b) Those changes normally required relating to the reissue of a RGS, such as the compliance requirements and the issue record, and
 - c) The inclusion of sufficient information to make it clear that the document has been reissued as a small scale change.
- 9.5.4 RSSB shall undertake the assessment of the impacts arising from the proposed changes to measures in a new, revised or withdrawn RGS in parallel with the drafting of the RGS.

9.6 Consultation

- 9.6.1 In respect of every new, revised or withdrawn RGS, RSSB shall publish all documents relevant to the consultation on the proposed amendments.
- 9.6.2 The consultation documents shall include, as applicable, the:
- a) Draft RGS
 - b) Proposed compliance date, and
 - c) Relevant impact assessment.
- 9.6.3 Where industry consultation has been undertaken by representations made by and to the Standards Committee members in accordance with 9.4.2b), RSSB shall publish the following information within one week of the relevant meeting of that Standards Committee:
- a) A description of the proposed amendments to the RGS
 - b) The expected impacts, both positive and negative, resulting from the proposed amendments to the RGS
 - c) The fact that consultation has been undertaken by representations made by and to the Standards Committee members
 - d) The date on which the amended RGS is expected to be, or has been, approved by the Lead Standards Committee, and
 - e) The mechanism by which any comment on the proposed amendment should be submitted to RSSB.

- 9.6.4 The normal minimum consultation period for a change to a RGS shall be 28 calendar days, although this may be varied by the Lead Standards Committee to suit the circumstances related to a particular RGS.
- 9.6.5 RSSB shall not be obliged to take into account any comments on the consultation documents that are received after the date on which the relevant consultation period ends.
- 9.6.6 Following consultation, RSSB shall provide the Lead Standards Committee and any Support Standards Committee(s) with the information described in 5.5.5 b) of the Code, together with a recommendation as to whether the proposed change to a RGS should be:
- a) Implemented as consulted
 - b) Implemented with amendment
 - c) Considered further, or
 - d) Rejected.
- 9.6.7 If the Lead Standards Committee believes that a significant change to the draft RGS, as consulted on, is required:
- a) The consultation shall be repeated, and
 - b) The Lead Standards Committee, through its Chairman, shall agree the content of the proposed consultation documents with RSSB.
- 9.6.8 Once the Lead Standards Committee has approved the documents referred to in 9.6.6, taking account of the views of any Support Standards Committee(s), RSSB shall distribute them in accordance with 5.5.6 of the Code:
- a) Allowing at least two weeks before the draft RGS is submitted to the Lead Standards Committee for approval, and
 - b) Including information on when the Lead Standards Committee is due to consider the approval of the draft new, revised or withdrawn RGS.
- 9.6.9 At any time before the Lead Standards Committee meets to consider the approval of the new, revised or withdrawn RGS, it is permissible for any affected person to submit further comments related to the way in which their consultation comments have been addressed:
- a) Via the member of the Lead Standards Committee who represents them, or
 - b) If there is no such Standards Committee member, via RSSB who shall pass them on to the Lead Standards Committee Chairman.

9.7 Approval and authorisation

- 9.7.1 In respect of every new, revised or withdrawn RGS, RSSB shall submit to the Lead Standards Committee and any Support Standards Committee(s) the final draft of the RGS (if applicable) and a proposed response to any comments received in response to the circulation required by 9.6.8.

- 9.7.2 Documents provided in accordance with 9.6.6 and 9.7.1 may be submitted simultaneously where the relevant committee considers it is appropriate to do so.
- 9.7.3 The Lead Standards Committee, taking account of the views of any Support Standards Committee(s), shall either:
- a) Approve the new, revision to or withdrawal of a RGS without modification
 - b) Approve the new, revision to or withdrawal of a RGS with specified modifications (and shall specify how the impact assessment shall be altered to demonstrate why the modifications have been made), or
 - c) Reject the proposed change (and shall give reasons for the rejection).

