Safety Validation Process

Safety validation is the process of demonstrating that a change can be introduced safely and in compliance with legal duties, including the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) and the Common Safety Method for Risk Evaluation and Assessment (CSM RA), through hazard identification, risk assessment, control measures and documented assurance.

Why it matters

- Demonstrates compliance with legal and regulatory obligations, including the Railway and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) and Common Safety Method for Risk Evaluation and Assessment (CSM RA, Commission Implementing Regulation (EU) 402/2013, retained in UK law)

- Identifies any foreseeable hazard associated with the change, by identifying control measures to manage the risk

- Provides a clear auditable process for people to follow

- Supports Network Rail's vision of Everyone Home Safe Every Day.

When SVP is used

- Making organisational changes that affect safety roles or responsibilities
- Implementing changes to operational processes or safety-critical procedures.

SVP is not

- A tick-box exercise
- A one-time safety check
- A substitute for ongoing safety management
- Just for engineers – it's a cross-functional responsibility.

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What it involves

The 8-step SVP framework

Step		What happens
1	Change need identified	The Change Sponsor nominates a competent Change Proposer.
2	SV001 Form	Change Proposer works through the SV001 form; this is considered the Preliminary System Definition.
3	Determine SV Level	The SV001 will underpin the determination of the Safety Validation level. If It's a Level 1, then it means no safety risk is identified as part of the proposal, and the process is complete. When a Level 2, 3 or 4 is identified, then additional requirements need to be satisfied.
4	Determine 'Significance'	For level 2, 3 and 4, a significance test is required to understand how much risk is being imported. This determines next steps needed to satisfy safety validation. Changes can be 'non-significant', 'significant' or 'substantial'. When non-significant, you follow the risk management process to identify hazards and mitigate the risks detailed within the standard.
5	Appoint Assessment Body (AsBo)	Where a level 3 (Significant) change is identified, the Change Proposer must appoint an independent AsBo to provide oversight and governance for the Safety Validation Process.
6	Health & Safety Management System (HSMS) Changes	When a level 4 (Substantial) change is identified that results in a change to the HSMS, then this requires a submission to the ORR by the HSMS owner. Until the ORR have granted permission through re-authorisation (Infrastructure Manager) or re-certification (TOC/FOC), the change cannot be implemented.
7	Approval & Sign Off	When the process is complete, the Change Proposer provides all documentation to the Change Sponsor for review, after which the Change Sponsor confirms they are satisfied by signing the Go-Live Criteria document. This is then provided to the HSMS owner at least a week before the change is implemented.
8	Post Implementation Review	For level 2, 3 and 4 changes, a Post Implementation Review is required. The length of time this is undertaken after the change goes live is decided as part of the safety validation, and this is led by the Change Proposer. Once completed, the supporting documents are provided to the HSMS owner.

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What to do

What does 'good' look like?

Roles, behaviours & good practice

Change Proposer:

- Manages and implements the change, prepares the justification, confirms CSM RA compliance, updates the HSMS as needed, follows change governance, provides safety validation evidence, and appoints an Assessment Body (AsBo) for level 3 and 4 changes

- Is competent (Level 3 CSM RA competence and has completed the CSM RA E-learning) to act as the Change Proposer

- Is familiar with the process (i.e. Network Rail standard 'NR/L2/HSS/020 – Safety Validation for Organisational Change')

- Should be curious and explore the potential impacts of the change, especially relating to interdependencies

- Must remember that level 2, 3 and 4 changes are subject to Post Implementation Review (PIR).

Change Sponsor:

- Is responsible for confirming proposer competence, endorsing the change, securing funding, approving safety validation, and appointing go-live and review leads

- Appoints a competent person as the Change 'Proposer', and they are competent (Level 3 CSM RA competence and have completed the CSM RA E-learning)

- Understands the standard requirements of the process (i.e. Network Rail standard 'NR/L2/HSS/020 – Safety Validation for Organisational Change')

- Remembers that the process isn't complete when the change has been implemented, and that planned Post Implementation Reviews may be required depending on safety validation level

- Signs off only when satisfied that the requirements for Safety Validation as defined in the standard have been fully met.

Questions to consider

1 If acting as a Change Proposer, who do you need to engage with to make sure potential impacts are identified and assessed?

2 When explaining a change, try to be accurate, brief and clear. For complex changes, ask; should this be split into component parts to manage effectively?

3 What's the plan for delivery of the Safety Validation process? Missing steps or underestimating time requirements or impacts can cause delays and result in harm to people (staff, passengers, public) or loss to the business.

