

## **STANDARD V-002**

***The safety certificate  
for train operators  
Requirements, criteria, process***

### **Colophon**

Author H.G.D. Cramer  
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## Foreword

Safeguarding railway safety is a matter of increasing importance. The number of train operators on the railway network is rising. In addition, extra railway traffic can be expected as the volume of rail transport continues to expand. Based on agreements made at a European level, managing and maintaining the infrastructure and traffic control have been separated from the train operation services.

Ensuring, among other things, that safety is kept at the required level will require close co-operation between the train operators and the government-commissioned organisations Rail Infrastructure Management, Rail Traffic Control and Railned.

It is the responsibility of the Ministry of Transport, Public Works and Water Management to provide the strategy for achieving the desired level of safety on the rail network. The Railway Safety department of Railned gives a more practical substance to this strategy by developing policy instruments and consulting the parties concerned on how these instruments are to be adopted.

At present, rail transport is a safe method of transportation. The government strategy is to maintain this situation and, where possible, to improve on the safety level. All organisations participating in the railway system will have to do their part to achieve this. After all, it is the train operators and government-commissioned organisations that have an effect on safety in their day-to-day operations, the personnel working aboard the trains, in the traffic control centres and along the infrastructure. Co-operation between and contributions from all organisations concerned are indispensable.

Railned Railway Safety therefore develops the framework and standards for the railway system in consultation with the companies concerned. Within this framework and the standards, the companies are in the first instance responsible for elaborating the details of this matter at their own discretion.

As stated in the track-access-agreement, train operators must have a safety certificate in order to participate on the railway system. This standard contains the specific requirements that train operators must comply with in order to be eligible for the safety certificate. The certification audit will put this to the test. Meeting the requirements will require a lot of effort from both new and existing train operators.

Railned Railway Safety has to assess whether train operators comply with these requirements, but also guide them through the certification process and provide support when needed.

Compliance with rules or regulations is a requirement.

But: even more important, the operators themselves shall be willing and able to contribute actively to the permanent improvement that is pursued and inspire confidence that they can bear the responsibility for their contributions to the system's safety as a whole.

This confidence is and shall be the basis for a common approach in achieving the desired further safety improvement in the railway system.

MINISTRY OF TRANSPORT, PUBLIC WORKS AND WATER MANAGEMENT  
THE MANAGING DIRECTOR FOR TRAFFIC AND VEHICLE SAFETY

Sgd P.W.M. Elsenaar

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The use of (parts of) the contents of this standard sheet in anthologies, readers and other compilations and/or the use of quotations is allowed on the condition that the source (Railned Railway Safety, title, identification no. and date) is stated.

## 0. GENERAL

This standard has been issued under the supervision of the Head of Railway Safety, in accordance with the instructions from the government.

### 0.1 Authorisation

By initialling the appropriate box below, H.G.D. Cramer, as **author of this standard**, testifies that this standard has been realised in accordance with the requirements of the quality management system of the Corporate Staff of Railned Railway Safety (something is missing here).

By initialling the appropriate box below, the Director of Traffic and Vehicle Safety of the Ministry of Transport, Public Works and Water Management, as the **external reviewer**, testifies to agree to the contents of this standard.

By initialling the appropriate box below, the **Head of Railned Railway Safety** testifies to agree to the release of this standard.

	Position and name	Date	Initials
Verification	Author of the Standard: H.G.D. Cramer	Sgd 24-12-97	
As accorded	External reviewer: The Managing Director for Traffic and Vehicle Safety ir. P.W.M. Elsenaar	Sgd 6-1-98	
Authorisation	Head of Railned Railway Safety: drs. W.A. Vriesendorp	Sgd 7-1-98	

### 0.2 Purpose and function of this standard

This standard contains:

- the requirements for issuing the safety certificate,
- how train operators must demonstrate that they meet these requirements, and
- the criteria used in the assessment.

Guideline V-002a, which contains a more elaborate explanation, goes with this standard. The guideline is a recommendation for train operators and is aimed at maximizing the chance of success for the applicant of a certificate.

### 0.3 Range of application

This standard applies to train operators and to Railned Railway Safety whenever a safety certificate is issued, renewed or altered.

### 0.4 Foundation

The contents of this standard are based on and should be read in connection with:

- The prevailing agreement between the State and Railned B.V.
- Railned standard V-001, Requirements for safety management systems for train operators,
- The Reglement Railverkeer ("RRV", the Dutch Rail Traffic Rule Book)
- The legal and other requirements for railway transport as mentioned in the RRV.
- The track-access-agreement between the train operator and Railned, with accessory conditions.

#### **0.5 Date of effectuation**

This standard enters into force on February 1, 1998.

The Internet site [www.railned.nl](http://www.railned.nl) presents a table of all published and valid standards. Their text is available there for download.

#### **0.6 Supplementary decisions**

The Head of Railned Railway Safety decides on matters for which this standard provides no definite answer.

## **0.7 Definitions**

The basic terms for this standard are defined in the list below.

The reader is referred to the RRV for the definitions of other terms.

### **AUDIT**

A systematic and independent evaluation of how well (parts of) a safety management system functions (function).

### **AUDIT TEAM**

The persons who, under the supervision of a head auditor, collectively carry out an audit.

### **CERTIFICATION AUDIT**

An audit for the purpose of issuing, renewing or altering a certificate (in this case: the safety certificate).

