

Standards Manual

Managing standards for the mainline railway system

Issue: Five [Draft 1a]

Approved by the Rail Safety and Standards Board

Effective date [TBC]

DRAFT

© Copyright [TBC]

Rail Safety and Standards Board Limited

Enquiries: <https://customer-portal.rssb.co.uk/>

www.rssb.co.uk

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	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. It contains further guidance on: the process for co-operation between duty holders; the withdrawal of measures; and competence issues (part 8). It contains further guidance and requirements for small scale changes (part 9). It places a new requirement on Standards Committee Chairmen to sign a deviation approval form (part 10). The requirement for documents associated with Railway Group Standards to be reviewed every 30 months has been removed (part 11). 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).
Standards Manual Issue Three	03 June 2013	The changes in this issue are: <ul style="list-style-type: none"> • The inclusion of extracts from the Railway Group Standards Code (the Code) in the Standards Manual (the Manual). • A single, flexible Railway Group Standards change process, rather than two separate processes depending on the scale of the change proposed. • A single type of deviation from Railway Group Standards, with conditions if necessary, rather than two types of deviation. • A single process for approving deviations, rather than separate processes depending on whether or not the Railway Group Standard is being used as a national technical rule. • Elimination of one class of standard, Rail Industry Approved Codes of Practice (RACOPs), by making extended use of Rail Industry Standards (RISS).

Issue	Effective date	Comments
		<ul style="list-style-type: none"> • A restatement of the scope of Railway Group Standards, reflecting their role as national rules, and improving clarity for decision makers. • Opening the processes in the Manual to anyone who must comply with Railway Group Standards, not just RSSB members. • Simplification of requirements relating to the management of committees. • Reduction in detail about RSSB's activities in administering the processes set out in the Manual.
Standards Manual Issue Four	1 January 2024	<p>Amended to:</p> <ul style="list-style-type: none"> • Reflect the changes scope of the Code, meaning some of the definitions and detail are moved out of the Manual. • Include procedures by which the industry makes recommendations for changes to National Technical Specification Notices. • Recognise procedures for RSSB Technical Notes. • Restate and clarify the conditions for National Technical Rules. • Include clarification for deviation requirements, for example for projects wishing to implement an alternative to a RIS. • Make all language gender neutral.
Standards Manual Issue Five	[TBC]	<p>Amended to:</p> <ul style="list-style-type: none"> • Reflect the changes to the Code Issue 6. • Establish the Industry Leadership Group. As a result, ISCC ceases to exist, and the Industry Leadership Group or RSSB assumes its responsibilities. • Include the mechanism to escalate issues to the Industry Leadership Group. • Clarify the roles of lead and supporting standards committees. • Reflect the required scope of expertise required by standards committees to make decisions. • Support standards committees' decision-making when reviewing applications, by allowing them to request from applicants to submit only content that is relevant to the decision to be taken. • Promote sharing good practice between standards committees. • Minor editorial corrections throughout the document that do not have a material effect on the document.

Publication

This document is published by RSSB and is available through www.rssb.co.uk.

DRAFT

Contents

Foreword to the Standards Manual	6
1 Background.....	7
2 Definitions	7
3 Responsibilities of transport operators	8
4 RSSB and the Board of RSSB.....	9
5 Industry Leadership Group	9
6 Standards committees	11
7 Sub-committees	14
8 Membership of committees	14
9 Decisions.....	15
10 RSSB support to the committees.....	16
11 Scope, decision taking principles and content of railway standards	18
12 Changes to railway standards	20
13 Publication and monitoring of RGSs and RISs.....	25
14 Further procedures for changes to documents other than RGSs and RISs	26
15 Standards catalogue.....	27
16 Deviations from an NTR contained in an RGS	28
17 Deviation procedures for other requirements in railway standards	32
18 RSSB support for other industry documents	33
19 Escalations, intervention and appeals	34
20 Administration of the Code and the Standards Manual	34
21 Publication.....	35
22 Costs	35
Appendix A Chairing and membership of the Industry Leadership Group and standards committees.....	36

Foreword to the Standards Manual

The Standards Manual (the Manual) is not a stand-alone document and needs to be read in conjunction with the Railway Standards Code (the Code). Each section of the Code is therefore reproduced in the relevant part of the Manual, distinguished by a grey background.

The following conventions are used in the Manual:

- a) Where reference is made in the Manual to part of the Code, the reference states: 'set out in [section number] of the Code'. References that do not refer to part of the Code are to another part of the Manual. Generally in these cases, the paragraph number only is used.
- b) The numbering of chapters, sections and paragraphs within the Code and the Manual are independent of each other (so for example, chapter 8 of the Manual reproduces parts of chapter 4 of the Code).
- c) In this Manual, use of the word 'shall' indicates a mandatory requirement. Paragraphs 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.
- d) Terms defined in the Code have the same meaning in the Manual unless otherwise required by the context in which they are used.

1 Background

[Reproduce section 1 of the Code]

1.1 Purpose of the Manual

- 1.1.1 The Manual supplements the Code by defining those elements of the cross-industry management of railway standards set out in the Code which are not subject to formal Office of Rail and Road (ORR) approval. In addition, the Manual includes guidance relating to the management of these standards and defines procedures for other documents authorised by RSSB.
- 1.1.2 The purpose of the Manual is to define:
- a) The processes by which the requirements of the Code are delivered
 - b) The roles and responsibilities of RSSB and others within those processes
 - c) How the processes for the production and maintenance of RGSs, RISs and NOPs authorised by RSSB apply to the following documents authorised by RSSB:
 - i) Industry recommendations to the Secretary of State for the Department for Transport in relation to National Technical Specification Notices (NTSNs)
 - ii) Rail Industry Guidance Notes (GNs)
 - iii) Technical Notes (TNs)
 - d) The process for agreeing RSSB support in the production of other industry documents.

2 Definitions

[Reproduce section 2 of the Code]

2.1 Additional definitions for the Manual

Lead standards committee

The approving standards committee in relation to a particular RGS or other document; or, in the case of deviations, in relation to a particular requirement.

Multifunctional standards committee

A standards committee established to take decisions in respect of changes to a specific RGS or other document that covers more than one subsystem.

Open point

Relates to an aspect where a specification is necessary to meet the essential requirements, but which has not yet been developed and therefore is not included

in a National Technical Specification Notice (NTSN). Open points are set out in the relevant NTSN.

Rail Industry Guidance Note (GN)

A document produced under the procedures set out in the Manual (or equivalent predecessor documents, including previous versions of the Manual) that provides potentially helpful information relating to the management and/or operation of the railway system or its subsystems.

RSSB Technical Note (TN)

A document produced by RSSB to support the application of existing requirements, guidance, or related legislation, but which does not change existing requirements. This may relate to one or more standard or pieces of legislation relating to a specific topic.

Specific case

This has the meaning given to 'UK specific case' in the Railways (Interoperability) Regulations 2011 (as amended).

Structural subsystem

As set out in the Railways (Interoperability) Regulations 2011 (as amended); that is the infrastructure, energy, control command and signalling on-board, control command and signalling trackside and rolling stock subsystems.

Standards catalogue

The catalogue required by chapter 15 of the Manual.

Supporting standards committee

A standards committee, other than the lead standards committee, whose technical scope means it has an interface with or is affected by the content of a particular RGS or other document.

Vehicle

A railway vehicle that runs on its own wheels on railway lines with or without traction and is composed of one or more structural subsystems or parts of such subsystems.

3 Responsibilities of transport operators

[Reproduce section 3 of the Code - Responsibilities of transport operators]

- 3.1 The Manual contains no requirements or guidance in relation to chapter 3 of the Code about the responsibilities of transport operators.

4 RSSB and the Board of RSSB

[Reproduce section 4.1 of the Code]

- 4.1 At appropriate intervals, the Board shall review the adequacy of the Industry Leadership Group's remit and its composition.

