1 INTRODUCTION TO THE SAFETY CERTIFICATION DOCUMENTATION

1.1.1 The purpose of this document is to provide information supporting the due re-application for a Safety Certificate by Network Rail to meet the requirements of the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) and subsequent amendments.

1.1.2 This document summarises the arrangements which Network Rail has in place to match the ORR application assessment criteria for:

- the safe operation of Directly Operated Fleet (DOF) including On Track Machines, and the maintenance of DOF to operate on the mainline railway; and

- the overall Safety Management System (SMS (TU), through which these arrangements are managed

1.1.3 The SMS (TU) is designed to deliver safety through the effective control of risk. Where there is the potential for significant risk Network Rail has developed internal standards and procedures, which are referenced within this document.

1.1.4 Network Rail's Chief Executive holds the principal accountability for the safety of the company's activities under the Safety Certificate. This document describes how this accountability is discharged.

2 DUTY HOLDER

2.1.1 The Duty Holder of the Safety Certificate is:

Network Rail,
2nd Floor
One Eversholt Street,
Euston,
London.
NW1 2DN

2.1.2 The company is registered in England and Wales, No. 2904587, the company registered address is: Network Rail, 2nd Floor, One Eversholt Street, Euston, London. NW1 2DN

2.1.3 The company operates as "Network Rail", and is referred to as such throughout these documents.

2.1.4 The application for a Safety Certificate is made by Network Rail at the company address as shown above.

3 STRUCTURE OF THE SAFETY CERTIFICATION DOCUMENT

3.1.1 This Safety Certification document is in two parts;

- Mainline Criteria, Transport Undertakings (Part A)

- Mainline Criteria, Transport Undertakings (Part B)

3.1.2   In order to avoid duplication of information, the high level descriptive information is contained within Network Rail Health and Safety Management System HSMS (IM) with specific descriptive information in the Network Rail Safety Management system SMS (TU).

3.1.3   This document cross-references and provides signposts to the SMS (TU), including Network Rails policies, Standards and procedures, from the criteria used by the Safety Authority (ORR). It demonstrates conformity of the SMS (TU) with the requirement of obtaining the Safety Certificates.

4   MAINTENANCE OF SAFETY CERTIFICATION DOCUMENT

4.1.1   The Director, Supply Chain Operations Fleet & Engineering is responsible for maintaining the Safety Certification documentation.

4.1.2   Substantial alteration to the type or extent of operations, Network Rail will apply to the Office of Rail Regulation (ORR) for an amended certificate before the changes are introduced. For all other significant changes (such as the introduction of new On Track Machines, or major organisational changes), the ORR will be informed without delay.

4.1.3   The Safety Certificate will be maintained as a controlled document and issued to relevant stakeholders. The Director, SCO Fleet & Engineering will ensure that employee representatives are involved in with the development of the document and supporting management systems, and that all relevant employees are aware of the broad requirements of the SMS (TU).

4.1.4   Maintenance of the Safety Certificate documentation will follow the change control procedures outlined in MTU-M of this document.

5.   SUMMARY OF CHANGES SINCE PREVIOUS APPLICATION

5.1.1.   Network Rail (TU) has increased its fleet to include On Track Machines and wagons for the Overhead Line Electrification Train (OLET) since the previous application. The core management system for providing trains for engineering operations is unaltered.

5.1.2.   Since the previous application, the Network Rail (TU) organisation has changed so that the Director Fleet & Engineering is now the person with overall responsibility as 4.1.1 above.

5.1.3.   The organisation for the management of train driving activities is still dedicated to DOF, and falls under the Principal Driving and Operational Standards Expert, who is the Head of Discipline for operational principles and standards.

5.1.4.   The train driving management team has been increased and the responsibilities more focussed, with the addition of the Route Knowledge Manager, and for day to day management of drivers, the Driving Manager and four Driving Team Leaders.

5.1.5.   The responsibility for maintenance of DOF still comes under the Principal Engineering Manager. Dedicated teams who are responsible for the fleet come under the Head of Fleet Maintenance. The Head of Discipline for plant, traction and rolling stock engineering is now the Network Technical Head Traction & Rolling stock. The qualification requirement to be Head of Discipline for plant and rolling stock engineering is the same.

5.1.6.   A number of improvement initiatives have been implemented since the previous application. This includes:

- Development of risk controls and their co-ordination following consolidation of HAZOP exercises and further examination

- Further work on the identification and monitoring of key risks within DOF train driving

- The introduction of a SPaD and Operational Risk Strategy group as a means of monitoring, communicating and responding to safety performance

- Greater integration of train driving risk monitoring as part of the Director Fleet & Engineering's team KPI regime and annual objectives

5.1.7   As part of the re-application, the H & SMS (TU) has been reviewed. There are no revisions of principle, but a safety validation exercise has been undertaken to check relevant procedures arising from it and where necessary update references.

MAINLINE CRITERIA, TRANSPORT UNDERTAKINGS – PART A

MTU-A Risk control measures for all risks associated with the activity of the railway undertaking

Topic	SMS Chapter, SP or Document Reference (NEW)	Document Reference (existing NWR H&SMS or ECM Certification)
Network Rail procedures put in place to identify risks associated with its operations; (A1 part)	• *SMS (TU) Chapter 3 Planning - Risk,* • *Hazard Log / Risk Register,* • *SP-2.06 Safety of the Line investigations.*	• *NR/L3/MTC/RCS/0216 Risk Control Manual,* • *NR/CS/OHS/002 Policy on Working Safely,* • *NR/SP/OHS/00112 Worksafe Procedure,* • *NR/L1/RSK/001 Network Rail Risk Policy,* • *NR/L2/RSK/001 Enterprise Risk Management,* • *NR/SP/OHS/00102 Work Activity Risk Assessment,* • *NR/L3/MTC/SE0116 Work Activity Risk Management,* • *NR/L2/RVMP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant,* • *NR/L2/MTC/006 Maintenance and Contents of the National Hazard Directory,* • *NR/L2/OPS/021 Weather – Managing the Operational Risks,*