9.8 Publication

- 9.8.1 In addition to the requirements of 5.7 of the Code, RSSB shall send the proposer notice of the publication of the relevant RGS, including details of the decision and the reasons for it where the change to the RGS is either:
- a) Approved by the Lead Standards Committee with modifications
 - b) Rejected by the Lead Standards Committee
 - c) Authorised by the Board with modifications, or
 - d) Rejected by the Board.
- 9.8.2 To avoid the frequent reissue of complete NOPs, or modules within NOPs, because of amendments to NOPs not requiring significant changes to the text or pagination, RSSB shall provide the appropriate information to duty holders to enable them to inform their staff of the change in sufficient time before implementation.
- 9.8.3 In exceptional circumstances (for example, where a change to a RGS is intended to remedy a material non-compliance with RSSB's Primary Objective), it is permissible for RSSB and the Lead Standards Committee to agree that:
- a) The amended RGS may be published as soon as possible following approval by the Lead Standards Committee, and
 - b) The change shall take effect as soon as the amended RGS is published.

9.9 Review and monitoring of the effectiveness of Railway Group Standards

9.9.1 ISCC shall monitor the fitness for the purpose of all RGSs.

9.9.2 RSSB shall support ISCC in delivering 9.9.1 by:

- a) Reviewing the:
 - i) Sufficiency of RGSs, and
 - ii) Interaction between RGSs
- b) Reviewing all RGSs within 12 months of their introduction and at least once every five years thereafter, and
- c) Reviewing particular RGSs more frequently where it is necessary or expedient to do so.

10 Deviations from Railway Group Standards

10.1 This part 10 supports part 6 of the Code.

10.2 Deviation applications

10.2.1 RSSB shall publish a deviation application form which shall also form the basis for the deviation certificate.

10.2.2 All deviation applications shall:

- a) Be submitted on the deviation application form
- b) Contain sufficient information on the issues listed in 6.2 of the Code to enable the Lead Standards Committee to take a decision regarding the approval of that deviation, and
- c) Be supported by the individual who has professional responsibility for the subject area concerned within the relevant duty holder, and who has authority to make commitments on behalf of that duty holder in respect of issues related to RGSs.

10.2.3 Deviations applications submitted on or before the cut-off date for a Standards Committee meeting (published in accordance with 6.6.5) will normally be considered at that meeting.

10.3 Consideration of deviation applications

10.3.1 RSSB shall request further information from the party submitting a deviation application:

- a) Prior to that deviation application being considered by a Standards Committee, where RSSB does not consider that the application is sufficiently complete to enable a Standards Committee to take a decision in relation to that deviation, or
- b) Following a request from a Standards Committee for further information.

10.3.2 The party submitting the deviation application shall provide any such further information as is reasonably requested by RSSB in accordance with 10.3.1.

10.3.3 When determining the manner in which any further consultation on deviations is to be undertaken in accordance with 6.3.2 c) of the Code, the Chairman of the relevant Standards Committee shall consider whether adequate and more timely consultation could be undertaken via the Standards Committee members rather than by contacting the members of RSSB directly.

10.3.4 Except where 6.4.2 of the Code applies, RSSB shall submit the following documents to the relevant Lead Standards Committee:

- a) The deviation application form
- b) Any responses received from stakeholders during consultation on the deviation, and
- c) Any supporting documents.

- 10.3.5 For each new deviation application, the Chairmen of any Support Standards Committees for the relevant RGS shall decide whether that application should be considered by their committee, based on:
- a) The published lists of Lead and Support Standards Committee interest in RGSs, and
 - b) Consultation with the Chairman of the Lead Standards Committee for that RGS.
- 10.3.6 Where a Support Standards Committee is to consider a deviation application, the Chairman of that committee shall inform the Chairman of the Lead Standards Committee for the relevant RGS of:
- a) The date on which the application is to be considered, and
 - b) The opinion of the Support Standards Committee after it has considered the application.
- 10.3.7 Unless advised otherwise by the Chairman of the relevant Standards Committee(s), the individual who signed the deviation application, or their representative, shall present their case for approval of the deviation to that committee.
- 10.3.8 Where a person is to attend a Standards Committee meeting in accordance with 10.3.7, RSSB shall advise that person of the date of the meeting(s) at which the deviation will be considered.
- 10.3.9 Where a Standards Committee is unable to take a decision in relation to a deviation application because that application is not sufficiently complete, the Standards Committee may request RSSB to seek the necessary information from the party submitting the application.