5 Industry Leadership Group

[Reproduce section 4.2 of the Code]

5.1 Purpose of the Industry Leadership Group

- 5.1.1 In addition to the purpose of the Industry Leadership Group (ILG) set out in 4.2 of the Code, the purpose of the Industry Leadership Group shall include:
- a) Providing a forum for the discussion of legislation relevant to standards to understand any differing industry needs and to establish, where possible, a common industry position.
 - b) Maintaining an overview of relevant domestic emerging policies and issues that may affect standards in order to influence the direction of these policies.
 - c) Maintaining an overview of relevant European Commission and European Union Agency for Railways emerging policies and issues, as well as issues related to other international bodies, that may affect standards in order to influence the direction of these policies.
 - d) Developing strategies for the direction of NTSNs and other standards-related documents.

5.2 Operation of the Industry Leadership Group

- 5.2.1 The Industry Leadership Group may regulate its proceedings as it sees fit, subject at all times to complying with the provisions of the Code and the Manual.
- 5.2.2 The Industry Leadership Group shall produce a remit which describes, as a minimum its:
- a) Main purpose and scope
 - b) Governance and working arrangements
 - c) Key activities in support of its purpose.
- 5.2.3 The Industry Leadership Group remit shall be published.
- 5.2.4 Unless the Industry Leadership Group otherwise decides:
- a) It shall meet at least once every six months, and
 - b) Its meetings shall be quorate only if members affected by the topics to be discussed are present.

- 5.2.5 The Industry Leadership Group shall only take a decision if, in addition to the requirements of 5.2.4b), at least one representative of each of the industry categories most likely to be affected by that decision is present.
- 5.2.6 Where the meeting is not quorate, the decision shall either be:
- a) Deferred to the following meeting, or
 - b) Dealt with via correspondence if the Industry Leadership Group chair believes this is appropriate given the timing and importance of the issue.
- 5.2.7 The Industry Leadership Group chair shall:
- a) Approve the agenda for each meeting
 - b) With support from the secretary, encourage the relevant parties to submit papers which adequately support each agenda item, and
 - c) Review the draft minutes to ensure it forms an accurate record of the meeting.

5.3 RSSB's annual report to the Board

- 5.3.1 At the end of each financial year RSSB shall prepare and submit an annual report to the Board which shall comprise, as a minimum:
- a) A summary of the activities of the Industry Leadership Group and standards committees over the previous calendar year
 - b) The progress made by standards committees and RSSB on work relating to railway standards and associated documents, covering:
 - i) Proposals for change
 - ii) The standards programme
 - iii) The work being undertaken by the standards committee
 - iv) Deviations.
 - c) The results of the annual review of membership, carried out in accordance with Appendix A11.

- 5.3.2 RSSB shall publish the report produced in accordance with 5.3.1 after it has been considered by the Board.

5.4 Oversight of the standards committees

- 5.4.1 RSSB, taking account of the views of the standards committees via their chairs, shall be responsible for approving the composition and coverage of each standards committee, as described in 6.2.2 with any necessary amendments RSSB determines are appropriate.
- 5.4.2 If RSSB considers a standards committee is failing in a material way to apply the requirements of the Code or the Manual (for example, without limitation, by failing to apply correctly the decision taking principles defined in 5.2 of the Code, causing undue delay or failing to act), RSSB shall encourage the relevant standards committee to take appropriate action in accordance with the escalation to the Industry Leadership Group set out in 19.1.

- 5.4.3 Where the action in 5.4.2 has been tried and has not remedied the failure in a timely manner, RSSB shall draw the issue to the attention of the Industry Leadership Group.
- 5.4.4 Where the action in 5.4.3 has been tried and has not remedied the failure in a timely manner, the Industry Leadership Group shall draw the issue to the attention of the Board.

6 Standards committees

[Reproduce section 4.3 of the Code]

6.1 Purpose of standards committees

- 6.1.1 In addition to the purpose of standards committees set out in 4.3.2 of the Code, the purpose of standards committees shall include:
- a) Informing strategies for the direction of relevant standards and NTSNs.
 - b) Identifying the need for specific cases.
 - c) Influencing the processes at international and European level, where possible, for developing and managing TSIs, European Standards (ENs) and other relevant international standards and specifications.

6.2 Operation of standards committees

- 6.2.1 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 Manual.
- 6.2.2 Each standards committee shall produce a remit which describes, as a minimum:
- a) Its coverage in terms of technical areas
 - b) The agreed working arrangements for that committee
 - c) The circumstances, if any, in which the chair of that committee may approve an application for a deviation outside of a committee meeting
 - d) The composition of the committee, in accordance with Appendix A2.2.
- 6.2.3 At appropriate intervals, each standards committee shall review the adequacy of its remit.
- 6.2.4 The standards committee remit shall be published.
- 6.2.5 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 unless the respective representatives of that committee confirm their input is not necessary for decisions being made at that committee.

- 6.2.6 A standards committee shall only take a decision if, in addition to the requirements of 6.2.5b), at least one representative of each of the industry categories most likely to be affected by that decision is present.
- 6.2.7 Where at least one representative of each of the industry categories most likely to be affected by a standards committee decision is not present, the decision shall either be:
- a) Deferred to the following meeting, or
 - b) Dealt with via correspondence if the chair believes this is appropriate given the timing and importance of the issue.

6.3 Duties of standards committee chairs

- 6.3.1 The standards committee chair shall:
- a) Approve the agenda for each standards committee meeting,
 - b) With support from that committee's secretary, encourage the relevant parties to submit papers which adequately support each agenda item,
 - c) Oversee the compilation of the standards committee meeting packs, and
 - d) Review the draft minutes to ensure it forms an accurate record of the meeting.

6.4 Standards and deviations involving more than one standards committee

- 6.4.1 RSSB, taking into account the views of the standards committees or the standards committee chair, shall designate for each railway standard:
- a) Which standards committee shall be the lead standards committee, and
 - b) Which other standards committees shall be supporting standards committees.
- 6.4.2 In making its designation 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 NTSN, RGS, or RIS.
- 6.4.3 Wherever a change to an NTSN, RGS or RIS, or a deviation from an RGS is being considered by a lead standards committee, or, in accordance with 7.4.2 of the Code, by the chair of that committee:
- a) The lead standards committee, or its chair as appropriate, shall take account of the views of any supporting standards committees in making any decisions, and
 - b) In the event of any disagreement with a supporting standards committee, the views of that supporting standards committee shall prevail in respect of any requirements within the technical areas identified within its remit.

6.5 Multifunctional standards committees

- 6.5.1 RSSB may approve the establishment of a multifunctional standards committee to take decisions in respect of changes to a specific NTSN, RGS, or RIS:
- a) Where it considers it would be more expedient or efficient to form a multifunctional standards committee, or
 - b) When the lead and supporting standards committee(s) do not or cannot agree on an issue that involves more than one subsystem.
- 6.5.2 Even when a multifunctional standards committee is to be established, the decision to proceed with a proposal for change to an NTSN, RGS or RIS in accordance with 12.3.1 shall be taken by the lead standards committee, except in the circumstances set out in 6.5.4.
- 6.5.3 Any decision in respect of a deviation related to an RGS for which a multifunctional standards committee has been established shall be taken by the lead standards committee for the deviation, except in the circumstances set out in 6.5.4.
- 6.5.4 In exceptional circumstances, RSSB may approve the establishment of a multifunctional standards committee to take decisions to proceed with proposals for change to an RGS, RIS or NTSN in accordance with 12.3.1, or decisions in respect of deviations, related to a particular RGS.
- 6.5.5 Each multifunctional standards committee shall be established as follows:
- a) The lead and relevant supporting standards committee chair shall each select two or more persons to sit on the committee
 - b) With the consent of their standards committee, each chair may select 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 committee
 - d) Each multifunctional standards committee shall, as a minimum, include representatives of the industry categories:
 - i) Railway undertakings (passenger)
 - ii) Railway undertakings (non-passenger), and
 - iii) Network Rail and other infrastructure managers.
- 6.5.6 The chair of the multifunctional standards committee shall be elected in accordance with Appendix A3.
- 6.5.7 The multifunctional standards committee shall produce a remit in accordance with 6.2.2, consistent with the purpose for which it was established.
- 6.5.8 Each multifunctional standards committee shall be disbanded once it has completed the specific task for which it was created.

7 Sub-committees

- 7.1 A committee may delegate tasks to a sub-committee in accordance with 4.3.3 of the Code, whenever it is necessary or expedient to do so and only when the work does not fall within the remit of another existing committee.
- 7.2 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.
- 7.3 Not all sub-committee members need to be members of the delegating committee, but each sub-committee shall include at least one member of the delegating committee.
- 7.4 A member of each sub-committee shall be responsible for producing a written record of the sub-committee meeting in the form determined most appropriate by that sub-committee.
- 7.5 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.