Topic	SMS Chapter, SP or Document Reference (NEW)	Document Reference (existing NWR H&SMS or ECM Certification)
		• NR/L1/OPS/010 Signals Passed at Danger and Signal Reversions Affecting Trains, • NR/L2/OPS/095 High Risk Sites for Wrong Side Track Circuit Failures in Leaf Areas and for Low Rail Adhesion
Network Rail procedures put in place to identify risks associated those directly arising from work activities, job design or workload and the activities of other organisations / persons.; (A1 part)	• SMS (TU) Chapter 3 Planning - Risk, • SMS (TU) Chapter 3 Planning - Risk, Appendix 3C Interface Organisations, • SP-1.07 Transfer of Drivers. • SP-1.10 OTM Driver Route Knowledge	• NR/L1/RSK/001 Network Rail Risk Policy, • NR/L2/RSK/001 Enterprise Risk Management • NR/SP/OHS/00102 Work Activity Risk Assessment, • NR/L2/HSS/020 Safety Validation of Organisational Change • NR/L2/OHS//003 Fatigue Risk Management • NR/L2/OPS/031 Assessing and Assuring the Impact of Operational Risks Relating to Changes to the Train Plan
Network Rail procedures in place to develop and put in place risk control measures. (A2)	• SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness, • SP-1.02 Recruitment and Selection of OTM Driver Operators, • SP-1.03 Medical Standards for OTM driver operators, • SP-1.04 Training Needs analysis for OTM Operators, • SP-1.06 Initial OTM Driver Training, • SP -1.08 OTM Driver Competence Standards.	• NR/SP/OHS/00102 Work Activity Risk Assessment, • NR/L3/MTC/SE0116 Work Activity Risk Management, • NR/L1/RSK/001 Network Rail Risk Policy • NR/L2/RSK/001 Enterprise Risk Management • NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant
Network Rail procedures in place to monitor the effectiveness of risk control arrangements and to implement changes when required. (A3) (A6)	• SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness, • SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring, • SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action, • SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring, • SMS (TU) Chapter 19 Management Review, • SP-2.06 Safety of the Line investigations, • SP-3.02 On Train Data Recorder (OTDR) Operating Requirements, • SP-3.04 Managing OTM Incidents.	• NR/L2/RSE/100/02 Application of the Common Safety Method for Risk Evaluation and Assessments, • NR/L2/RSE/100/01 Network Rail Assurance Panel, • NR/L3/NDS/306 Planned General Safety Inspections, • NR/L2/INV/002 Reporting and Investigation Manual, • NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant, • NR/L3/RMVP/1006

Topic	SMS Chapter, SP or Document Reference (NEW)	Document Reference (existing NWR H&SMS or ECM Certification)
		Technical Audit Procedure for Plant and Traction and Rolling Stock
Network Rail procedures in place to recognise the need to work together with other entities (such as the infrastructure manager, transport undertakings, manufacturer, maintenance supplier, entity in charge of maintenance, railway vehicle keeper, service provider and procurement entity), where appropriate, on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures in accordance with Article 4(3) of the Railway Safety Directive. (A4)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 3 Planning - Risk, Appendix 1 Interface Organisations,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication* • *SMS (TU) Chapter 12 Operational, Control – Maintenance,* • *SMS (TU) Chapter 14 Operational Control - Suppliers*	• *Network Rail Contracts & Procurement Policy* • *NR/L2/SCO/302 Supplier Qualification Requirements,*
Network Rail procedures for agreed documentation and communication with the relevant entities including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges. (A5)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 3 Planning - Risk, Appendix 3C Interface Organisations,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication*	• *NR/L2/SCO/302 Supplier Qualification Requirements* • *NR/GN/CPR/401Guidance on Contractual Health and Safety Requirements.*
Network Rail procedures to monitor the effectiveness of these arrangements and to implement changes when required. (A6)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L2/SCO/302 Supplier Qualification Requirements* • *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock.*

MTU-B Risk control related to the supply of maintenance and material

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Network Rail procedures to derive maintenance requirements/standards/processes from safety data and from the assignment of rolling stock. (B1)	• *SMS (TU) Chapter 12 Operational Control – Maintenance,*	• *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L3/SCO/311 Supply Chai Operations, T & RS and OTM Engineering and Management Manual* • *Vehicle Maintenance and Overhaul Instructions (RMVP/VMOI/0013, RMVP/VMOI/0014 RMPV/VMOI/5321 NR/VMOI/5583 NR/VMOI/5584),* • *Integrated Maintenance Plan (ISS15 27/09/13).* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L2/RMVP/0002 Operation and Use of Railbound Vehicles and On Track Plant,* • *NR/L3/SCO/311/02 Engineering Change,* • *NR/L2/RMVP/1332 Wheelsets and Axle Bearing Manual,* • *NR/L3/RMVP/0201 Calibration Work Instruction Manual.*
Network Rail procedures to adapt maintenance intervals according to the type and extent of service performed and/or data from rolling stock. (B2)	• *SMS (TU) Chapter 12 Operational Control – Maintenance*	• *NR/L3/SCO/311/02 Engineering Change,* • *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L3/SCO/311 Supply Chain Operations, T &*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		RS and OTM Engineering and Management Manual.
Network Rail procedures to ensure that the responsibility for maintenance is clearly defined, to identify the competencies required for maintenance posts and to allocate appropriate levels of responsibility. (B3)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) Chapter 12 Operational Control – Maintenance,*	• *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,* • *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines.*
Network Rail procedures to collect information on malfunctions and defects arising from day to day operations and report them to those responsible for maintenance (B4)	• *SMS (TU) Chapter 12 Operational Control – Maintenance* • *SP-2.05 Defective OTM Equipment*	• *NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy,* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice,* • *NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant.*
Network Rail procedures to identify and report risks arising from defects and construction non-conformities or malfunctions throughout the lifecycle to interested parties. (B5)	• *SMS (TU) Chapter 12 Operational Control – Maintenance,*	• *NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy,* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice,* • *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock*
Network Rail procedures to verify and control the performance and results of maintenance to ensure that they comply with corporate standards. (B6)	• *SMS (TU) Chapter 12 Operational Control – Maintenance*	• *NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy,*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual* • *NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant.*

