

Guidance Document

G1013 REVIEW OF SUBSTANTIAL REVISIONS TO SAFETY CERTIFICATION AND AUTHORISATION

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MAYOR OF LONDON

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1 Purpose

The purpose of this Guidance is to defines the arrangements by which London Underground reviews substantial changes to transport undertaking's safety certification and authorisation to comply with regulation 8, 9, 11 and 12 of the *Railways and Other guided Transport Systems (Safety) Regulations*.

2 Scope

- 2.1 This Guidance applies to all persons involved in reviewing safety certificates or safety authorisation.

3 Guidance

3.1 Principles

- 3.1.1 The regulations require London Underground to review substantial changes to transport undertakings safety certification and Authorisation in order to be satisfied that the arrangements described in the revision do not affect London Underground's ability to continue to comply with its responsibilities as infrastructure manager. Under the regulations (17 (3)) London Underground are required to make representations with 28 days of the application being sent by the Duty Holder / received by the reviewing organisation.

This procedure describes the arrangements to meet these legal requirements. The following principles have been adopted in the design of this procedure and shall be adopted whenever it is implemented:

- legal obligations will be complied with throughout all stages of the process:
 - all relevant parts of a revision shall be reviewed
 - procedural requirements in the regulations shall be followed
- a suitable selection of competent London Underground and London Underground Group staff shall be involved; and
- safety certification/authorisation review shall be carried out efficiently to provide the maximum benefit, for London Underground, the operator and any other affected party, therefore:
 - issues presented to operators will be relevant and easy to understand
 - timescales for completing assessments shall be complied with.