8 Membership of committees

[Reproduce section 4.4 and 4.5 of the Code]

8.1 Applicability of chapter 8

- 8.1.1 This chapter (chapter 8) of the Manual applies to the Industry Leadership Group, standards committees and their sub-committees.
- 8.1.2 Other requirements relating to the membership and chairing of committees are set out in Appendix A.

8.2 Conflicts of interest

- 8.2.1 If the interests of the industry category which appointed a member in any way conflict with the purpose of the committee or the long-term best interests of the industry as a whole, that member shall not seek to promote their industry category's interests in a manner which is inconsistent with the purpose of the committee or the long-term best interests of the industry as a whole.
- 8.2.2 A committee may require a member to resign from that committee if the committee considers that member has breached 8.2.1.
- 8.2.3 In such circumstances:
 - a) A new member shall then be appointed under the procedures in section 4.4 of the Code for Industry Leadership Group members or Appendix A2 for standards committee members, and
 - b) The fact of such a resignation shall be advised to the Board for the Industry Leadership Group members and to RSSB for standards committee members.

8.3 Disclosure of interests

- 8.3.1 It is possible that a committee member or the organisation for which the member works 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. In such circumstances, the member concerned shall declare that interest:
- a) To the chair 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.
- 8.3.2 Once disclosed, an interest need not be disclosed again in relation to the matter for which it was disclosed.
- 8.3.3 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.
- 8.3.4 Should the committee decide to exclude the member with the interest, and provided they have sufficient notice of the exclusion, the member shall exercise reasonable endeavours to appoint a suitable alternate for discussion on the matter concerned.
- 8.3.5 Where a committee member has breached 8.3.1, the relevant committee shall determine whether it requires that member to resign from that committee.
- 8.3.6 In such circumstances:
- a) A new member shall then be appointed under the procedures in section 4.4 of the Code for Industry Leadership Group members or Appendix A2 for standards committee members, and
 - b) RSSB and the Board shall be informed of the fact of such a resignation.

9 Decisions

[Reproduce section 4.6 of the Code – Method of decision taking by the Industry Leadership Group]

- 9.1 The Manual contains no requirements or guidance in relation to 4.6 of the Code about the method of decision taking by the Industry Leadership Group.

[Reproduce section 4.7 of the Code - Method of decision taking by committees]

- 9.2 The chair of a committee shall seek to allow sufficient time for consideration of each agenda item.
- 9.3 Where a standards committee cannot achieve consensus in relation to any particular matter, the chair shall decide the most appropriate way to proceed following consultation with committee members.
- 9.4 Possible actions when a standards committee cannot reach consensus on an issue include:
- a) Where the difference of opinion is of a technical nature, the standards committee should consider seeking advice from the relevant system interface committee or other relevant cross-industry body.
 - b) Where related to the purpose or understanding of the Code, the standards committee chair should refer the matter to RSSB which may provide direction, advice or guidance.
 - c) Where related to an alleged failure of process, any member of the standards committee may raise the matter with RSSB which may provide direction, advice or guidance.
 - d) Where related to economic issues (for example, balancing relative costs and benefits across industry) the standards committee chair should refer the matter to the Industry Leadership Group.
- 9.5 The chair of a standards committee shall escalate issues to the Industry Leadership Group in accordance with 19.1.

10 RSSB support to the committees

[Reproduce section 4.8 of the Code - Administrative support for committees]

10.1 RSSB administrative support

- 10.1.1 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
 - e) Provide a venue for meetings, which may include arrangements for virtual meetings, and
 - f) Provide any other support that the chair, committee members, or secretary may reasonably require.

10.2 Committee meeting minutes

- 10.2.1 Committee meeting minutes shall contain 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.
- 10.2.2 Once the minutes have been approved by the chair:
- a) The approved minutes of the Industry Leadership Group 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.

10.3 RSSB actions in relation to the Industry Leadership Group

- 10.3.1 RSSB shall:
- a) Seek advice from the Industry Leadership Group on changing RGSs, and other documents produced under the procedures set out in the Manual, to meet the needs of the railway industry.
 - b) Take account of advice given by the Industry Leadership Group in relation to the application of strategies approved by it.

10.4 RSSB actions in relation to standards committees

- 10.4.1 From time-to-time RSSB shall:
- a) Undertake a full review of the number of standards committees and their remits prepared under 6.2.2, in consultation with the chairs of the standards committees, and
 - b) Recommend to the standards committees whether any changes should be made that would better fulfil the purpose of standards committees in support of the Code.
- 10.4.2 RSSB shall brief the standards committee chairs on relevant issues from the Industry Leadership Group to encourage:
- a) Consistency of policies and advice
 - b) A coordinated approach from all committees
 - c) Appropriate information sharing between committees
 - d) Sharing lessons learned.
- 10.4.3 RSSB shall publish a list of:
- a) The dates on which standards committee meetings are to be held, and
 - b) The cut-off dates for the submission of proposals for changes to railway standards and deviation applications corresponding to each of those meetings.

11 Scope, decision taking principles and content of railway standards

[Reproduce section 5.1 of the Code]

11.1 Scope of RGSs, RISs and NOPs

11.1.1 A requirement shall be within the scope of an RGS only if at least one of the following statements apply:

- a) It supports a UK specific case that is declared in an NTSN, or
- b) It fills an open point that is identified in an NTSN, or
- c) It is required for technical compatibility between structural subsystems when there is an interface between an NTSN compliant subsystem and a non-NTSN compliant (legacy) subsystem where the requirement is necessary for the design or manufacture of a subsystem for it to function with an existing subsystem which does not comply with the NTSN requirement, but where a specific case may not have been declared in the NTSN.

11.1.2 A requirement shall not be within the scope of RGSs in respect of:

- a) Maintenance depots or goods depots, or
- b) Sidings, except those identified by an infrastructure manager in the Sectional Appendix as forming part of the mainline railway,

unless the requirement is necessary to ensure compatibility between the structural subsystems of the mainline railway and depots and sidings.

11.1.3 A requirement shall be within the scope of a RIS only if:

- a) It is railway specific, and
- b) It is applicable to a subsystem(s) or part of a subsystem, or
- c) It is applicable to a process prescribing how an individual subsystem should be operated or managed.

11.1.4 A requirement shall be within the scope of a NOP only if:

- a) It is railway specific, and
- b) It is prescribing instructions for direct application by staff employed by transport operators, and
- c) It is applicable to the operation and traffic management subsystem.

[Reproduce section 5.2 of the Code]

11.2 Decision taking principles

11.2.1 When taking a decision related to requirements in NTSNs, RGSs, RISs and NOPs, including decisions on proposals for changes to requirements and deviations from RGS requirements, the lead standards committee shall consider:

- a) Whether the requirements are within the scope of the relevant document.
- b) Whether the requirements are likely to deliver their intention.
- c) Whether there are expected to be benefits to the rail industry from having a common standard.
- d) The predicted impacts for the railway system as a whole associated with compliance with the requirements.
- e) Whether the requirements align with:
 - i) Relevant legislation
 - ii) Other relevant technical standards
 - iii) Relevant strategies.

11.3 Legislation

11.3.1 A requirement shall not:

- a) Repeat legislation, or
- b) Conflict with legislation.

11.3.2 A requirement may:

- a) Impose more restrictive limits than are defined in legislation
- b) Expand the scope of legislation to include the mainline railway system, where this is not already the case, or
- c) Support compliance with legislation.

11.4 Assessment of the impacts

11.4.1 In order to support standards committees in taking decisions related to changes to requirements in an NTSN, RGS, RIS or NOP, RSSB shall undertake the assessment of the predicted impacts arising from the proposed changes to the requirements.

11.4.2 The assessment shall consider all types of impact that may be created by the proposed change. This will include, but not necessarily be limited to, the impacts on:

- a) The costs and benefits of compliance
- b) The service performance of the railway
- c) The continuing safety of the railway.

11.4.3 The effort expended by RSSB in providing the assessment of the impacts shall be proportionate, in the reasonable opinion of RSSB, to the scale of the predicted impacts from, and complexity of, the change at the time the decision is taken.