MTU-C Risk Control related to the use of contractors and control of Suppliers

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Procedures to verify the competence of contractors (including subcontractors) and suppliers. (C1)	• SMS (TU) Chapter 3 Planning - Risk, • SMS (TU) Chapter 14 Operational Control – Suppliers	• Network Rail Contracts & Procurement Policy • NR/L2/SCO/302 Supplier Qualification Requirements • NR/L2/ASP/036 Network Rail Assurance Framework
Network Rail procedures to verify and control the safety performance and results of all contracted services and products supplied either by the contractor or supplier to ensure that they comply with the requirements set out in the contract. (C2)	• SMS (TU) Chapter 3 Planning - Risk, • SMS (TU) Chapter 14 Operational Control – Suppliers	• NR/L2/SCO/302 Supplier Qualification Requirements • NR/L2/ASP/036 Network Rail Assurance Framework
Demonstration of Network Rail's responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties. (C3)	• SMS (TU) Chapter 14 Operational Control - Suppliers • SP-2.02 Urgent safety related operating advice, • SP-2.06 Safety of the Line investigations.	• NR/L2/CSG/STP001 Standards and Control Management Manual, • NR/L2/OPS/035 Dissemination of Urgent Operating Advice, • NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy, • NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock
Network Rail procedures to ensure traceability of safety-related documents and contracts. (C4)	• SMS (TU) Chapter 9 Documentation, • SMS (TU) Chapter 10 Document Control and Records Management, • SMS (TU) Chapter 10_Document Control and Records Management, • SMS (TU) Chapter 14 Operational Control – Suppliers	• NR/L3/INF/02225 Records Management, • NR/L3/INF/02226 Corporate Records Retention Schedule, • NR/L3/INF/02231 Disposal of records, • NR/L2/ASR/036 Network Rail Assurance Framework.
Network Rail procedures to ensure that safety tasks, including the exchange of safety-related information, are performed by the contractors or the supplier according to relevant requirements set out in the contract. (C5)	• SMS (TU) Chapter 14 Operational Control - Suppliers • SP-2.02 Urgent safety related operating advises, • SP-1.07 Transfer of Drivers • SP-1.10 OTM Driver Route Knowledge	• NR/L2/SCO/302 Supplier Qualification Requirements • NR/L2/ASP/036 Network Rail Assurance Framework • NR/L2/OPS/035 Dissemination of Urgent Operating Advice

MTU-D Risks arising from the activities of other parties external to the railway system

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
How Network Rail identifies risks arising from the activities of 'other persons' where appropriate and reasonable; (D1)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 3 Planning - Risk, Appendix 1 Interface Organisations,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* •	• *NR/L3/MTC/RCS/0216 Risk Control Manual,* • *NR/L2/CSG/STP001 Standards and Control Management Manual.*
How Network Rail goes about controlling risk in terms of selecting appropriate risk mitigation measures, devising and implementing management procedures and providing appropriate training; (D2)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 10 Document Control and Records Management.* • *SP -1.08 OTM Driver Competence Standards*	• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *NR/SP/OHS/069 Lineside Facilities for Personnel Safety,* • *NR/SP/OHS/00122 Specialist Risk Assessment - Workplace Noise,* • *NR/SP/OHS/00114 Hand Arm Vibration,* • *NR/SP/OHS/00106 Manual Handling,* • *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines*
How safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made. (D3)	• *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 19 Management Review,* • *SP-2.06 Safety of the Line investigations*	• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *NR/L3/INV/3001 Reporting and Investigation Manual* • *NR/L3/INV/3001/901 Management of recommendations and local actions,* • *NR/L3/MTC/SE0117 Planned general safety inspections,* • *NR/L2/RSE/100 Network Rail Assurance Panel Processes* • *NR/L2/RSE/100/5 Product Acceptance and Change to Network Rail Operational infrastructure* • *NR/L2/RSE/100/07 System Review Panels*

MTU-E Documentation of the safety management system

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
A description of the operation (i.e. passenger, freight, suburban, intercity, rural etc.) and its scale e.g. a map of routes covered, numbers of passengers carried, amount of freight carried, etc. (E1 part)	• *SMS (TU) Chapter 1 Opening.*	
How Network Rail identifies risks associated with its operations (E1 part)	• *SMS (TU) Chapter 3 Planning - Risk,* • *Hazard Log / Risk Register*	• *Network Rail Portal,* • *NR/L2/RSK/001 Enterprise Risk Management.*
An organogram showing Network Rails SMS structure, allocation of roles and responsibilities (E2)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Appendix 2 Organisation Chart and Key Responsibilities*	
Details of where and how the SMS is documented including references to supporting documentation (actual copies are not required) and how information on the SMS is given to staff (E3)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management*	• *NR/L3/INF/02225 Records Management,* • *NR/L3/INF/02226 Corporate Records Retention Schedule,* • *NR/L3/INF/02231 Disposal of records,* • *NR/L2/CSG/STP001 Standards and Control Management Manual / Index of Modules* • *NR/L2/CSG/STP001/01 Principles of Standard and Control Management,* • *NR/L2/CSG/STP001/02 Managing Standard and Control Document Change Projects,* • *NR/L2/CSG/STP001/03 Drafting Criteria for Standards and Control Documents,* • *NR/L2/CSG/STP001/04 Managing Variations to Network Rail Standards and Control Documents and Railway Group Standards,* • *NR/L2/INF/02204 Controlled Publications – Process and Accountabilities*
A list of categories of work with a safety element required for Network Rail's operation.(E4)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,*	

| | • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 6B TU Key Responsibilities,*
• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness* | |