10.4 Approval and authorisation

- 10.4.1 The Lead Standards Committee or, in accordance with 6.4.2 of the Code, the Chairman of that committee shall either:
- a) Approve the deviation application without modification
 - b) Approve the deviation application with specified modifications (and shall give reasons for the modifications), or
 - c) Reject the deviation application (and shall give reasons for the rejection).
- 10.4.2 When taking a decision in accordance with 10.4.1, the Lead Standards Committee or, in accordance with 6.4.2 of the Code, the Chairman of that committee shall take account of the views of any Support Standards Committee(s).
- 10.4.3 Where the decision to approve a temporary non-compliance is made by the Chairman of the Lead Standards Committee in accordance with 6.4.2 of the Code, the Chairman shall report it to the Lead Standards Committee at the next meeting of that committee.

- 10.4.4 The Chairman of the Lead Standards Committee may decline to take a decision regarding an application for a temporary non-compliance on the grounds that they:
- a) Lack the necessary technical expertise
 - b) Have a direct or indirect personal or corporate interest in the matter concerned, or
 - c) Believe it should be taken by the Lead Standards Committee.
- 10.4.5 In such circumstances, the application for a temporary non-compliance shall be considered at the next meeting of the Lead Standards Committee.
- 10.4.6 Where a Chairman of a Lead Standards Committee has reported a decision they have taken regarding an application for a temporary non-compliance to their committee and the committee disagrees with the Chairman's decision, the decision of the committee shall take precedence.
- 10.4.7 Where the Lead Standards Committee approves a deviation in accordance with 10.4.1 or where the Chairman of the Lead Standards Committee approves a deviation in accordance with 6.4.2 of the Code, the Chairman of the Lead Standards Committee shall signify to RSSB the committee's approval of the deviation by completion of a deviation approval form.
- 10.4.8 RSSB shall supply the Chairman of the Lead Standards Committee with a deviation approval form for completion pursuant to 10.4.7.
- 10.4.9 The authorisation by RSSB of a deviation shall occur only after its receipt of the completed deviation approval form in 10.4.7.
- 10.4.10 RSSB shall authorise a deviation in accordance with 6.4.5 of the Code through the issue of:
- a) A Temporary Non-compliance Certificate valid for a finite time not exceeding twelve months, or
 - b) A Derogation Certificate valid indefinitely.
- 10.4.11 It is permissible for the holder of a temporary non-compliance to apply for a new temporary non-compliance to take effect on the expiry of the existing certificate.

10.5 Review of derogations

- 10.5.1 RSSB shall review each relevant derogation when a RGS is being reviewed, to determine whether that RGS may be revised to eliminate the need for a derogation of a similar nature in the future.
- 10.5.2 Duty holders shall periodically review any derogations issued to them and advise RSSB if any of those derogations are no longer necessary and should be removed from the Deviations Register.

11 Application of the procedures to documents other than Railway Group Standards

11.1 The procedure for change to a RGS also applies to any work undertaken by RSSB, ISCC or the Standards Committees related to any of the documents listed in this part 11, save to the extent that an alternative requirement is described in one of the following sections.

11.2 Rail Industry Standard (RIS)

- 11.2.1 A RIS shall contain only measures describing functional or technical provisions applicable to:
- a) Part of a subsystem, or
 - b) A process prescribing how an individual subsystem should be operated or managed.
- 11.2.2 RSSB shall not submit a proposal relating to a RIS unless requested to do so by a member of RSSB, an association representing a group of members of RSSB, or a Standards Committee.
- 11.2.3 The Lead Standards Committee, taking account of the views of any Support Standards Committee(s), shall determine whether to continue with a proposal relating to a RIS on the basis of:
- a) Whether the proposal is in scope, as defined in 11.2.5
 - b) Whether the proposal is supported by a group of members of RSSB including at least one duty holder, as appropriate to the proposal under consideration, which has agreed to work to the RIS, and
 - c) How it relates to the decision framework defined in 4.3 of the Code.
- 11.2.4 A proposed change to a RIS shall not be accompanied by an impact assessment.
- 11.2.5 A measure shall be within scope of a RIS only if it:
- a) Is railway specific, and
 - b) Does not involve co-operation between any two or more duty holders.
- 11.2.6 There shall not be an RSSB-managed process for deviations from a RIS.