[Reproduce section 5.3 of the Code]

11.4.4 The Manual contains no requirements or guidance in relation to 5.3 of the Code about the content of RGSs or RISs.

12 Changes to railway standards

[Reproduce section 6.1 of the Code]

12.1 Proposals for changes to railway standards

- 12.1.1 RSSB shall publish a form for proposals for changes to railway standards. All proposals for changes to railway standards shall be submitted on this proposal form.
- 12.1.2 RSSB shall request further information from the party submitting a proposal for changes to a railway standard 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.

12.2 Register of proposals

- 12.2.1 RSSB shall establish, maintain, and publish a register of all proposals for changes to railway standards.
- 12.2.2 For each proposal, the register shall record:
 - a) A reference number for each proposal
 - b) The title of the proposal
 - c) The company for which the proposer works (if relevant)
 - d) The status of the proposal, and
 - e) Documents for which the proposal is likely to have implications (such as railway standards or deviations).
- 12.2.3 RSSB shall update the register at least once a month.

[Reproduce section 6.2 of the Code]

12.3 Consideration of proposals for changes to railway standards by standards committees

- 12.3.1 In deciding whether to proceed with a proposal for change to a railway standard as required by 6.2.2 of the Code, the lead standards committee shall:
 - a) Adopt the proposal without modification
 - b) Adopt the proposal with modification, or
 - c) Reject the proposal.
- 12.3.2 The lead standards committee shall determine:
 - a) The amount of the railway standard that should be subject to the change process, and
 - b) The priority that should be given to the proposal taking account of the associated urgency, importance, nature and scale of the proposal, and in the context of other work being carried out on behalf of standards committees.

- 12.3.3 For each new proposal, the chairs of any supporting standards committees for the relevant railway standard shall decide whether the proposal is relevant to their committee and needs to be considered by their committee.
- a) Where a supporting standards committee is to consider a proposal, the chair of that committee shall inform the chair of the lead standards committee for the relevant railway standard of:
 - b) The date on which the proposal is to be considered, and

- 12.3.4 The opinion of the supporting standards committee after it has considered the proposal.

12.4 Keeping proposals for changes to railway standards under review

- 12.4.1 RSSB shall keep the work on each proposal for change to a railway standard under review and shall recommend to the lead standards committee that work on a proposal should stop and the proposal should be deleted from the standards programme, if in the opinion of RSSB, either:
- a) The reason for the proposal ceases to exist or to be material, or
 - b) The work on the proposal causes the proposal to cease to comply with the decision taking principles defined in 5.2 of the Code and section 11.2 of the Manual.

12.5 The standards programme

- 12.5.1 RSSB shall establish and maintain a standards programme of all proposals for changes to railway standards where the lead standards committees have decided to proceed with work on those proposals.
- 12.5.2 Each proposal in the standards programme shall:
- a) Contain the reference number of the proposal
 - b) List the title and relevant railway standard number(s)
 - c) Record the stage the work on the proposal is at, and
 - d) Show expected dates for the achievement of key milestones.
- 12.5.3 A proposal shall not be deleted from the standards programme until:
- a) The lead standards committee has decided that the proposal should be deleted from the standards programme for any reason, or
 - b) The change to the railway standard derived from it is authorised, or
 - c) A decision is made not to authorise the change.
- 12.5.4 RSSB shall update the standards programme at least once a month.
- 12.5.5 RSSB shall advise the lead standards committee of significant changes to expected dates for achieving key milestones.

[Reproduce section 6.3 and 6.4 of the Code]

12.6 Consultation requirements

- 12.6.1 Where the amount of the railway standard that should be subject to the change process has been limited in accordance with 12.3.2a), then the standards committee may choose to limit consultation to the parts of the railway standard which have been proposed for revision (but responses received in respect of any of the railway standard concerned may be considered).
- 12.6.2 The normal minimum consultation period for a change to a railway standard shall be 20 working days, although this may be varied by the lead standards committee to suit the circumstances related to a particular railway standard.

[Reproduce section 6.5.1 to 6.5.3 of the Code]

- 12.6.3 Where consultation is to be carried out in accordance with 6.5 of the Code, the following consultation information shall be published:
- a) The draft railway standard
 - b) An assessment of the expected impacts arising from the proposed changes to the requirements.

12.7 Consultation register

- 12.7.1 RSSB shall establish, maintain, and publish a register for the purpose of consultation in relation to railway standards.
- 12.7.2 The register shall include details of rail industry stakeholders and those railway standards or topics of interest where they wish to be notified of proposed changes.
- 12.7.3 Stakeholders shall inform RSSB if they wish to be added to or removed from the register.
- 12.7.4 If RSSB wishes to amend the status of a stakeholder in terms of their interest in a particular railway standard, or to remove any person from the register, RSSB shall first obtain consent from the stakeholder.
- 12.7.5 The register shall be updated at least once every three months.

12.8 Consultation comments

[Reproduce section 6.5.4 of the Code]

- 12.8.1 RSSB shall provide the lead standards committee and any supporting standards committees with the consultation comments received, together with a proposed response to each comment.
- 12.8.2 RSSB is not obliged to provide to standards committees any comments on the consultation documents that are received after the date on which the relevant consultation period ends.
- 12.8.3 If the lead standards committee believes that a significant change to the draft railway standard, as consulted on, is required:
- a) The consultation shall be repeated, and
 - b) The lead standards committee shall determine the amount of the railway standard that should be subject to re-consultation.

[Reproduce section 6.5.6 of the Code]

- 12.8.4 Once the lead standards committee has approved the consultation comments and associated responses referred to in 12.8.1, RSSB shall distribute them in accordance with 6.5.6 of the Code:
- a) Allowing at least 10 working days before the draft railway standard 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 railway standard.
- 12.8.5 A standards committee may also decide that comments and associated responses shall be sent to interested parties whom they believe to have a material interest in any such response.
- 12.8.6 Where 12.10.3 applies, the standards committee shall put in place arrangements to deal with any comments submitted under 12.8.4.
- 12.8.7 At any time before the lead standards committee meets to consider the approval of the new, revised or withdrawn railway standard, 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 the comments to the lead standards committee chair.

[Reproduce section 6.6 of the Code].

12.9 Publication of consultation information when consultation is carried out in accordance with 6.6 of the Code

- 12.9.1 Where consultation was carried out in accordance with 6.6 of the Code, the following consultation information shall be published:
- a) The draft railway standard
 - b) An assessment of the expected impacts arising from the proposed changes to the requirements
 - c) The fact that consultation has been undertaken by standards committee members within the committee meeting
 - d) The date on which the railway standard is expected to be, or has been, approved by the lead standards committee, and
 - e) The mechanism by which any comment on the proposed change should be submitted to RSSB.
- 12.9.2 The information published in accordance with 12.9.1 shall be made available for at least 10 working days after consultation and prior to publication of the railway standard.
- 12.9.3 The lead standard committee shall make arrangements to deal with any comment submitted under 12.9.1e).

[Reproduce section 6.7 of the Code]

12.10 Approval and authorisation

- 12.10.1 In respect of every new, revised or withdrawn railway standard, RSSB shall submit to the lead standards committee and any supporting standards committees:
- a) The final draft of the railway standard (if applicable), and
 - b) A proposed response to any further comments related to the way in which consultation comments have been addressed, received under 12.8.7 or 12.9.1e).
- 12.10.2 The lead standards committee shall either:
- a) Approve the new or revised railway standard without modification, or approve the withdrawal of the railway standard, or
 - b) Approve the new or revised railway standard with specified modifications, having considered the impact of any such modification and the need for further industry consultation, or
 - c) Reject the proposed change (and give reasons for the rejection).
- 12.10.3 Where it is appropriate to do so, the lead standards committee may approve the response to the consultation document, in accordance with 6.5.6 of the Code, and the change to the railway standard in accordance with 6.7.1 of the Code, simultaneously.
- 12.10.4 When a lead standards committee approves a new or revised railway standard or the withdrawal of an existing railway standard for authorisation by RSSB, the standards committee chair shall (in a form determined and provided by RSSB), signify the approval of the committee to the content of the railway standard as being suitable for authorisation or withdrawal.
- 12.10.5 Prior to authorisation, RSSB shall check the following:
- a) The decision taking principles as set out in 5.2 of the Code have been applied correctly as far as can be reasonably determined by the person making the authorisation.
 - b) The relevant supporting standards committees have been involved to the extent that they wished to be so.
 - c) Consultation has been carried out as decided by the lead standards committee in accordance with either 6.5 or 6.6 of the Code.
 - d) Approved responses to consultation comments have been published in accordance with 12.8.4 or consultation information has been published in accordance with 12.9.1 and 12.9.2.
 - e) The lead standards committee chair has signified approval as required by 12.10.4.