MTU-F Distribution of responsibilities

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Roles in Network Rail with main responsibilities for: taking operational decisions within the SMS; ensuring training, maintenance of and resources for competence (F1)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 6A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities,* • *SP-2.02 Urgent safety related operating advice.*	• *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual,*
The processes for recruitment, training, assessment, competence monitoring and record-keeping, indicating how all these contribute to achieving and maintaining competence (F2)	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SP-1.11 OTM Type Knowledge (traction),* • *SP-1.12 OTM Driver Licence Certificate,* • *SP-2.06 Safety of the Line investigations,* • *SP-1.02 Recruitment and Selection of OTM driver operators,* • *SP-1.03 Medical Standards for OTM driver operators,* • *SP-1.04 Training Needs analysis for OTM driver operators,* • *NR/L2/OHS/019 Safety of People Working on or Near the Line,* • *NR/L2/OHS/050 Sentinel Scheme Rules,* • *SP-1.06 Initial OTM Driver Training,* • *SP-1.07 Transfer of OTM drivers,* • *SP -1.08 OTM Driver Competence Standards,* • *SP-1.09 OTM Drives development plan.*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/OHS/00124 Competence Specific Medical Fitness Requirements and Occupational Health Service Providers for Medical Assessments,* • *NR/L3/NDS/006 NDS Process for the Management of Fatigue and Working Hours for Employees undertaking Safety Critical Work,* • *NR/L2/OHS/003 Fatigue Risk Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,* • *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines,* • *NR/L1/OHS/051 Drugs and Alcohol Policy,* • *NR/L2/OHS/00120 Pre-employment, Pre-appointment & Periodic Testing for Drugs & Alcohol,* • *NR/L2/OHS/00118 Random Testing for Drugs and Alcohol,* • *NR/L2/OHS/00120 Testing for Drugs and Alcohol*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
The system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (F3 part)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 6B TU Key Responsibilities,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance in Training and Assessment.*
How staff with the appropriate competence are allocated to relevant tasks and (F3 part)	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness*	• *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines*
The arrangements for tasks which ensure that employees comply with their training and work instructions, and corrective actions can be taken where required (F4)	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring,* • *SP-1.08 OTM driver competence standards* • *SP-3.02 On Train Data Recorder (OTDR) Operating Requirements* • *SP-1.09 OTM Drivers development plan* • *SP-3.06 General OTM Driver Operators Management Instructions*	• *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual*

MTU-G Securing control by the management on different levels

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
An organogram showing Network Rail's SMS structure, allocation of roles and responsibilities (G1 part)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities*	
How employees and their representatives at all levels within the applicant's company are involved in and consulted about the SMS and safety aspects of operations (G1 part)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication*	• *NR/L2/OPS/034 Management of Rule Book Change,* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice,* • *NR/CS/OHS/002 Policy on Working Safely,* • *NR/SP/OHS/00112 Worksafe Procedure.* • *NR/CS/INF/02203 Controlled Publications - Issue and Receipt*
How safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made (G2)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SMS (TU) Chapter 12 Operational Control - Maintenance,* • *SMS (TU) Chapter 13 Operational Control - Occupational Health and Safety,* • *SMS (TU) Chapter 14 Operational Control - Suppliers,* • *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L3/NDS/306 Planned General Safety Inspections,* • *NR/L3/MTC/SEO117 Planned General Safety Inspections,* • *NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant,* • *NR/L2/CSG/STP001 Standards and Control Management Manual* • *HO P029 Fleet & Engineering Management Document Control*
How the SMS is integrated with other management activities (G3)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 OH&S Policy*	• *NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy,*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		• *NR/L2/OPS/035 Dissemination of Urgent Operating Advice*
How those with a role in the management of safety are held accountable for their performance (G4)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *Management Performance Reviews.*	• *NR/L1/RMVP/0001 Network Rail's Plant and Traction and Rolling Stock Policy*

MTU-H Involving employees and their representatives on all levels

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
How employees and their representatives at all levels within Network Rail are involved in and consulted about the SMS and safety aspects of operations (H1)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication* • *SP-1.06 Initial OTM driver training* • *SP-3.06 General Driver Operators Management Instructions*	• *NR/CS/INF/02203 Controlled Publications - Issue and Receipt,* • *NR/L2/OPS/034 Management of Rule Book Change,* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice,* • *NR/CS/OHS/002 Policy on Working Safely,* • *NR/SP/OHS/00112 Worksafe Procedure.*
How employees and their representatives involvement is documented (H2)	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management.*	

OFFICIAL

Network Rail   Safety Certificate Application

MTU-I Ensuring Continuous Improvement

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Arrangements for regular reviews of the SMS (including monitoring and analysing safety data) with a view to facilitating its continuous improvement (I1(a)& (b))	• *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock.*
How safety requirements are identified, performance is monitored, identified shortcomings are rectified and procedures updated to reflect changes made (I1(c))	• *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant,* • *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management.*
How new safety developments, lessons implemented to promote continuous improvement of the SMS (I1(d))	• *SMS (TU) Chapter 4 Planning – Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning – Health and Safety Objectives,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 19 Management Review,* • *SP-2.06 Safety of the Line investigations.*	• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *NR/L3/INV/3001/901 Reporting and Investigation Manual: Management of Recommendations and Local Actions,* • *NR/SP/OHS/00102 Work Activity Risk Assessment*
Arrangements for the internal audit of the SMS and main risk control systems. Procedures to analyse and evaluate the results of audits, recommend follow up measures, look at their effectiveness and document the results. How audit findings are used to bring about improvement in the SMS (I1(e))	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock.*

Issue: FOUR

18 of 38   10th January 2022

MTU-J Safety policy approved by the organisation's chief executive and communicated to all employees

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
A copy of Network Rail's safety policy statement, appropriate to the type and the extent of service being provided, which has been approved and signed by the Chief Executive together with a description of how this policy has been communicated to all employees (J(a, b and c))	• *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication.*	

MTU-K Qualitative and quantitative targets of the organisation for maintaining and enhancing safety, and plans and procedures for reaching these targets

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Reference to Network Rail's documents which set out how it determines, sets, lists and describes its targets (K1)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SMS (TU) Chapter 19 Management Review*	• *Safety elements of the Strategic Business Plan.*
A brief description of the process for determining and setting targets consistent with type, extent and relevant risks; and regularly assessing performance against targets (K2 & K3 part)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SMS (TU) Chapter 19 Management Review*	• *Safety elements of the Strategic Business Plan.*
A brief description of the procedures to use safety data to assess performance and compliance with targets and how this is used to monitor and review operational arrangements; (K3 part & K4)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,*	• *Safety elements of the Strategic Business Plan*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
	• *SMS (TU) Chapter 19 Management Review*	
A Brief explanation of how the SMS ensures that plans for meeting targets are put into action, including what action is taken when a target is not met or it becomes apparent that it will not be met. (K5)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 2 Health and Safety Policy* • *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SMS (TU) Chapter 19 Management Review.*	• *Safety elements of the Strategic Business Plan.*

