

Ref:	NR/L2/RSE/100/03
Issue:	2
Date:	05 December 2015
Compliance date:	05 March 2016

Level 2

The application of the interoperability regulations for infrastructure projects

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Published and Issued by Network Rail, 2nd Floor, One Eversholt Street, London NW1 2DN



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Contents

1 Purpose	5
2 Scope	5
3 Roles and Responsibilities	6
4 Works of new construction or renewal and upgrade on the mainline railway	8
5 Interoperable projects where Network Rail is not the project entity	14
6 Project close-out	15
Appendix A Competence levels	17
Appendix B TSI matrix	19
Appendix C Network Rail verification process and placing into use process	20
Appendix D	22
Accreditation of conformity assessment bodies for the purpose of notification under the Railway Interoperability Directive 2011 as amended	
Figure C.1 – Network Rail verification process	20
Figure C.2 – Network Rail placing into use process	21
Table 1 – RACI framework	7

Ref:	NR/L2/RSE/100/03
Issue:	2
Date:	05 December 2015
Compliance date:	05 March 2016

Glossary

CDM	Construction (Design and Management) Regulations
CSM-RA Regulation	Commission Implementing Regulation (EU) 402/2013 (the Regulation on a common safety method (CSM) for risk evaluation and assessment
DeBo	Designated Body as defined in the Interoperability Regulations
DfT	Department for Transport
DPE	Designated Project Engineer
EC	European Commission
ERA	European Rail Agency
EU	European Union
GRIP	Governance of Railway Investment Projects
IC	Internal Certification
IM	Infrastructure Manager
ISV	Interim Safety Verification
LDM	Lead Development Manager
NoBo	Notified Body
NR	Network Rail
ORR	Office of Rail & Road
PAS	Project Authorisation Strategy
PCP	Project Compliance Plan
PM	Project Manager
Project Entity	Authorised representative established in the EU of a contracting entity or manufacturer.
RGS(NTR)	Railway Group Standards (National Technical Rules)
RGS(NSR)	Railway Group Standards (National Safety Rules)
RIR	Railways (Interoperability) Regulations 2011 (as amended)
RIS	Railway Industry Standards
ROGS	The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended)
RSSB	
RUS	Route Utilisation Strategy
SA	Safety Authority
SD	System Description

Ref:	NR/L2/RSE/100/03
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SRP	System Review Panel
TSI	Technical Specifications for Interoperability

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1 Purpose

This standard allows Network Rail to comply with Commission Recommendation [2014/897/EU](#) on the authorisation for the placing in service of structural subsystems and vehicles. For the structural subsystems concerned refer to the TSI Matrix in Appendix B.

NOTE 1 Conformance with this standard will not enable full compliance with the legislation referenced in the standard. Users are advised to consult legislation and associated guidance available from the European Railway Agency (ERA), the Office of Rail and Road (ORR) and the Rail Safety and Standards Board (RSSB).

The standard is part of a suite of processes governed by Network Rail Assurance Panel (NRAP) to provide appropriate review prior to projects, products and vehicles being placed into service. The other modules in the suite are:

NR/L2/RSE/100/01 *Network Rail Assurance Panel*

NR/L2/RSE/100/02 *Application of the Common Safety Method for Risk Evaluation and Assessment*

NR/L2/RSE/100/04 *Introduction of new or modified vehicles*

NR/L2/RSE/100/05 *Product introduction and change to Network Rail operational infrastructure*

NR/L2/RSE/100/06 *How to decide what needs product acceptance via NR/L2/RSE/100/05*

NR/L2/RSE/100/07 *System Review Panels*

2 Scope

This standard specifies the process to be followed by projects to obtain an authorisation under the Railway (Interoperability) Regulations.

NOTE: For instances where an ISV is required but not an authorisation or working in compliance with the relevant TSI, projects with clearly defined stages of configuration outputs can precede with the process of authorisation as stated in section 4.5. A migration strategy should be prepared in conjunction with the PAS/SD as this will formulate the final authorisation for putting into use

It applies:

- where an infrastructure project requires an authorisation but Network Rail is not the project entity;
- where another contracting entity contracts works to Network Rail and requires them to undertake the role of project entity;
- to the introduction of new or major modifications of rolling stock including wagons or other specialist vehicles (yellow plant in train formations) permitted to run on the mainline railway

NOTE 1 NR/L2/RSE/100/04 provides requirements on the introduction of new or modified vehicles.

NOTE 2 Network Rail Yellow Fleet follow all Vehicle Compatibility requirements if moving under its own power.

NOTE 3 NR/L2/RSE/100/02 specifies the process to comply with the Common Safety Method for Risk Evaluation and Assessment.

Ref:	NR/L2/RSE/100/03
Issue:	2
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NOTE 4 Guidance for Sponsors on Railway (Interoperability) Regulations is available in the Sponsors Handbook.

NOTE 5 Projects should note that the essential requirements for Interoperability are specified in the relevant TSI and in other supporting documents, specified in Appendix B. The complete set of requirements should be demonstrated as 'met' in the Technical File.

3 Roles and Responsibilities

Table 1 defines a framework that can be used to check that Network Rail roles involved in the discharge of this standard have the necessary competence with a breakdown of the competency levels illustrated in Appendix A.

NOTE Competency defined as the same framework for CSM but no formal training will be provided.

Accountable, Responsible, Consulted, Informed		Sponsor	PM	NRAP	SRP	NoBo
Prepare application to NRAP (4.1)		A/R	C	I		
Submit application to the NRAP		A/R	C	I/C		
NRAP Assess and Endorse PAS/SD		C	C	R		
Appointment of a NoBo and a DeBo (4.3)		A	R			
EC verification process - Iterate as required (4.4):	Obtaining the Technical File and making it available to NoBo (4.5)	A	R		I	C
	Producing the project compliance plan	I	C		I	A/R
	Accepting the project compliance plan	A	R			I
	NoBo reporting	I	C		I	A/R
	Make submissions to NoBo according to agreed PCP (4.4)	A	R			C
	Comment on submissions (4.5)	I	I			A/R
	Compile Technical File (4.5)	I	C		I	A/R
	Resolve issues and respond to NoBo (4.5)	A	R			C
Submit technical file records to NRAP or delegated body for endorsement before formal issue to 'safety authority' (4.5)		A	R	C	C	I

Ref:	NR/L2/RSE/100/03
Issue:	2
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Accountable, Responsible, Consulted, Informed		Sponsor	PM	NRAP	SRP	NoBo
Submit technical file records to 'safety authority' to obtain required 'authorisation' (4.5)		A	R			I
Placing into service (4.6)		A	R		I	C
Hand-back to Infrastructure Manager (Routes) (4.7):	The Technical File records in the prescribed manner	A	R			
	The Register of Infrastructure records in the prescribed manner	A	R			
	Provide evidence that activities to address commission recommendation 2014/897/EU have been completed.	A	R			
Interoperable Projects where NR is not the Contracting Entity (5)		A	R	C		I
Compile project close-out report (6)			A			
Place copy of documentation on project file (6)			A			
Submit project close-out report to NRAP or delegated body for endorsement before project completion.		A	R	I	C	

Table 1 – RACI framework