13 Publication and monitoring of RGSs and RISs

[Reproduce section 6.8 of the Code]

13.1 Publication

- 13.1.1 RGSs and RISs shall be published to coincide with the update to the standards catalogue required by 15.1.3.
- 13.1.2 In exceptional circumstances it is permissible for the lead standards committee to decide that an RGS or RIS is to be published as soon as possible following approval.

[Reproduce section 6.9 of the Code]

13.2 Monitoring and reviewing the effectiveness of RGSs, RISs and NOPs

- 13.2.1 RSSB shall monitor the fitness for purpose of all RGSs and RISs, taking account of advice from the Industry Leadership Group and standards committees.
- 13.2.2 Standards committees shall support RSSB in delivering 13.2.1 by:
 - a) Reviewing the:
 - i) Sufficiency of RGSs and RISs, and
 - ii) Interaction between individual RGSs and RISs.
 - b) Reviewing all RGSs and RISs within 12 months of their earliest compliance date and at least once every five years thereafter, and
 - c) Reviewing particular RGSs or RISs more frequently where it is necessary or expedient to do so.

13.3 Review of deviations to improve standards

- 13.3.1 RSSB shall review each relevant deviation when an RGS is being reviewed to determine whether the RGS can be revised to eliminate the need for a deviation of a similar nature in the future.
- 13.3.2 RSSB shall review each relevant proposed alternative to a requirement in a RIS when a RIS is being reviewed, to determine whether the RIS can be revised to eliminate the need for an alternative solution of a similar nature in the future.

13.4 Proposals for the closing out of open points not addressed by RGSs – standards committee observations and comments

- 13.4.1 Any party may submit its proposals for the closing out of an open point in a published NTSN not addressed by RGSs to the lead standards committee for general observations and comments.
- 13.4.2 An applicant seeking general observations and comment on its proposals shall submit each of the following to RSSB:
 - a) The project specific technical rules intended for use in closing out each open point, and
 - b) The completed form published on RSSB's website for this purpose.

- 13.4.3 Following receipt of the documents in 13.4.2, RSSB shall pass them to the lead standards committee and the relevant supporting standards committees.
- 13.4.4 The lead standards committee and the relevant supporting standards committees may provide observations and comments relating to:
 - a) The technical or operational aspects of the proposed project approach
 - b) Where identified, areas where the applicant's proposed approach may bring it into conflict with existing industry standards, and
 - c) Whether the proposed approach may be appropriate as the basis for new requirements in an RGS or another standard.
- 13.4.5 The chair of the lead standards committee, or RSSB on their behalf, shall write to the applicant to provide a written record of the committee's observations and comments regarding the intended approach.
- 13.4.6 Where an applicant decides to change the proposed approach for their project in response to observations and comments from a standards committee, the applicant may re-submit the proposed approach to the standards committee for further observations and comments, should they wish to do so.

14 Further procedures for changes to documents other than RGSs and RISs

14.1 Application of the procedure for change to documents other than RGSs and RISs

- 14.1.1 The procedure for change in chapter 12 also applies to any work undertaken by RSSB or standards committees in relation to the documents listed in this chapter (chapter 14), except where an alternative requirement is described.

14.2 National Technical Specification Notices (NTSNs)

- 14.2.1 Prior to consideration of a proposal for change by standards committee(s), proposals shall be shared with the DfT for consideration and review.
- 14.2.2 RSSB shall reflect any Industry Leadership Group steers on government policy or other commitments and an initial RSSB assessment of the impacts of the proposal in the submission of proposals to the lead standards committee.
- 14.2.3 The initial consideration of proposals under 6.2 of the Code and 12.3 of the Manual may be delegated to a relevant sub-committee.
- 14.2.4 RSSB shall undertake an assessment of the predicted impacts arising from the proposed changes to the requirements in accordance with 11.4.
- 14.2.5 When a proposal and assessment of impacts is sufficiently mature, RSSB shall provide this to the lead standards committee for endorsement of the direction of the proposal to confirm this should proceed. The method of decision taking shall be as set out in 4.7 of the Code and chapter 9 of the Manual. All decisions shall be taken in line with the decision taking principles defined in 5.2 of the Code and 11.2

of the Manual. Issues with the proposal may be escalated to the Industry Leadership Group in accordance with section 19.1 of the Manual.

- 14.2.6 RSSB shall manage the remainder of the procedure for revisions to NTSN requirements in accordance with the change process in chapter 12. There may be additional consultation and standards committee approvals depending on the nature and scale of the change, including, but not limited to, whether this differs from the TSI requirement or the extent of changes to proposals following endorsement.
- 14.2.7 In addition to the parties identified in 6.5 of the Code, parties in Northern Ireland shall be consulted on the proposals.
- 14.2.8 Following approval and authorisation in accordance with 12.10, RSSB shall submit the industry recommendation for changes to the NTSN, the associated impact assessment and consultation details to the DfT.

14.3 Rail Industry Guidance Notes (GN)

- 14.3.1 A GN shall only contain guidance that is railway specific.
- 14.3.2 The lead standards committee, taking account of the views of any supporting standards committees, shall determine whether to proceed with a proposal relating to a GN on the basis of:
 - a) Whether guidance in relation to the particular issue would be of benefit, and
 - b) How it relates to the decision taking principles defined in 5.2 of the Code and in 11.2 of the Manual.

14.4 RSSB Technical Notes (TN)

- 14.4.1 TNs shall only contain information or guidance that do not change existing requirements and do not change the application of current standards or legislation.
- 14.4.2 TNs are non-binding reference documents.
- 14.4.3 The production of TNs shall be in accordance with section 6.3 of the Code.
- 14.4.4 Other procedures for development of TNs and changes to TNs, including proposals and approvals shall be determined and published by RSSB. These may not necessarily follow the procedure for change in chapter 6 of the Code or chapter 12 of the Manual and may not necessarily require standards committee approval.

15 Standards catalogue

15.1 The standards catalogue

- 15.1.1 RSSB shall establish, maintain, and publish a standards catalogue.
- 15.1.2 The standards catalogue shall, as a minimum, list:
 - a) The number, title, and synopsis of each current RGS, RIS, NOP and GN
 - b) The standards committee designated as the lead standards committee for each document.

- 15.1.3 RSSB shall update the standards catalogue at least every three months.

[Reproduce section 6.10 of the Code]

- 15.1.4 The standards catalogue shall list the documents within the collection of documents required by 6.10 of the Code.

15.2 Amendments and clarifications

- 15.2.1 Subject to the approval of the chair of the lead standards committee, RSSB may publish an amendment or clarification to an RGS, RIS, NOP or GN in the standards catalogue.

- 15.2.2 An amendment published in the standards catalogue shall:

- a) Not alter the intent of the relevant technical requirement (for example, an amendment may correct a typographical error or a reference to another document where that other document has been re-issued), and
- b) Normally be used where the promulgation costs are expected to exceed the benefits from the amendment, hence re-issuing the document is not supported.

- 15.2.3 A clarification published in the standards catalogue shall not alter the text of the relevant requirement.

16 Deviations from an NTR contained in an RGS

[Reproduce section 7.1 of the Code]

16.1 Deviation requirements

- 16.1.1 The Secretary of State publishes a list of the NTRs that apply in the UK in accordance with the Railways (Interoperability) Regulations 2011 (as amended). This may include requirements in RGSs or specific parts of an RGS. The deviation process in this chapter applies to those requirements in RGSs or specific parts of an RGS.