MTU-L Procedures to meet existing, new and altered technical and operational standards or other prescriptive conditions

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
The decision processes for triggering application of the interoperability regulations (within change control management) and, identification of relevant TSIs, NTRs and other standards applicable to the undertaking (information about specific standards or groups of standards is not required as this will form part of the evidence for the PART B application) (L1(a))	• *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 12 Operational Control – Maintenance,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L2/HSS/020 Safety Validation of Organisational Change* • *NR/L2/EBM/STP001 Standard Framework,* • *NR/L3/SCO/311/04 Engineering Change,* • *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual*
The process for implementing, and ongoing monitoring of relevant TSIs, NTRs and other standards, where appropriate showing how these are applied throughout the lifecycle of any equipment or operation (L1(b))	• *SMS (TU) Chapter 4 Planning - Legal and Other Requirements,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L3/INF/02225 Records Management,* • *NR/L3/INF/02226 Corporate Records Retention Schedule,* • *NR/L3/INF/02231 Disposal of records,* • *NR/L2/CSG/STP001 Standards and Control Management Manual – Index of Modules,* • *NR/L2/CSG/STP001/01 Principles of Standard and Control Management,* • *NR/L2/CSG/STP001/02 Managing Standard and Control Document Change Projects,* • *NR/L2/CSG/STP001/03 Drafting Criteria for Standards and Control Documents,* • *NR/L2/CSG/STP001/04 Managing Variations to Network Rail Standards and Control Documents and Railway Group Standards,* • *NR/L2/INF/02204 Controlled Publications – Process and Accountabilities,* • *NR/L3/OPS/045 National Operating Procedures*
How the SMS facilitates corrective action when it is found that standards and other requirements are not being adhered to (L1(c))	• *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L3/INV/3001/905 Actions in Response to CIRAS Reports Procedure,* • *NR/L3/INV/3001/901 Management of Recommendations and Local Actions,* • *NR/L3/INV/3001/RIM115 Network Rail and National Safety Authority (ORR) interface and liaison arrangements,*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
The system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (L2 part)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) Chapter 12 Operational Control – Maintenance* • *SP.-1.06 Initial OTM Driver training* • *SP-1.08 Driver Competence Standards*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,* • *NR/L2/CTM/205 Competence and training for the Maintenance of traction and Rolling Stock an On Track Machines (modules RVM 1 – 18)*
How employees with the appropriate competence are allocated to relevant tasks (L2 part)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) Chapter 12 Operational Control – Maintenance* • *SP-1.06 Initial OTM Driver Training*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,* • *NR/L2/CTM/205 Competence and training for the Maintenance of traction and Rolling Stock an On Track Machines (modules RVM 1 – 18)*
An outline of how Network Rail delivers maintenance aims safely, referring where appropriate to elements of the SMS, including clear management control and documented audit and inspection (L3 part)	• *SMS (TU) Chapter 12 Operational Control – Maintenance*	• *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual,* • *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock*
Reference to recognised industry maintenance standards which have been adopted, and to relevant company standards. (L3 part)	• *SMS (TU) Chapter 12 Operational Control – Maintenance*	• *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual* • *NR/L2/RMVP/1332 Wheelset and Axle Bearing Manual,* • *NR/L2/RMVP/0172 Management of the Control and Calibration of*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		Inspection, Measuring and Test Equipment.

MTU-M Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or on operation

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
A description of the change management process for changes in equipment, procedures, organisation, staffing or interfaces (M1)	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 3 Planning – Risk Appendix 3C Interface Organisations,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 12 Operational Control – Maintenance,* • *SMS (TU) Chapter 14 Operational Control – Suppliers,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L2/RSE/100/04 Introduction of New or Modified Vehicles* • *NR/L2/HSS/020 Safety Validation of Organisational Change* • *NR/L3/SCO/311/04 Engineering Change,* • *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy.*
Network Rail procedures risk assessment procedures to manage changes and to apply the CSM for risk evaluation and assessment as set out in Commission Regulation (EU) 402/2013 when required. (M2)	• *SMS (TU) Chapter 3 Planning - Risk*	• *NR/L3/SCO/311/04 Engineering Change,* • *NR/L2/RSE/100/02 Application of the Common Safety Method for Risk Evaluation and Assessments,* • *NR/L2/RSE/100/05 Product introduction and change to Network Rail Operational Infrastructure,* • *NR/L2/HSS/020 Safety Validation of Organisational Change* • *NR/L2/RSE/100/01 Network Rail Assurance Panel.*
M.3. Network Rail as the transport undertaking has procedures in place to feed the results of risk assessment into other processes within the organisation and make them visible to relevant staff. (M3)	• *SMS (TU) Chapter 3 Planning - Risk,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 10 Document Control and Records Management*	• *NR/L2/HSS/020 Safety Validation of Organisational Change* • *NR/L2/CSG/STP001 Standards and Control Management Manual.*

MTU-N Provision of staff training programmes and systems to ensure that the staff competence is maintained and tasks carried out accordingly

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
The competence management system including, identification of the knowledge and skills needed, training, maintenance and resources for competence; the processes for recruitment, assessment, competence monitoring and recordkeeping, indicating how all these contribute to achieving and maintaining competence (N1(a)(b)(c part) &(e)	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness - Appendix 7A OTM Training Syllabus,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness - Appendix 7B OTM Operator and Maintainer Competence Standards,* • *SP-3.03 Managing Fatigue in Safety Critical Workers,* • *SP-1.04 Training needs analysis for OTM operators,* • *SP-1.10 OTM Driver Route Knowledge.*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/025 Competence and Training in On-Track Plant Operation and Activities,* • *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines,* • *NR/L2/OHS/00124 Competence Specific Medical Fitness Requirements and Occupational Health Service Providers for Medical Assessments,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,* • *NR/L1/OHS/051 Drugs and Alcohol Policy,* • *NR/L2/OHS/00124 Competence Specific Medical Requirements and Occupational Health Service Provider requirements for Medical Assessments* • *NR/L2/OHS/00118 Random Testing for Drugs and Alcohol,* • *NR/L2/OHS/00120 Testing for Drugs and Alcohol* • *NR/L3/NDS/006 NDS Process for the Management of Fatigue and Working Hours for Employees undertaking Safety Critical Work,* • *NR/L2/OHS/003 Fatigue Risk Management*
The procedures for initial training and certification of acquired competence and skills and on going training and update of existing knowledge and skills (N1(c part) and(d)) (N2(c))	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SP-1.06 Initial OTM Driver training,* • *SP-1.08 Driver Competence Standards* • *SP-1.10 OTM Driver Route Knowledge.*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,*