11.3 Rail Industry Approved Code of Practice (RACOP)

- 11.3.1 A RACOP on a particular subject shall be produced by RSSB only at the request of a group of duty holders.
- 11.3.2 The Lead Standards Committee, taking account of the views of any Support Standards Committee(s), shall determine whether to continue with a proposal relating to a RACOP on the basis of:
- a) Whether it is in scope, as defined in 11.3.4, and
 - b) How it relates to the decision framework defined in 4.3 of the Code.

- 11.3.3 A proposed change to a RACOP shall not be accompanied by an impact assessment.
- 11.3.4 The content of a RACOP shall be in scope only if it:
 - a) Is railway specific, and
 - b) Relates directly to measures in a published RGS.
- 11.3.5 There shall not be a process for deviations from a RACOP.

11.4 Rail Industry Guidance Note (GN)

- 11.4.1 A GN on a particular subject shall be produced by RSSB only at the request of a group of duty holders.
- 11.4.2 The Lead Standards Committee, taking account of the views of any Support Standards Committee(s), shall determine whether to continue with a proposal relating to a GN on the basis of:
 - a) Whether guidance in relation to the particular issue would provide benefit to members of RSSB, and
 - b) How it relates to the decision framework defined in 4.3 of the Code.
- 11.4.3 A proposed change to a GN shall not be accompanied by an impact assessment.
- 11.4.4 The content of a GN shall be in scope only if it is railway specific.
- 11.4.5 There shall not be a process for deviations from a GN.

12 Registers

12.1 Proposals Register

- 12.1.1 RSSB shall establish and maintain a register of all proposals, to be called the 'Proposals Register'.
- 12.1.2 The Proposals Register shall set out the current status of work on proposals.
- 12.1.3 When RSSB receives a proposal, it shall enter it into, and keep a record of its progress in, the Proposals Register.
- 12.1.4 A proposal may not be deleted from the Proposals Register until it is transferred to the RSSB Standards Programme or rejected.
- 12.1.5 For each proposal, the Proposals Register shall:
- a) Contain a reference number for each proposal
 - b) List the title of the proposal
 - c) List the company for which the proposer works
 - d) Record the stage the proposal is at
 - e) List the documents for which the proposal is likely to have implications (such as RGSs or deviations) including whether the content of those documents has been notified as a national technical rule or national safety rule, and
 - f) Provide any information available regarding the prioritisation of the proposal.
- 12.1.6 RSSB shall:
- a) Publish the Proposals Register, and
 - b) Fully update the published Proposals Register at least once a month.

12.2 RSSB Standards Programme

- 12.2.1 If the draft project plan for a RGS is approved by the Lead Standards Committee it shall be known as the 'project plan' and the relevant proposal shall be removed from the Proposals Register.
- 12.2.2 RSSB shall establish and maintain a register of all project plans called the 'RSSB Standards Programme'.
- 12.2.3 For each project plan, the RSSB Standards Programme shall:
- a) Contain a reference number
 - b) List the title and relevant RGS number(s)
 - c) Record the stage the project is at, and
 - d) Show expected dates for the achievement of key milestones.

- 12.2.4 RSSB shall update the RSSB Standards Programme if the programme set out in the project plan is not complied with.
- 12.2.5 A project plan may not be deleted from the RSSB Standards Programme until the change to the RGS derived from it is either authorised or rejected.
- 12.2.6 RSSB shall:
- a) Publish the RSSB Standards Programme, and
 - b) Fully update the published RSSB Standards Programme at least once a month.

