

Safety Management Systems

A Safety Management System (SMS) is a formal arrangement for a safer working environment. It should have a clear purpose and be easily adopted by employees.

Managers should regularly review the SMS and ensure that it meets its intended purpose. It should be continually improved.

The Railways and Other Guided Transport Systems (Miscellaneous Amendments) Regulations 2013 (ROGS) sets out the duty on railway undertakings and infrastructure managers to develop an SMS which defines roles, responsibilities and safety arrangements.

REGULATIONS

Safety certificates to operate trains

- ▶ Under ROGS no one is able to operate trains on the mainline railway in the UK unless a safety certificate has been granted by the rail regulator. A thorough assessment of the potential duty holder's SMS is undertaken.
 - Frazer-Nash can provide guidance and assess your company using the same techniques as the regulator, guiding you through the process to ensure full compliance is achieved. Any shortfalls can be identified, and we can assist with your safety certificate application through recommended best practice techniques.
- ▶ The Department for Transport (DfT) expects preferred bidders for a new franchise to prepare an application for a safety certificate before the new franchise is awarded.
 - Frazer-Nash has experience with franchise submissions and can support you with your application.

ROGS compliance

- ▶ Risk assessments – Rail network operators undertake risk assessments and put into place necessary measures to ensure the system is operated safely. Non-mainline operators must comply by developing an SMS. Mainline operators must also develop an SMS and comply with the Common Safety Method for Risk Evaluation and Assessment (CSM-RA).
- ▶ Annual safety reports – duty holders that hold a safety certificate are legally obliged to submit an annual safety report to the Office of Rail and Road (ORR). This must include details of safety performance. The annual safety report must include the findings of internal SMS audits. Continuous improvement must also be shown in the SMS.



- ▶ Cooperation – Train operators and other people such as contractors have a duty to work collaboratively to ensure trains are safely operated.
- ▶ Safety critical work – Train operators have a legal duty to ensure that their maintenance contractors are competent and fit to undertake safety critical work.
- ▶ ECM – Before any vehicle is used on the mainline network, it must have an entity in charge of maintenance (ECM) assigned to it, and the ECM must be registered in the National Vehicle Register. The ECM must establish a system of maintenance.
 - Frazer-Nash will guide you through the various steps to comply with ROGS. We can assist with risk assessments to a high standard in accordance with Regulation 3 of the Management of Health and Safety at Work Regulations 1999.

ORR's Railway Management Maturity Model (RM3) relates to safety assurance

- ▶ The ORR, when planning its audit inspections and the level of its intervention, will consider the maturity level of an organisation. Their intention is that the higher the management maturity and reliability of the safety assurance, the fewer the resources that will be allocated to the audit.
 - Frazer-Nash are currently undertaking a 3 year audit programme for a number of Train Operating Companies which assesses their compliance with Schedule 1 (Safety Management System) of the ROGS regulations and selected elements of RM3. By having an RM3 audit, value is added for the company by benchmarking it against the desired standard.

For more information about Frazer-Nash please visit our website.

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