OFFICIAL

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		• *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines*
How accidents, incidents and long absences from work are catered for in the CMS (N1(f))	• *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SP-2.06 Safety of the Line investigations.*	• *NR/L2/OHS/00124 Competence Specific Medical Fitness Requirements and Occupational Health Service Providers for Medical Assessments,* • *NR/L2/INV/002 Accident and Incident Reporting and Investigation,* • *NR/CS/OHS/002 Policy on Working Safely,* • *NR/SP/OHS/00112 Worksafe Procedure*
How employees who directly make sure the SMS works are identified and what specific training is given to them (N1(g) & N2(b))	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness*	• *NR/CS/OHS/002 Policy on Working Safely,* • *NR/SP/OHS/00112 Worksafe Procedure,* • *NR/SP/CTM/032 Training, Competence and Assessment in Accident and Incident Investigation.*
The system which ensures that tasks and posts with a safety element, including safety critical tasks, are identified (N2(a))	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness*	• *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines,*
How employees with the appropriate competence are allocated to relevant tasks (N2(d)) and	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2A TU Organisation,* • *SMS (TU) Chapter 6 Implementation and Operation – Resources – Appendix 2B TU Key Responsibilities,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SP-1.08 OTM Driver Competence Standards.*	• *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *NR/L2/RMVP/0090 Management of Maintenance and Change for Railbound Vehicles and On Track Plant* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual,* • *NR/L1/CTM/001 Competence Management,*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
		• *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance in Training and Assessment* • *NR/L2/CTM/205 Competence and Training for the Maintenance of Traction and Rolling Stock and On Track Machines.*
The monitoring arrangements for tasks, which ensure that employees comply with their training and work instructions, and corrective actions can be taken where required (N2(e))	• *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SMS (TU) Chapter 12 Operational Control – Maintenance,* • *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring*	• *NR/L2/ASR/036 Network Rail Assurance Framework,* • *NR/L3/NDS/006 NDS Process for the Management of Fatigue and Working Hours for Employees Undertaking Safety Critical Work*

MTU-O Arrangements for the provision of sufficient information within the organisation and, where appropriate, between organisations operating on the same infrastructure

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Arrangements and procedures for the provision of accurate and complete safety information within Network Rail's operation to all employees. (O.1(a)). These should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation (O.1(b))	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SP-3.06 General OTM Driver Operators Management Instructions,* • *SP-1.02 Recruitment and Selection of OTM Driver Operators,* • *SP-1.03 Medical Standards for OTM operators,* • *SP-1.04 Training Needs analysis for OTM Operators,* • *SP-1.06 Initial OTM Driver Training,* • *SP-1.07 Transfer of OTM Drivers,* • *SP -1.08 OTM Driver Competence Standards,* • *SP-1.09 OTM Drivers development plan.*	• *NR/L3/INF/02225 Records Management,* • *NR/L3/INF/02226 Corporate Records Retention Schedule,* • *NR/L3/INF/02231 Disposal of records,* • *NR/L2/CSG/STP001 Standards and Control Management Manual – Index of Modules,* • *NR/L2/CSG/STP001/01 Principles of Standard and Control Management,* • *NR/L2/CSG/STP001/02 Managing Standard and Control Document Change Projects,* • *NR/L2/CSG/STP001/03 Drafting Criteria for Standards and Control Documents,* • *NR/L2/CSG/STP001/04 Managing Variations to Network Rail Standards and Control Documents and Railway Group Standards,* • *NR/L2/INF/02204 Controlled Publications – Process and Accountabilities* • *HO P029 Fleet & Engineering Management Document Control,* • *NR/L3/OCS/111 Weekly Operating Notice - Format and Content,* • *NR/L2/OPS/034 Management of Rule Book Change* • *NR/L2/OHS/019 Safety of People Working On or Near the Line,* • *NR/L2/OHS/050 Sentinel Scheme Rules*
Arrangements for the layout of vital safety information and how changes to this information are managed.(O.2(a)) It should also describe how employees are made	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,*	• *NR/L2/OPS/03 Management of Rule Book Change,*

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
aware of the relevant documentation and how any changes to existing information are controlled; (O.2(b)&(c))	• *SMS (TU) Chapter 10 Document Control and Records Management,* • *SP-3.06 General OTM Driver Operators Management Instructions,* • *SP-1.02 Recruitment and Selection of OTM Driver Operators,* • *SP-1.03 Medical Standards for OTM operators,* • *SP-1.04 Training Needs analysis for OTM Operators,* • *SP-1.07 Transfer of OTM Drivers,* • *SP-1.06 Initial OTM Driver Training,* • *SP-1.07 Transfer of OTM Drivers,* • *SP -1.08 OTM Driver Competence Standards,* • *SP-1.09 OTM Drivers development plan.*	• *NR/L2/CSG/STP001 Standards and Control Management Manual* • *HO P029 Fleet & Engineering Management Document Control* • *NR/L2/OHS/019 Safety of People Working On or Near the Line,* • *NR/L2/OHS/050 Sentinel Scheme Rules*
Arrangements for the provision of safety information between Network Rail and other transport operators, including those applying for a certificate or authorisation for operations on the same infrastructure. (O.3)	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,*	

MTU-P Procedures and formats for documenting safety information, and designation of a procedure for configuration control of vital safety information