- 16.1.2 Whether a party must comply with these requirements under the Railways (Interoperability) Regulations 2011 (as amended) is for that party to determine based on the relevance of the technical requirements, the requirement for authorisation to place into service under those regulations and, in the case of renewals and upgrades, the scope of work proposed. For renewals and upgrades, there are provisions in regulation 12 of the Railways (Interoperability) Regulations 2011 (as amended) for the DfT to publish a list of projects or types of projects that are within scope of this. Under regulation 13 there is also a mechanism for project entities to seek a decision from the DfT that an authorisation to place into service is not required for their proposed renewal or upgrade as defined in the Railways (Interoperability) Regulations 2011 (as amended).

16.2 Deviation applications

- 16.2.1 RSSB shall publish a deviation application form.

- 16.2.2 All deviation applications shall:
- a) Be submitted on the deviation application form published by RSSB,
 - b) Contain only the necessary but sufficient information on the issues listed in 7.1.4 of the Code to enable the lead standards committee to take a decision regarding the approval of that deviation, and
 - c) Only be submitted if supported by the individual who has professional responsibility for the subject area concerned within the organisation who must comply with the RGS and who has authority to make commitments on behalf of that organisation in respect of issues related to that RGS.
- 16.2.3 Where a deviation application is submitted in accordance with 7.1.1b) of the Code, the application shall state the party to whom the deviation is to be granted under 7.1.2 of the Code.
- 16.2.4 Deviation applications submitted on or before the cut-off date for a standards committee meeting (published in accordance with 10.4.3) will normally be considered at that meeting.

[Reproduce section 7.2 of the Code]

16.3 Consideration of deviation applications by standards committees

- 16.3.1 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 the lead standards committee to take a decision in relation to it, or
 - b) Following a request from a standards committee for further information.
- 16.3.2 The party submitting the deviation application shall provide any such further information as is reasonably requested by RSSB in accordance with 16.3.1.
- 16.3.3 RSSB shall request summarised information from the party submitting a deviation application:
- a) Prior to that deviation application being considered by a standards committee, where RSSB considers that the application contains more content than is necessary and therefore would impair a standards committee in taking a decision in relation to it, or
 - b) Following a request from a standards committee for the information to be summarised.
- 16.3.4 In accordance with 16.3.3, the party submitting the deviation application shall:
- a) Provide any such summaries of supporting content as are reasonably requested by RSSB or a standards committee, or
 - b) Permit RSSB to use available technology to summarise the submitted content. The party submitting the deviation application shall confirm that:

- i) The summary produced by RSSB is faithful for submission to the relevant standards committee.
 - ii) The summarised content is considered part of the application.
- 16.3.5 The chair of the lead standards committee for the RGS containing the requirement against which the deviation is sought shall decide which standards committee is the lead standards committee in relation to that requirement.
- 16.3.6 For each deviation application, the chairs of any supporting standards committees for the RGS concerned shall decide whether that application should be considered by their committee, based on:
 - a) The relevance of the deviation to that committee, and
 - b) Consultation with the chair of the lead standards committee for the requirement against which the deviation is sought.
- 16.3.7 Where a supporting standards committee is to consider a deviation application, the chair of that committee shall inform the chair of the lead standards committee for the relevant requirement of:
 - a) The date on which the application is to be considered, and
 - b) The opinion of the supporting standards committee after it has considered the application.
- 16.3.8 Except where 7.4.2 of the Code applies, RSSB shall submit the following documents to the lead standards committee for the relevant requirement and the relevant supporting standards committees:
 - a) The deviation application
 - b) Any responses received from stakeholders during consultation on the deviation, and
 - c) Any supporting documents.
- 16.3.9 Unless advised otherwise by the chair of the relevant standards committees, the individual who signed the deviation application, or their representative, shall present their case for the deviation to that committee.
[Reproduce section 7.3.1 of the Code]
- 16.3.10 The applicant shall have completed consultation prior to submitting the application.
[Reproduce section 7.3.2 of the Code]
- 16.3.11 Having determined that further consultation is required, the lead standards committee shall consider whether adequate and more timely consultation could be undertaken by the standards committee members rather than by requiring the applicant to contact the relevant parties.
[Reproduce section 7.4.1 to 7.4.3 of the Code]

- 16.3.12 The circumstances under which a standards committee chair is permitted to approve deviation applications outside of standards committee are documented in the standards committee remit, in accordance with 6.2.2c).

16.4 Approval and authorisation

- 16.4.1 The lead standards committee for the relevant requirement or, in accordance with 7.4.2 of the Code, the chair 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 give reasons for the rejection).
- 16.4.2 Where the decision to approve a deviation is made by the chair of the lead standards committee in accordance with 7.4.2 of the Code, the chair shall report it to the lead standards committee at their next meeting.
- 16.4.3 The chair of the lead standards committee may decline to take a decision regarding an application for a deviation 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.
- 16.4.4 In such circumstances, the application for a deviation shall be considered at the next meeting of the lead standards committee.
- 16.4.5 Where the lead standards committee approves a deviation in accordance with 16.4.1 or where the chair of the lead standards committee approves a deviation in accordance with 7.4.2 of the Code, the chair of the lead standards committee shall sign a deviation approval form (provided by RSSB), signifying the committee or the chair's approval of the deviation.
- [Reproduce section 7.4.4 to 7.4.6 of the Code]*
- 16.4.6 Prior to authorisation, RSSB shall check that the following procedures have been completed:
- a) Adequate consultation with parties likely to be materially affected has been carried out
 - b) The decision taking principles as set out in 5.2 of the Code have been applied correctly as far as can be reasonably determined by the person making the authorisation
 - c) Relevant supporting standards committees have been consulted
 - d) The deviation approval form has been completed in accordance with 16.4.5
 - e) The information on the deviation certificate is complete and, where relevant, reflects the decisions recorded in the minutes of the lead standards committee meeting, and

- f) Only those changes permitted under 7.4.4 of the Code have been made to the certificate.

[Reproduce section 7.5 of the Code]

16.4.7 Once RSSB has authorised a deviation in accordance with 7.4.5 of the Code, it shall issue a deviation certificate.

16.4.8 The deviation takes effect from the date stated on the certificate.

16.5 Renewal of deviations with a specified duration

16.5.1 The holder of a deviation certificate with a specified duration may submit an application for a new deviation to take effect on the expiry of the existing certificate.

16.6 Register of deviations

16.6.1 RSSB shall establish, maintain, and publish a register of deviations.

16.6.2 The 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) The clauses of the RGS to which the deviation relates
- c) The reasons for the deviation application
- d) The alternative requirements that have been approved in the deviation, and
- e) Any limitations on the scope and duration of the deviation.

16.6.3 RSSB shall update the register at least once every three months.

17 Deviation procedures for other requirements in railway standards

17.1 Exemptions from NTSNs

17.1.1 The process for project entities or their authorised representative to seek an exemption from the whole or part of an NTSN is set out in the Railways (Interoperability) Regulations 2011 (as amended). This includes the application process and the DfT determination procedures which are set out in regulation 13, 14 and 14A of the Railways (Interoperability) Regulations 2011 (as amended).

17.2 Deviations from NOPs

17.2.1 When applying for a deviation from NOPs, applicants shall use the RSSB-managed deviation procedure set out in chapter 16.

17.3 Alternatives to a requirement in a RIS

17.3.1 Any party wishing to implement an alternative to a requirement in a RIS may inform or seek an opinion from standards committees on their proposed alternative.

- 17.3.2 This shall be used by RSSB as part of monitoring and reviewing the effectiveness of the RIS. Standards committees may provide comments which support the applicant in taking decisions about their alternative arrangements, but the alternative arrangements shall not be approved by standards committees. It is the responsibility of the applicant to determine the applicability or suitability of the proposed alternative and that any legal obligations or other obligations, including those under transport operator licence conditions, are met.
- 17.3.3 Any submissions shall be made using an application form published by RSSB.
- 17.3.4 The minutes from the related discussion at standards committees shall be provided to the applicant.
- 17.3.5 Section 17.3 may also be applied to an RGS or parts of an RGS where the relevant requirements are not being used to comply with an NTR as part of an authorisation under the Railways (Interoperability) Regulations 2011 (as amended).
- 17.4 Other documents**
- 17.4.1 There shall not be an RSSB-managed process for deviations from a GN, TN or any other form of document RSSB publishes that is not included in chapter 16 or 17.

