

Guidance Document

G1010 Safety Authorisation and Safety Certification Management Systems Manual

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1 Purpose

1.1 Management System Manual

This document is intended to provide an overview of the Health, Safety and Environment Safety Authorisation and Safety Certificate Section Management System - the documented procedures and associated roles and responsibilities that define the processes to which the section works.

In addition, those issues that do not fit sensibly within the procedural format are identified and described to ensure that all the key functions of the Health, Safety and Environment Safety Authorisation and Safety Certificate Section are defined and documented.

In developing the Management System it has been acknowledged that a documented system cannot replace the need for skills and training. The procedures have been developed to the depth of detail considered sensible for providing a framework within which the Health, Safety and Environment Safety Authorisation and Safety Certificate Section personnel operate.

2 Scope

2.1 The section exists to:

- a) Maintain London Underground's Safety Certification and Authorisation and manage for LUL the interfaces with other railway operators to ensure the accuracy and adequacy in accordance with the Railways and Other Guided Transport Systems (Safety) Regulations 2006 as amended and other statutory requirements
- b) Provide consistent advice on Safety Certification and Authorisation related matters within London Underground and to 3rd Party operators where appropriate
- c) Provide a focal point for London Underground's Safety Certification and Authorisation issues within LUL
- d) Provide a 'single' point of contact for external bodies communicating with London Underground on Safety Certification and Authorisation matters and for London Underground Business Units wishing to communicate with other railway operators or Network Rail
- e) Manage the distribution of Safety Certification and Authorisation documents within London Underground and to appropriate external parties
- g) Provide the service by which 3rd Party Safety Certification and Authorisation submissions are reviewed and commented on for Office of Rail Regulation and in a timely manner make representations of London Underground's view on adequacy, as required by the Railways and Other Guided Transport Systems (Safety) Regulations 2006 as amended.

2.2 Directors' Risk and Assurance Change Control Team

The Directors' Risk and Assurance Change Control Team is made up of a competent and representative group of senior managers to review Change Assurance papers, Verification Activity Plans, Engineering Design, Compliance, Consent to test and Operate submissions, Formal Investigation Reports, changes to standards and concessions to standards, Operational Safety Plans and identify any concerns affecting



the acceptability of the London Underground Safety Authorisation and Certification. Directors' Risk and Assurance Change Control Team may co-op additional advice from external members for specialist advice to assist in making an informed decision.

It should be noted that the management of all Directors' Risk and Assurance Change Control Team activities is no longer the responsibility of the Safety Certificate Manager; this has now all passed to the Health, Safety and Environment Change Control and Standards Manager.

3 Guidance

3.1 Management system overview

The following key activities are documented as procedures:

Title	Reference
LUL Health, Safety and Environment Safety Authorisation / Safety Certificate Change process	SQE-SC-101-PR (new number W0013)
Review of 3rd party Railway Safety Certification and Authorisation	SQE Procedure 001 (new number G1014)
Application of assessment criteria for Railway Undertakings and Infrastructure Managers Safety Certification and Authorisation	SQE 001 Appendix A (new number G1015)
Safety Certification and Authorisation Assessment Review Log	SQE 001 Appendix B (new number G1016)
LUL Issues Log	SQE 001 Appendix C (new number F0042)
Safety Certification and Authorisation representation	SQE 001 Appendix D (new number F0043)
Assessment of Substantial Revisions to Safety Certification and Authorisation	SQE Procedure 003 (new number G1013)
LUL Health, Safety and Environment Safety Certificate Section Document Control and Library Control	SQE-SC-104-PR (new number W0011)
Management of LUL Safety Certification and Authorisation	SQE Procedure 005 (new number W0014)
LUL Health, Safety and Environment Change Assurance Section - filing and archiving/Document	SQE-SC-107_PR (new number W0012)

The purpose of these procedures is defined within each document.