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Arrangements and procedures for the provision of accurate and complete safety information. (P1)	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SP-3.06 General OTM Driver Operators Management Instructions.*	• *NR/L2/OPS/03 Management of Rule Book Change,* • *NR/L2/CSG/STP001 Standards and Control Management Manual* • *HO P029 Fleet & Engineering Management Document Control,* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice*
This should cover the receipt, identification, selection, dissemination and recording of information, method and format of relevant documentation;(P2)	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SP-3.06 General OTM Driver Operators Management Instructions,* • *SP-1.02 Recruitment and Selection of OTM Driver Operators,* • *SP-1.03 Medical Standards for OTM driver operators,* • *SP-1.04 Training Needs analysis for OTM Operators,* • *SP-1.06 Initial OTM Driver Training,* • *SP-1.07 Transfer of OTM Drivers,* • *SP -1.08 OTM Driver Competence Standards,* • *SP-1.09 OTM Drivers development plan.*	• *NR/L2/OHS/019 Safety of People Working On or Near the Line,* • *NR/L2/OHS/050 Sentinel Scheme Rules* • *NR/L2/CSG/STP001 Standards and Control Management Manual* • *NR/L2/INF/02220 Documents and Records Management,* • *HO P029 Fleet & Engineering Management Document Control,*
Arrangements for the layout of vital safety information and how changes to this information are managed. (P3)	• *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 9 Documentation,* • *SMS (TU) Chapter 10 Document Control and Records Management,* • *SP-3.06 General OTM Driver Operators Management Instructions,* • *SP-1.02 Recruitment and Selection of OTM Driver Operators,* • *SP-1.03 Medical Standards for OTM driver operators,* • *SP-1.04 Training Needs analysis for OTM Operators,*	• *NR/L2/CSG/STP001 Standards and Control Management Manual,* • *HO P029 Fleet & Engineering IMS Document Control* • *NR/L2/OPS/035 Dissemination of Urgent Operating Advice,* • *NR/L2/OHS/019 Safety of People Working On or Near the Line,* • *NR/L2/OHS/050 Sentinel Scheme Rules,*

| | • *SP-1.06 Initial OTM Driver Training,*
• *SP-1.07 Transfer of OTM Drivers,*
• *SP -1.08 OTM Driver Competence Standards,*
• *SP-1.09 OTM Drivers development plan.* | |

MTU-Q Procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are reported, investigated and analysed and that necessary preventive measures are taken

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
Procedures for reporting, logging, investigation and analysis of accidents, incidents, near misses and other dangerous occurrences; (Q1(a)) this should cover procedures for reporting those accidents and incidents which are statutorily reportable to ORR and RAIB; (Q1(b))	• *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SP-2.06 Safety of the Line investigations.*	• *NR/L2/INV/002 Reporting of Accidents and Incidents,* • *NR/L3/SCO/311/10 Post Accident and incident* • *NR/L3/INV/3001/902 Reporting of Accidents, incidents and Occupational Health* • *NR/PRC/NSC/Control001 Rail Plant Control Manual* • *NR/PRC/SCO/OCE001 F & E On Call Manual* • *NR/L3/OPS/250/11 Post Incident Review and Feedback*
How the investigation process takes into account any effects arising from the operations of other transport undertakings (Q2(a) part)	• *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action*	• *NR/L3/INV/3001 Reporting and Investigation Manual,* • *NR/L2/OPS/250 Network Rail National Emergency Plan.* • *NR/L3/OPS/045 National Operating Procedures*
Procedures for *● Implementing actions required by ORR following an official (RAIB and/or ORR) investigation (Q2(a) part);* *● Reviewing reports of accidents, incidents, near misses and dangerous occurrences received from all other sources, including employees, other transport operators, members of the public; (Q2(b))* *● Considering and implementing preventative measures following analysis and review of relevant information from all sources, other than when directly mandated by ORR. (Q3)*	• *SMS (TU) Chapter 17 Corrective Action – Accident, Incidents, Non-conformances and Corrective and Preventative Action,* • *SP-2.06 Safety of the Line investigations.*	• *Reporting and Investigation Manual,* • *NR/L2/INV/002 Accident and Investigation Reporting and Investigation,* • *NR/L3/INV/3001/901 Management of Recommendations and Local Actions* • *NR/L3/INV/3001/905 Reporting of and responding to enforcement action,*

MTU-R Provision of plans for action and alerts and information in case of emergency, agreed with the appropriate public authorities

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
A document that identifies the types of emergency covered, including degraded operations and the procedures in place to identify new ones (R1)	• *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness* • *Hazard Log* • *SP-2.05 Defective OTM Equipment,* • *SP-3.04 Managing OTM Incidents*	• *NR/L2/OPS/250 Network Rail National Emergency Plan* • *NR/L3/OPS/045 National Operating procedures* • *NR/PRC/NSC/Control001 Rail Plant Control Manual* • *NR/PRC/SCO/OCE001 F & E On Call Manual*
The information supplied by Network Rail to enable the Emergency Services to plan their response to a major accident on the railway, where appropriate referring to duties under the Civil Contingencies Regulations (R2)	• *SMS (TU) 15 Operational Control - Emergency Preparedness and Response*	• *NR/CS/OPS/250 Emergency Response Manual,* • *NR/L2/OCS/250 Network Rail National Emergency Plan.*
The plans, roles and responsibilities, training and arrangements to maintain competence, and the arrangements for effective communications with emergency services, relevant employees and passengers. This should include a document which sets out the roles and responsibilities of all parties, how resources and means have been allocated and training requirements have been identified (R3,R4,R5 and R8)	• *SMS (TU) Chapter 6 Implementation and Operation – Resources,* • *SMS (TU) Chapter 7 Implementation and Operation – Competence, Training and Awareness,* • *SMS (TU) 15 Operational Control - Emergency Preparedness and Response* • *SP-1.08 Driver Competence Standards*	• *NR/L2/OPS/037 Management of Spoken Safety Communication.*
The procedures to return to normal operations after an emergency; (R6)	• *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SP-2.05 Defective OTM Equipment,* • *SP-3.04 Managing OTM Incidents.*	• *NR/CS/OPS/250 Network Rail National Emergency Plan*
Those specific aspects of the SMS that are directly relevant to the emergency response arrangements, e.g. training for emergencies and testing of emergency plans to identify any weaknesses; (R7)	• *SMS (TU) 15 Operational Control - Emergency Preparedness and Response,* • *SP-2.05 Defective OTM Equipment,*	• *NR/L2//OPS/250 Network Rail National Emergency Plan*
The procedure to contact the entity in charge of maintenance or	• *SMS (TU) Chapter 11 Operational Control – DOF Driving,* • *SP-2.05 Defective OTM Equipment,*	• *NR/L2/OPS/250 Network Rail National Emergency Plan* •

the keeper in the event of an emergency. (R9)	• *SP-3.04 Managing OTM Incidents.*	• *NR/L3/SCO/311311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual* • *NR/PRC/SCO/OCE/001 F & E On Call Manual*

