

SCHEDULE 1

Regulations 5(1)(c), and 6(1)(b)

SAFETY MANAGEMENT SYSTEM

**Requirements on the safety management system**

1. The safety management system shall—
  - (a) describe the distribution of responsibilities, within the operation, for the safety management system;
  - (b) show how control of the safety management system by the management on different levels is secured;
  - (c) show how persons carrying out work or voluntary work directly in relation to the operation and their representatives on all levels are involved with the safety management system; and
  - (d) show how continuous improvement of the safety management system is ensured.

**Basic elements of the safety management system**

2. The basic elements of a safety management system are—
  - (a) a statement of the safety policy which has been approved by the chief executive and communicated to all persons carrying out work or voluntary work directly in relation to the operation;
  - (b) qualitative and quantitative targets for the maintenance and enhancement of safety and plans and procedures for reaching those targets;
  - (c) procedures to meet relevant technical and operational standards or other requirements as set out in—
    - (i) TSIs;
    - (ii) national safety rules;
    - (iii) other relevant safety requirements; and
    - (iv) decisions of the Office of Rail Regulation addressed to the transport operator in question,and procedures to ensure compliance with the requirements listed in this paragraph throughout the life-cycle of any relevant equipment or operation which is subject to the requirement in question.
  - (d) procedures and methods for carrying out risk evaluation and implementing risk control measures when—
    - (i) there is a change in the way in which the operation in question is carried out; or
    - (ii) new material is used in the operation in question,which gives rise to new risks in relation to any infrastructure or the operation being carried out;
  - (e) provision of programmes for training of persons carrying out work or voluntary work directly in relation to the operation and systems to ensure that the competence of such persons is maintained and that they carry out tasks accordingly;
  - (f) arrangements for the provision of sufficient information relevant to safety—
    - (i) within the operation in question; and

**Status:** This is the original version (as it was originally made).

- (ii) between the operator in question and any other transport operator or an applicant for a safety certificate or a safety authorisation who carries out or who intends to carry out operations on the same infrastructure;
- (g) procedures and formats for the documentation of safety information;
- (h) procedures to control the lay out of, and changes to, vital safety information;
- (i) procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are reported, investigated and analysed and that necessary preventative measures are taken;
- (j) provision of plans for action, alerts and information in the case of an emergency which are to be agreed with any public body, including the emergency services, that may be involved in such an emergency; and
- (k) provisions for recurrent internal auditing of the safety management system.