18 RSSB support for other industry documents

18.1 Seeking RSSB support

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

18.2 Suitability of the body requesting support

- 18.2.1 The purpose and governance arrangements of the body requesting support under 18.1.1 shall be acceptable to RSSB in order for any RSSB support to be made available.
- 18.2.2 In determining whether the purpose and governance arrangements of the organisation or committee is acceptable under 18.2.1 RSSB shall consider whether that body:
- Has a purpose that is railway specific
 - Has objectives consistent with RSSB's primary purpose
 - Allows for representation from all of the groups affected by the output from the body
 - 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
 - Provides a process for consultation with affected parties in relation to the output from the body, including responding to comments raised during such consultation
 - Makes all decisions by a mechanism that is non-discriminatory and transparent to the membership of that body, and

- g) Provides a change control process for amending or updating the documents produced under these arrangements.

18.3 Nature of the support provided by RSSB

- 18.3.1 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.
- 18.3.2 Prior to any support being provided by RSSB, the memorandum of understanding shall require approval by the Board based on a recommendation from RSSB.

19 Escalations, intervention and appeals

[Reproduce section 8 of the Code]

19.1 Escalation to the Industry Leadership Group

- 19.1.1 When a standards committee discusses an issue for the first time and is unable to achieve consensus, the chair shall:
 - a) Decide the course of action in accordance with 9.4, if the chair believes the standards committee could reasonably reach consensus after discussing the issue for a second time, or
 - b) Escalate the issue to the Industry Leadership Group, if the chair believes the standards committee is not reasonably likely to reach consensus after discussing the issue for a second time.
- 19.1.2 When a standards committee discusses an issue for the second time and is unable to achieve consensus, the chair shall escalate the issue to the Industry Leadership Group.
- 19.1.3 A standards committee chair may escalate issues in relation to any particular matter to the Industry Leadership Group at any point if the committee requires direction, advice or guidance in accordance with 4.2.2 of the Code or 5.1 of the Manual.

19.2 Involvement of the Cost Attribution Committee

- 19.2.1 The Industry Leadership Group chair shall transfer issues to the Cost Attribution Committee when, in the opinion of the Industry Leadership Group, industry parties require to negotiate commercial implications.

20 Administration of the Code and the Standards Manual

[Reproduce section 9.1 of the Code]

20.1 Manual implementation and transition arrangements

- 20.1.1 Subject to 20.1.2, Issue Five of the Manual supports Issue Six of the Code and is effective from [TBC].
- 20.1.2 RSSB may direct that Issue Four of the Manual (or any part thereof) shall continue to apply to any decision regarding a railway standard or deviation which is in the course of being processed at the time Issue Five of the Manual becomes effective.
- 20.1.3 Any reference in the Manual to another document including, without limitation, any statute or related subordinate instrument, regulation or measure, shall include any subsequent amendment to, or replacement of, that document.

[Reproduce section 9.2 to 9.8 of the Code]

21 Publication

[Reproduce section 10.1 of the Code]

21.1 Publication

- 21.1.1 Where the Manual refers to a document being published, it shall be published in accordance with 10.1.1 of the Code.

22 Costs

[Reproduce section 10.2 of the Code]

- 22.1.1 The Manual contains no requirements or guidance in relation to 10.2 of the Code about costs.

Appendix A Chairing and membership of the Industry Leadership Group and standards committees

A1 Chair of the Industry Leadership Group

- A1.1 No part of section **Error! Reference source not found.**, shall be amended without the consent of the Board.
- A1.2 The Board shall appoint a person to act as the Industry Leadership Group chair, taking account of the advice of RSSB.
- A1.3 Such a person shall automatically become a member of the Industry Leadership Group on their appointment as chair.
- A1.4 Nominees for the appointment:
- a) Must have appropriate professional expertise and wide experience of the railway industry, and
 - b) Occupy (or have occupied) senior positions in the industry, and
 - c) Must not represent any particular sector of the industry in their role as the Industry Leadership Group chair, and
 - d) Need not necessarily be an existing Industry Leadership Group member.
- A1.5 If the Industry Leadership Group chair is selected from one of the industry category representative members of the Industry Leadership Group, the industry category concerned shall be entitled to appoint a new Industry Leadership Group member.
- A1.6 Subject to point A1.7, the Industry Leadership Group chair shall occupy the post for a three-year term. At the end of the term the Industry Leadership Group chair shall automatically retire. They may offer themselves for re-nomination. The same person shall serve a maximum of two terms as chair of the Industry Leadership Group.
- A1.7 The Industry Leadership Group chair shall be required to relinquish their appointment if:
- a) A simple majority of the members of the Industry Leadership Group so resolve, and the Board resolves that it agrees with that resolution, or
 - b) The Board resolves to terminate the appointment.
- A1.8 If the Industry Leadership Group chair is removed from the appointment, the Board shall appoint an Industry Leadership Group chair in accordance with the preceding provisions of section **Error! Reference source not found.**

A2 Membership of standards committees

- A2.1 Subject to 4.5.1 of the Code, the membership of each standards committee shall be appropriate to the technical areas and financial implications on which it is required to take decisions.
- A2.2 Subject to point A2.4 and following consultation with any relevant standards committee via its chair, RSSB shall approve:
- 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).
- A2.3 If there is no relevant standards committee chair, for example when an entirely new standards committee is being formed, RSSB recommend the composition of that standards committee.
- A2.4 RSSB shall appoint an appropriate member of RSSB personnel to serve as a member of each standards committee.
- A2.5 Each standards committee shall:
 - a) Review the scope of expertise of its elected members and identify any additional expertise which is needed, taking into account the technical areas and financial implications 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.
 - c) Make the committee more accessible by encouraging observers to attend and gain experience of the committee process.
- A2.6 Where a standards committee considers it necessary or expedient, it may recommend to RSSB 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.

A3 Standards committee chairs

- A3.1 Except as provided in point A3.2, the chair of each standards committee shall be elected by the standards committee members from amongst their number.
- A3.2 If the standards committee and RSSB agree, a standards committee chair 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 the standards committee chair.
- A3.3 When elections are to be held for the chair of a standards committee, RSSB shall arrange for the election of a standards committee chair, 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 chair.
 - d) For any ballot, the industry categories entitled to be represented on the Board shall be entitled to exercise in aggregate the following percentages of the total voting rights:
 - i) Railway undertakings (passenger): 30 per cent
 - ii) Railway undertakings (non-passenger): 10 per cent
 - iii) Network Rail and other infrastructure managers: 30 per cent
 - iv) Rolling stock owners (including rolling stock leasing companies): 10 per cent

- v) Infrastructure contractors: 10 per cent
 - vi) Suppliers (including rolling stock manufacturers): 10 per cent.
 - 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 chair of a standards committee must not represent any particular sector of the industry in their role as chair.
 - g) If an elected chair 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 chair.
 - h) If an elected chair of a standards committee was the RSSB member, RSSB shall appoint a new RSSB committee member on the nominee's appointment as chair.
 - i) Subject to point A3.4, a standards committee chair shall be elected for a three-year term. At the end of the term the standards committee chair shall automatically retire. They may offer themselves for re-election.
- A3.4 A standards committee chair shall be removed from office provided both:
- a) At least 65 per cent, in accordance with the voting rights defined in point A3.3d), of the members of standards committee concerned so resolve, and
 - b) RSSB resolves that it agrees with that resolution.
- A3.5 If a standards committee chair is removed from office, an election shall then be held for a standards committee chair in accordance with the preceding provisions of points A3.1 and A3.3, in which the former standards committee chair may stand if they wish, or a chair may be appointed under point A3.2.

A4 Alternate members for the Industry Leadership Group

- A4.1 Any Industry Leadership Group member (other than an alternate member) may appoint a suitable person to be their alternate for a particular meeting.
- A4.2 The appointed alternate shall:
- a) Have equivalent seniority to the Industry Leadership Group member, and
 - b) Have suitable knowledge, experience and competence to perform the duties of the Industry Leadership Group member.
- A4.3 The appointed alternate shall be entitled to:
- a) Receive notice of the meeting for which they are to attend
 - b) Attend the meeting at which the member appointing them is not present
 - c) Perform all the functions of the person who appointed them as a member in their absence, and
 - d) Be appointed for the purpose of attendance at a maximum of one meeting of the Industry Leadership Group in any given financial year.