12.3 Deviations Register

- 12.3.1 RSSB shall establish and maintain a Deviations Register.
- 12.3.2 The Deviations Register shall list the deviations in sufficient detail, setting out at the least the following:
- a) The company/companies to which the deviation applies
 - b) Whether that deviation is permitted by a temporary non-compliance or derogation
 - c) Which clauses of the RGS concerned the deviation relates to
 - d) The alternative requirements that have been approved in the deviation
 - e) Why that deviation is permitted, and
 - f) If applicable, when that deviation must cease.
- 12.3.3 The Deviations Register shall distinguish between derogations issued against current RGSs and derogations issued against RGSs which have been withdrawn.
- 12.3.4 RSSB shall:
- a) Publish the Deviations Register, and
 - b) Fully update the published Deviations Register at least once every two months.

12.4 Standards Catalogue

- 12.4.1 RSSB shall establish and maintain a Standards Catalogue.
- 12.4.2 The Standards Catalogue shall, as a minimum, list the number, title and synopsis of each RGS, RIS, RACOP and GN.
- 12.4.3 Subject to the approval of the Chairman of the relevant Lead Standards Committee, RSSB may publish an amendment or clarification to a RGS, RIS, RACOP or GN in the Standards Catalogue.

- 12.4.4 An amendment published in the Standards Catalogue shall:
- a) Not alter the meaning of the relevant technical requirement, and
 - b) Normally be used where the promulgation costs are expected to exceed the benefits from the amendment, hence reissuing the document is not supported.
- 12.4.5 A clarification published in the Standards Catalogue shall not alter the text of the relevant measure.
- 12.4.6 RSSB shall:
- a) Publish the Standards Catalogue, and
 - b) Fully update the published Standards Catalogue at least once every two months.

12.5 Stakeholder Register

- 12.5.1 RSSB shall establish and maintain the Stakeholder Register.
- 12.5.2 The Stakeholder Register shall (from time to time) set out the name of each stakeholder followed by the details of all RGSs which each stakeholder:
- a) Has to comply with or will have to comply with when they come into force, or
 - b) Has notified to RSSB as being:
 - i) Standards where it wishes to be notified of proposed changes, and
 - ii) Standards where it does not wish to be notified of proposed changes.
- 12.5.3 The Stakeholder Register shall include the following contact details for each stakeholder:
- a) Name
 - b) Postal address
 - c) Email address
 - d) Telephone number
 - e) Facsimile number, and
 - f) Agreed point of contact for consultation purposes.
- 12.5.4 Each stakeholder shall inform RSSB:
- a) If their contact details change
 - b) If they wish to change the status of their interests in relation to a particular subject area or RGS for the purposes of the Stakeholder Register (for example where a stakeholder who previously did not wish to be notified of a proposal to change a RGS decides that in future it wishes to receive such notification), or
 - c) If they wish to be removed from the Stakeholder Register.

- 12.5.5 RSSB shall amend the Stakeholder Register to reflect any changes which it is informed of by a stakeholder.
- 12.5.6 If RSSB wishes to amend the status of a stakeholder in terms of their interest in a particular subject area or RGS, or to remove any person from the Stakeholder Register, they shall first obtain consent from the stakeholder.
- 12.5.7 An up-to-date version of the Stakeholder Register shall be published on the RSSB website at least once every three months.

13 RSSB support for other industry documents

13.1 Introduction

13.1.1 This part 13 sets out the arrangements under which documents outside the scope of the Code may be supported by RSSB if so requested by a relevant organisation or committee.

13.2 Approval process

13.2.1 Any organisation or committee may approach RSSB for support with the development and/or publication of documents produced by that body.

13.2.2 The purpose and governance arrangements of the body requesting support under 13.2.1 shall be acceptable to the ISCC in order for any RSSB support to be made available.

13.2.3 In determining whether the organisation or committee is acceptable under 13.2.2, ISCC shall consider whether that body:

- a) Has a purpose that supports the Primary Objective of RSSB
- b) Allows for representation from all of the groups affected by the output from the body
- c) Enables members to have the means to consult with and obtain a mandate from their respective constituencies, where members of the body represent a constituency within the railway industry
- d) Provides a process for consultation with affected parties in relation to the output from the body, including responding to comments raised during such consultation
- e) Makes all decisions by a mechanism that is transparent to the membership of that body, and
- f) Provides a change control process for amending or updating the documents produced under these arrangements.

13.2.4 The nature of the support provided by RSSB, including arrangements for publication, shall be set out in a memorandum of understanding between the body and RSSB.