MTU-S Provisions for recurrent internal auditing of the Safety Management System

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
The auditing system, which should be independent, impartial and transparent (S1)	• *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L3/RMVP/1006 Technical Audit Procedure for Plant and Traction and Rolling Stock,* • *NR/L2/ASR/036 Network Rail Assurance Framework,* • *NR/L3/SCO/311 NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual.*
The schedule of planned internal audits and how this can be revised depending on the results of previous audits and monitoring of performance (S2)	• *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L2/ASR/036 Network Rail Assurance Framework*
Arrangements for the internal audit of the SMS and main risk control systems, including how a suitably competent auditor is selected (S3)	• *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L1/CTM/001 Competence Management,* • *NR/L2/CTM/201 Competence Management,* • *NR/L2/CTM/202 Quality Assurance of Training and Assessment Organisations,*
Procedures to analyse and evaluate the results of audits, recommend follow up measures, look at their effectiveness and document the results. It should explain how senior managers take account of audits and implement changes to the SMS (S4 and S5)	• *SMS (TU) 5 Planning - Health and Safety Objectives,* • *SMS (TU) Chapter 8 Operation and Implementation, Consultation and Communication,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring,* • *SMS (TU) Chapter 19 Management Review*	• *NR/L3/INV/3001/901 Reporting and Investigation Manual: Management of Recommendations and Local Actions,* • *NR/L2/ASR/036 Network Rail Assurance Framework,* • *NR/L2/CSG/STP001 Standards and Control Management Manual.*
The routine monitoring arrangements for ensuring compliance with company procedures and standards (S6)	• *SMS (TU) Chapter 16 Checking – Performance Measurement and Monitoring,* • *SMS (TU) Chapter 18 Corrective Action – Compliance Monitoring*	• *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual* • *NR/L2/RMVP/0003 Assurance, Performance and Monitoring of Railbound Vehicles and On Track Plant,* • *NR/L2/ASR/036 Network Rail Assurance Framework,* • *NR/L2/CSG/STP001 Standards and Control Management Manual.*

MAINLINE CRITERIA, TRANSPORT UNDERTAKINGS – PART B

MTU-BA Compliance with network-specific rules

Topic	SMS Chapter, SP or Document Reference
There are documents containing results to show that the specific rules and specific risks associated with operating on the network for which a Part B application is being submitted have been considered and to show that the transport undertaking can comply with any network-specific rules and any exceptions to or derogations from those rules. (BA1)	• *See MTU-E*
Network interfaces with other parties involved in railway operation on the network concerned are identified. (BA2)	• *See MTU-A*
There are documents showing how the transport undertaking will interact with the infrastructure manager for the network and other transport undertakings operating on the network, including details on how information is shared. (BA3)	• *SMS (TU) Chapter 8 Implementation and Operation, Consultation and Communication.*
There are documents showing how the transport undertaking will deal with emergency situations, including coordination with the infrastructure manager and the relevant public authorities. (BA4)	• *See MTU-Q*
There are documents identifying any specific accident/incident investigation rules and showing that the applicant can comply with them. (BA5)	• *See MTU-Q*

MTU-BB Compliance with network-specific requirements for staff Competence

Topic	SMS Chapter, SP or Document Reference
The documentation demonstrates that the applicant's safety management system contains a competence management system to: • *identify the categories of staff (employed or contracted) involved in providing the service; and* • *(b) deliver competent staff for the network concerned, especially for those staff who are asked to undertake a variety of tasks and assure certification where appropriate. (BB.1).*	• *See MTU-E*
The documentation demonstrates that there are arrangements put in place to organize the day-to-day work of the staff to ensure that safety-related tasks are carried out and that staff are assigned to appropriate tasks. (BB.2).	• *See MTU-B & MTU-L*
The documentation demonstrates the applicant's ability to produce documents to be used in training the relevant staff and its ability to ensure that the documents will be accurate, be kept up to date and be in a language and terminology understood by the staff who need to use them. (BB.3).	• *See MTU-F*

MTU-BC Compliance with network-specific requirements for management of rolling stock

Topic	SMS Chapter, SP or Document Reference	Document Reference (existing NWR H&SMS or ECM Certification)
In the documentation, the types of rolling stock to be used on the specific network and the type of operations to be conducted are clearly indicated. (BC.1).	• *SMS (TU) Chapter 1 Opening,* • *SMS (TU) Chapter 12 Operational Control – Maintenance - Appendix 5 Vehicle Classes Operated by Network Rail.*	
The documentation outlines how the transport undertaking complies with any operational restrictions placed on the type of rolling stock used on the network. (BC.2).	• *SMS (TU) Chapter 12 Operational Control – Maintenance* • *SP-2.05 Defective OTM Equipment*	• *PE/MS/005 Engineering Change Procedure,* • *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy* • *NR/L3/SCO/311 Supply Chain Operations, T & RS and OTM Engineering and Management Manual*
In the documentation, any additional maintenance requirements for the network concerned are identified and appropriate arrangements for maintenance are in place. (BC.3).	• *SMS (TU) Chapter 12 Operational Control – Maintenance*	• *NR/L3/SCO/311/04 Engineering Change,* • *NR/L1/RMVP/0001 Plant and Traction and Rolling Stock Policy,* • *Vehicle Maintenance and Overhaul Instructions.*
In the documentation, any additional requirements to manage rolling stock incidents for the network concerned are identified and appropriate arrangements are put in place. (BC.4).	• *See MTU-R*	