A4.4 Where an alternate member attends an Industry Leadership Group meeting in place of the person who appointed them, that alternate member shall be counted in the quorum for that meeting.

A4.5 Any appointment for an alternate shall be by written notice to the chair of the Industry Leadership Group from the member making the appointment.

A5 Alternate members for standards committees

A5.1 Any standards committee member (other than an alternate or a co-opted member) may:

- a) Appoint any other suitable person (including an existing member of that standards committee or suitable person from their organisation who may not necessarily have the same level of experience and seniority) to be their alternate member, and
- b) Change their appointment of an alternate member at any time.

A5.2 An alternate member shall be entitled:

- a) To receive notice of all standards committee and sub-committee meetings of which the person who appointed them is a member
- b) To attend any such meeting at which the member appointing them is not present, and
- c) Generally to perform all the functions of the person who appointed them as a member in their absence.

A5.3 Where an alternate member attends a standards committee meeting in place of the person who appointed them, that alternate member shall be counted in the quorum for that meeting.

A5.4 An alternate member shall cease to be an alternate if the person who appointed them ceases to be a standards committee member.

A5.5 Any appointment or removal of an alternate member shall be by written notice to the chair of the relevant standards committee, from the standards committee member making or revoking the appointment.

A6 Co-opted members for the Industry Leadership Group

A6.1 The Industry Leadership Group shall not co-opt members at any time.

A7 Co-opted members for standards committees

A7.1 For each co-opted member, the standards committee may remove that person from the standards committee at any time.

A7.2 Co-opted members present at meetings shall not be counted when considering whether a meeting is quorate.

A8 Observers

A8.1 The Industry Leadership Group and standards committees may invite anyone to attend any meeting as an observer.

- A8.2 The Industry Leadership Group and Industry Leadership Group and each standards committees shall determine the extent of the observer's participation in the meeting. However, observers shall not participate in the decisions taken by the Industry Leadership Group or the standards committee.
- A8.3 Observers present at meetings shall not be counted when considering whether a meeting is quorate.
- A8.4 Committee members may ask the committee if they can invite colleagues to attend any meeting as an observer to gain experience of the workings of a committee.

A9 Election of Industry Leadership Group members

- A9.1 All Industry Leadership Group members representing industry categories shall be elected in accordance with section A9.
- A9.2 At least one third of the Industry Leadership Group members representing industry categories shall automatically retire each year, subject to the provision in point A9.3. The longest serving members shall be subject to retirement first and, in the case of service of equal length, the matter shall be decided by the drawing of lots.
- A9.3 Where an industry Leadership Group member relinquishes their appointment during the relevant year for reasons other than automatic retirement, this relinquishment shall contribute to the one third retirement required by point A9.2.
- A9.4 Industry Leadership Group members shall occupy the post for a three-year term. At the end of the term the member shall automatically retire. Retiring members may be nominated for re-election. The same person shall serve a maximum of two terms.
- A9.5 Points A9.2 shall only apply from year four after the Industry Leadership Group is formed.
- A9.6 In order to be eligible for election as an Industry Leadership Group member each candidate shall meet all of the following minimum requirements:
- a) Have suitable knowledge, experience and competence
 - b) Occupy senior positions in the industry
 - c) Have an understanding of the broad business challenges faced by industry, including its costs
 - d) Have a broad understanding of the Code and the Manual, particularly the scope and decision taking principles defined in 5.1 and 5.2 of the Code, and
 - e) Be willing to deputise for the chair of the committee, if so requested by them or by the committee.
- A9.7 If a company or association in the electorate concerned has a doubt as to whether a candidate meets the requirements of point A9.6 and lodges a formal concern with the Board, the Board shall decide whether a candidate for the Industry Leadership Group meets those requirements.
- A9.8 The voters in the electorate for an Industry Leadership Group seat shall be the members of RSSB in the industry category that the member will represent.

- A9.9 Where a single company, association or other person comprises the electorate for an Industry Leadership Group seat, it shall appoint the committee member and an election need not be held.
- A9.10 For the purpose of this Appendix, a person appointed in accordance with point A9.9 shall be considered as a person who is an elected member of the Industry Leadership Group.
- A9.11 Where the electorate for an Industry Leadership Group 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 other appropriate person) of each company or association in the electorate for that committee seat, and
 - b) Although nominations may only be made by a company in the electorate for that committee seat, or by an association representing such companies, candidates need not be employed by or have any other connection with the company or association.
- A9.12 Before an election for a seat, the chair shall advise the electorate of the type of expertise that would be most beneficial to the committee, taking into account the expertise already available from the existing members.
- A9.13 The following voting arrangements shall apply to all elections for Industry Leadership Group members:
- 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 other appropriate person) of each company or association
 - d) The right to vote may not be transferred
 - e) In the event of a tie, the Industry Leadership Group shall be asked to select the successful candidate, and
- A9.14 The results of the vote shall be published and sent to all the voters in the electorate.

A10 Election of standards committee members

- A10.1 All standards committee members representing industry categories shall be elected in accordance with this section.
- A10.2 At least one third of each standards committee members representing industry categories shall automatically retire each year, subject to the provision in point A10.3. The longest serving members shall be subject to retirement first and, in the case of service of equal length, the matter shall be decided by the drawing of lots.
- A10.3 Where a standards committee member relinquishes their appointment during the relevant year for reasons other than automatic retirement, this relinquishment shall contribute to the one third retirement required by point A10.2.
- A10.4 Retiring standards committee members may be nominated for re-election. In order to be eligible for election as a standards committee member each candidate shall meet all of 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) Have an understanding of the broad business challenges faced by industry, including its costs
 - d) Be chartered members of an appropriate professional institution which covers the relevant area
 - e) Have a broad understanding of the Code and the Manual, particularly the scope and decision taking principles defined in 5.1 and 5.2 of the Code, and
 - f) Be willing to deputise for the chair of the standards committee, if so requested by them or by the standards committee.
- A10.5 If a company or association in the electorate concerned has a doubt as to whether a candidate meets the requirements of point A10.4 and lodges a formal concern with RSSB, RSSB shall decide whether a candidate for a standards committee meets those requirements.
- A10.6 The voters in the electorate for a standards committee seat shall be the members of RSSB in the industry category that the standards committee member will represent.
- A10.7 Where a single company, association or other person comprises the electorate for a standards committee seat, it shall appoint the standards committee member and an election need not be held.
- A10.8 For the purpose of this Appendix, a person appointed to a standards committee in accordance with point A10.7 shall be considered as a person who is an elected member of the standards committee.
- A10.9 Where the electorate for a standards 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 other appropriate person) of each company or association in the electorate for that standards committee seat, and
 - b) Although nominations may only be made by a company in the electorate for that standards committee seat, or by an association representing such companies, candidates need not be employed by or have any other connection with the company or association.
- A10.10 Before an election for a seat on a standards committee, the chairs shall advise the electorate of the type of expertise that would be most beneficial to the standards committee, taking into account the expertise already available from the existing members.
- A10.11 The following voting arrangements shall apply to all elections for members of a standards 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 other appropriate person) of each company or association
- d) The right to vote may not be transferred
- e) In the event of a tie, the standards 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.

A11 Annual review of membership

- A11.1 Each committee shall review its membership annually to confirm that the composition of the committee remains appropriate to the purpose.
- A11.2 Where a committee considers that membership is no longer appropriate, that committee shall take steps to obtain the appropriate representation on the committee.
- A11.3 The results of the annual review of membership shall be advised to the Board for the Industry Leadership Group and to RSSB for standards committees.

A12 Removal of an elected committee member

- A12.1 The relevant industry category shall, at the request of the Industry Leadership Group chair for the Industry Leadership Group or the relevant standards committee chair for standards committees, remove and replace an elected member of a committee if that member either:
 - a) Ceases to meet the minimum requirements for selection as a member
 - b) Ceases to be able to represent the interests of the industry category which appointed them
 - c) Is absent from at least three out of six consecutive committee meetings without the permission of that committee
 - d) Resigns their office by notice to the committee chair in accordance with 8.2.2 or 8.3.5, or.
 - e) Has completed three years of membership for the Industry Leadership Group.