13.2.5 Prior to any support being provided by RSSB, the memorandum of understanding shall require approval by:

- a) ISCC, based on a recommendation from RSSB, and
- b) RSSB Board, based on a recommendation from ISCC.

14 Management of Railway Group Standards as national technical rules

14.1 Introduction

- 14.1.1 European Interoperability Directive 2008/57/EC requires Member States to draw up, for each subsystem, a list of the technical rules in use for implementing the essential requirements and notify this list to the European Commission when:
- a) No relevant technical specification for interoperability (TSI) exists for that subsystem
 - b) A derogation from a TSI has been notified, in order to define the details of the alternative provisions which will be applied
 - c) A specific case requires the application of technical rules not included in the relevant TSI, or
 - d) An open point has been identified in an annex to a TSI.
- 14.1.2 The process for identifying, approving and reviewing the measures from RGSs which are suitable for use as NTRs for the GB mainline railway in cases a), c) and d) above is defined in 14.2 and 14.3. NTRs proposed in support of a derogation from a TSI will be proposed by the party seeking the derogation.
- 14.1.3 If RSSB has proposed a RGS as a NSR in accordance with part 15 this does not prevent the same RGS being proposed by RSSB as a NTR in accordance with this part 14 provided the relevant criteria for a NTR are met by that RGS.
- 14.1.4 As defined in 3.3 and 3.4 of the Code, the approval, by ISCC and Standards Committees respectively, of lists of RGSs proposed to be NTRs is necessary in order that RSSB may then submit those lists to the Member State. The RGSs on these lists have no status as NTRs until such time as they have been notified to the European Commission by the Member State.
- 14.1.5 The process by which a derogation from a notified NTR which is a RGS may be obtained is defined in 14.4. Note that a derogation from a notified NTR is not a derogation from a TSI.
- 14.1.6 There will not always be a suitable RGS to notify as a NTR against each open point. For the open points where no RGS has been notified, each contracting entity will need to determine how to address the open points which are relevant to their project. As a part of the Standards Committees' role of providing a forum for the exchange of information and views in respect of European standards activities, a contracting entity may seek observation and comment from Standards Committees regarding how that contracting entity is intending to close out any open points applicable to their project in accordance with 14.5.

14.2 Identification and approval of Railway Group Standards as national technical rules for published TSIs

- 14.2.1 This section 14.2 defines the process for the identification and approval, in accordance with the Code, of measures from RGSs as NTRs for a TSI that has been published in the Official Journal of the European Union.
- 14.2.2 Following the publication of a TSI in the Official Journal of the European Union, RSSB shall review that TSI to identify declared open points within it.
- 14.2.3 For each open point, RSSB shall search for a measure in RGSs which addresses the issue described by the open point.
- 14.2.4 Where a suitable measure is identified in a RGS, RSSB shall propose that measure to be the NTR for the GB mainline railway for that open point.
- 14.2.5 For each TSI which contains an open point, RSSB shall produce a list setting out the following information:
- a) All of the open points from that TSI
 - b) The measures from RGS(s) which are to be proposed as the NTR(s) for each open point, identified by a unique reference
 - c) The body which is responsible for carrying out any required assessment of conformity for each NTR which is a measure from a RGS, and
 - d) Any relevant additional information which RSSB believes a contracting entity may need to know regarding each open point.
- 14.2.6 Where there is no suitable measure(s) from a RGS to cover an open point or the identified measure(s) only partially addresses the open point, RSSB shall:
- a) Include a comment on the list identified in 14.2.5 which describes:
 - i) The extent to which the open point is closed by the measure(s) from RGSs, and
 - ii) Any actions being undertaken to close the open point, and
 - b) Produce a list of related existing documents that may provide guidance to a contracting entity regarding what they will need to do to deliver the essential requirements with respect to that open point for the GB mainline railway.