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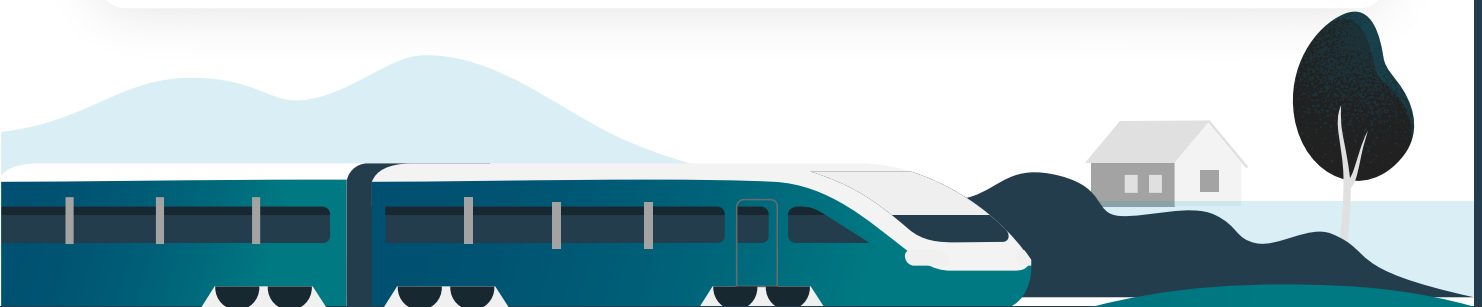
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Resources

Manager considerations

- When a change is being discussed, consider the requirements for undertaking Safety Validation, including who is competent to be Change Proposer

- Good safety validation explores the potential for unintended consequences, so consider this if you are reviewing documentation prior to sign off

- If there are multiple changes being proposed, or future changes being discussed, then make sure these are factored in by your Change Proposer. They may have an impact on successful implementation.

Resources and support

- **Safety Central –** https://safety.networkrail.co.uk

- **Network Rail Standards –** NR/L2/HSS/020 Safety Validation for Organisational Change

- **MyConnect –** Search "Safety Validation Process" or see Safety Validation – Home and Safety Validation Templates

- **ORR Guidance –** https://www.orr.gov.uk/sites/default/files/om/common-safety-method-guidance.pdf

- **RSSB Guidance –** https://www.rssb.co.uk/standards-catalogue/CatalogueItem/GEGN8646-Iss-1

- **Common Safety Method for Risk Evaluation and Assessment (CSM RA) –** https://www.era.europa.eu/domains/common-safety-methods/risk-evaluation-assessment-csm_en

- **Speak Out –** Confidential reporting for safety concerns

- **Contact –** mailto:safetyassurance@networkrail.co.uk

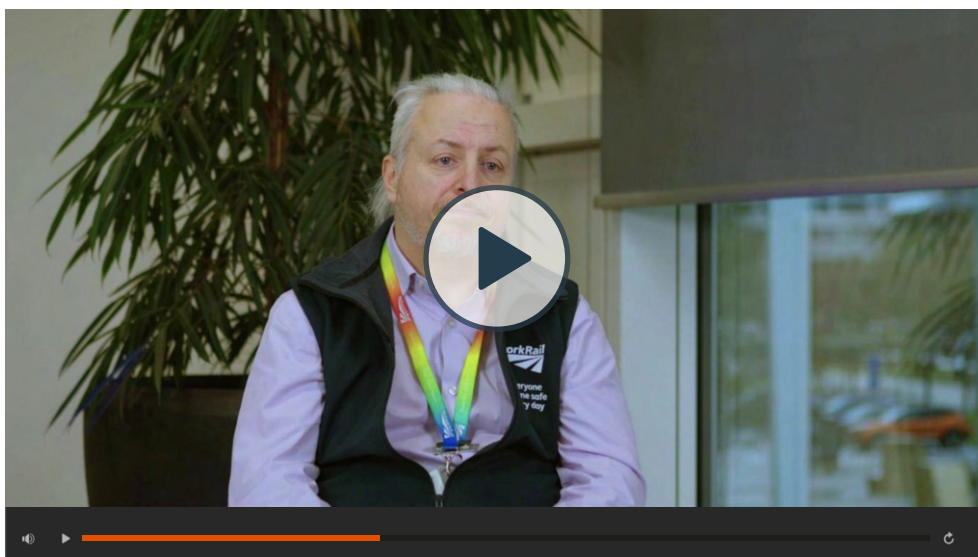Empowered   Always safe   Care   Teamwork

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Video

Safety Validation Process

In this video, Nick Livesey, Health & Safety Management System Specialist, describes SVP and the different SVP levels, common misconceptions and what 'good' looks like.

Select the play button below for an overview.

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