- 14.2.7 The following types of document may be relevant to the list at 14.2.6b):
- a) UK legislation
 - b) Other standards published by organisations in the GB rail industry (eg, ATOC standards or Network Rail company standards)
 - c) Documents published by the European Railway Agency (ERA) (eg, in relation to the specification for ERTMS or GSM-R where ERA documents may be more important than RGSs), and
 - d) Other appropriate documents (eg, GB rail industry codes of practice or guidance notes, British Standards or Euronorms).
- 14.2.8 RSSB shall seek approval of all new or revised lists of measures from RGSs to be proposed as NTRs and the lists of other types of documents, produced under 14.2.5 and 14.2.6b) respectively, from the relevant Standards Committee(s).
- 14.2.9 The relevant Standards Committee(s) shall either:
- a) Approve the proposed lists without modification
 - b) Approve the proposed lists with specified modifications, or
 - c) Reject the proposed lists (and shall give reasons for the rejection).
- 14.2.10 Following approval by the relevant Standards Committee(s), RSSB shall seek approval of the lists described in 14.2.8 from ISCC.
- 14.2.11 ISCC shall either:
- a) Approve the proposed lists without modification
 - b) Approve the proposed lists with specified modifications, or
 - c) Reject the proposed lists (and shall give reasons for the rejection).
- 14.2.12 Following approval by ISCC, RSSB shall:
- a) Submit the lists of measures from RGS being proposed as NTRs to the Department for Transport with a recommendation that they be notified to the European Commission, and
 - b) Publish the list of related documents on the RSSB website, following advice from the Department for Transport that the notification to the European Commission has been submitted.

14.3 Review of national technical rules

- 14.3.1 Where a measure in a RGS is included on a list of proposed NTRs and that RGS is subsequently revised or withdrawn, RSSB shall amend the list of proposed NTRs in accordance with 14.2.

14.4 Derogations from notified national technical rules which are Railway Group Standards

- 14.4.1 This section 14.4 applies only to those notified NTRs which are measures in RGSs.
- 14.4.2 The procedure for deviations from RGSs set out in part 6 of the Code and part 10 of the Standards Manual shall apply to derogations from notified NTRs which are measures in RGSs, save to the extent that an alternative requirement is described in this section 14.4.
- 14.4.3 No party shall submit an application for a temporary non-compliance from a notified NTR.
- 14.4.4 A derogation from a notified NTR may be granted to any party who is entitled to seek a derogation from a TSI in accordance with the Railways (Interoperability) Regulations 2006.
- 14.4.5 All derogation applications shall be supported by the individual who has professional responsibility for the subject area concerned within the relevant industry party and who has the authority to make commitments on behalf of that party in respect of issues related to the derogation.

14.5 Standards Committee observations and comment to contracting entities

- 14.5.1 A contracting entity undertaking work on the GB mainline railway may submit its proposals for the closing out of open points not addressed by RGSs to the relevant Standards Committee(s) for general observations and comment.
- 14.5.2 A contracting entity seeking general observations and comment on its proposals shall submit each of the following to RSSB:
- a) A document which describes:
 - i) The project-specific technical rules intended for use in closing out each open point, and
 - ii) The body which is responsible for carrying out any required assessment of conformity of those rules, and
 - b) The form published (from time to time) on RSSB's website for the purposes of contracting authorities wishing to submit their proposals to RSSB pursuant to 14.5.1, completed and executed for and on behalf of the contracting entity.
- 14.5.3 Following receipt of the documents to be supplied pursuant to 14.5.2, RSSB shall pass them to the relevant Standards Committee(s).

- 14.5.4 The relevant Standards Committee(s) may provide observations and comment relating to:
- a) The technical aspects of the proposed project-specific technical rules
 - b) Where identified, areas where the contracting entity's proposed approach may bring it into conflict with existing industry standards, and
 - c) Whether the proposed technical rules may be appropriate as the basis for a new RGS which could be notified as a NTR for the GB mainline railway.
- 14.5.5 The Chairman of the relevant Lead Standards Committee, or RSSB on their behalf, shall write to the contracting entity to provide a written record of the Committee's observations and comment regarding the intended approach.
- 14.5.6 Where a contracting entity decides to change the technical rules for their project in response to observation and comment from a Standards Committee, the contracting entity may resubmit the technical rules to the Standards Committee for further observation and comment, should they wish to do so.

15 Management of Railway Group Standards as national safety rules

15.1 Introduction

- 15.1.1 The Railway Safety Directive 2004/49/EC, as amended by 2008/110/EC, requires each Member State to notify the European Commission of all the relevant NSRs in force and indicate their area of application. The types of NSRs which must be notified are listed in Annex II to the Directive. The purpose of such notification is to give visibility to railway undertakings from one Member State of the rules they will need to comply with if they wish to operate in another Member State. The NSRs for GB may also be of use to future open access operators from within GB.
- 15.1.2 The range of rules which may need to be notified as NSRs includes legislation as well as industry standards. This part 15 describes the process for identifying any relevant RGSs as NSRs applicable to the GB mainline railway. The resulting list of RGSs will be a subset of the NSRs applicable to the GB mainline railway, while a range of other documents may be applicable to other parts of the UK railway networks.
- 15.1.3 The identification of NSRs is qualitatively different from that for NTRs. With NSRs it is a matter of classifying the rules already in force and notifying the ones that 'match', whereas for NTRs it is about fitting a specific rule to a pre-defined 'gap' in either a TSI, a derogation or a specific case.
- 15.1.4 If RSSB has proposed a RGS as a NTR in accordance with part 14 this does not prevent the same RGS being proposed by RSSB as a NSR in accordance with this part 15 provided the relevant criteria for a NSR are met by that RGS.
- 15.1.5 As defined in 3.3 and 3.4 of the Code, the approval, by ISCC and Standards Committees respectively, of lists of RGSs proposed to be NSRs is necessary in order that RSSB may then submit those lists to the Member State. The RGSs on these lists have no status as NSRs until such time as they have been notified to the European Commission by the Member State.

15.2 Identification and approval of Railway Group Standards as national safety rules

- 15.2.1 Only RGSs shall be proposed as NSRs by RSSB in accordance with this section 15.2.
- 15.2.2 RSSB shall review RGSs to identify those RGSs or measures in RGSs that correspond to a type of NSR listed in Annex II of the Railway Safety Directive.
- 15.2.3 RSSB shall produce a list of the RGSs or measures in RGSs which are to be proposed as NSRs, with sufficient information to uniquely identify each RGS or, where relevant, each measure from RGSs.

- 15.2.4 RSSB shall seek approval of all new or revised lists of RGSs or measures in RGSs which are to be proposed as NSRs from the relevant Standards Committee(s).
- 15.2.5 The relevant Standards Committee(s) shall either:
- a) Approve the proposed lists without modification
 - b) Approve the proposed lists with specified modifications, or
 - c) Reject the proposed lists (and shall give reasons for the rejection).
- 15.2.6 Following approval by the relevant Standards Committee(s), RSSB shall seek approval of the lists described in 15.2.4 from ISCC.
- 15.2.7 ISCC shall either:
- a) Approve the proposed lists without modification
 - b) Approve the proposed lists with specified modifications, or
 - c) Reject the proposed lists (and shall give reasons for the rejection).
- 15.2.8 Following approval by ISCC, RSSB shall submit the lists of proposed NSRs to:
- a) The Department for Transport with a recommendation that they be notified to the European Commission, and
 - b) The ORR, together with any additional information about each NSR which the ORR may require in order to complete their entry into any relevant European database.
- 15.3 Review of national safety rules**
- 15.3.1 Where a measure in a RGS is included on a list of proposed NSRs and that RGS is subsequently revised or withdrawn, RSSB shall amend the list of proposed NSRs in accordance with 15.2.

16 Administration

16.1 Standards Manual implementation and transition arrangements

- 16.1.1 Subject to 16.1.2, Issue Two of the Standards Manual supports Issue Three of the Code and is effective from 05 December 2009.
- 16.1.2 ISCC may direct that Issue One of the Manual (or any part thereof) shall continue to apply to any decision regarding a RGS or deviation which is in the course of being processed at the time Issue Two of the Standards Manual becomes effective.

16.2 Publication

- 16.2.1 Where the Standards Manual refers to a document being published, it shall be published in accordance with 8.3 of the Code.

16.3 References in the Standards Manual

- 16.3.1 Any reference to another document in the Standards Manual shall include any subsequent amendment to that document.