### **STATEMENT OF CONFORMITY**

A statement, issued by the appropriate authority, declaring that a certain unit of rolling stock is identical to (in conformity with) an admitted type of rolling stock.

### **HEAD AUDITOR**

The person appointed by the Head of Railway Safety to lead an audit; leader of the audit team.

### **INSPECTION**

An inquiry to determine whether a condition and/or work method complies with the applicable regulations.

### **STANDARDS**

Specifications accessory to the RRV, that describes the condition and/or work method that a certain category of objects or persons must comply with.

### **RISK**

The combination of the chance of an undesirable event occurring and the effects of that undesirable event when it occurs.

### **RISK ANALYSIS**

The whole of activities for identifying, evaluating and appraising the risks involved in a certain activity, and the development and evaluation of measures to reduce these risks. The chances and effects of risks may be determined and assessed either qualitatively or quantitatively.

### **RRV**

Reglement Railverkeer (Dutch Rail Traffic Rule Book)

### **TRACK-ACCESS AGREEMENT**

The agreement between the train operator and the government-commissioned organisations Railed, Rail Infrastructure Management and Rail Traffic Control for conducting train operations on the national railway network.

This agreement is subject to the prevailing version of the Railed Conditions.

### **TYPE ADMISSION**

The assessment by an appropriate authority that a type of rolling stock meets the requirements for admission of rolling stock to the national rail network.

### **SAFETY CERTIFICATE**

A statement issued by the appropriate authority that the train operator fulfils the safety conditions for participation in railway transport.

#### SAFETY POLICY

The intentions, principles and general orientation to be followed with respect to railway safety as officially expressed by the highest level of management, and from which all priorities, objectives and actions are derived.

#### SAFETY OBJECTIVES

A level of railway safety that the organisation aims at, expressed in measurable quantities.

#### SAFETY MANAGEMENT

The aspect of the total management function that determines and implements safety policy.

#### TRAIN OPERATOR

The organisation that, on its own responsibility, is engaged in transport by rail on the national railway network.

#### MANAGEMENT SYSTEM

The organisational structure, responsibilities, procedures, processes and facilities for ensuring that a certain aspect of the total management function is properly assured.

## **1. TEXT OF THE STANDARD**

### **1.0 General provisions**

#### **1.0.1 Purpose and function of the safety certificate**

A train operator must have a safety certificate in order to gain access to the national rail network. The safety certificate is one of the requirements of the track access agreement. The purpose of the safety certificate is to guarantee that all train operators operating on the national railway network conduct their operations in accordance with the requirements and government policy for railway safety.

Railned Railway Safety is authorised to issue the safety certificate on behalf of the government after verifying that train operators "comply with the requirements for expertise, organisation and railway safety management and can satisfy the safety requirements and other regulations that apply for railway transport."<sup>1</sup>

#### **1.0.2 Extent of the safety certificate**

A safety certificate is issued for a limited period (three years maximum) and for a clearly defined scope of activities. Renewal/alteration occurs at the request of the train operator and follows a repeated audit.

After receiving the safety certificate, the train operator can participate in the railway system within the scope of the safety certificate and the track access agreement.

#### **1.0.3 Intermediate audits and inspections**

The audit for the safety certificate renders an instantaneous situation. To determine whether the operations and the safety management still meet the requirements after the safety certificate has been issued, Railned Railway Safety will carry out audits and inspections during the safety certificate validation period that, according to the conditions of the track access agreement, may lead to additional measures.

### **1.1 Issuing the safety certificate**

The Head of Railned Railway Safety issues the safety certificate for train operators after he has been found to meet the requirements in a certification audit (1.3 of this standard).

An application from a train operator is assessed for susceptibility before it is subjected to a certification audit (1.2 of this standard).

Railned Railway Safety should receive the information specified in 1.2 at least three months before the desired date of effectuation. The time schedule for the audit procedure is then discussed with the train operator on the basis of this information.

Fundamental changes to the Railway Safety Report as specified in 1.3 are not permitted in the five weeks prior to the desired date of effectuation.

The certification audit is carried out under the supervision of a head auditor, appointed by the Head of Railned Railway Safety. The head auditor determines the composition of the audit team.

The head auditor advises the Head of Railned Railway Safety on the basis of the information collected during the certification audit. The Head of Railway Safety decides on

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<sup>1</sup> Source: Agreement between the State and Railned B.V. for the year 1997



issuing the safety certificate based on the advice from the head auditor and after consulting the Directorate of Traffic and Vehicle Safety of the Ministry of Transport, Public Works and Water Management.

## **1.2 Susceptibility of the application**

In order to be susceptible for a certification audit, a train operator must submit an official application as specified below. The application will be assessed for its susceptibility using the criteria in paragraph 1.2.2 of this standard.

### **1.2.1 Information to be included in the application**

The application is to contain the following information:

- General information on the company (name, address, registration data Chamber of Commerce, name of the manager responsible for safety),
- The state of affairs with respect to the necessary licenses from the Ministry of Transport, Public Works and Water Management.
- The manner in which expertise in operational management and railway safety is provided.
- A general description of the operational activities for which a safety certificate is requested (routes, location of residences, nature and size of traffic, information on the rolling stock to be used)
- The desired date of effectuation of the safety certificate and, for new operators, a broad planning indicating that a timely completion of the conditions is possible.

### **1.2.2 Assessment criteria**

The following criteria apply when assessing the susceptibility of an application:

- The information provided must be sufficiently clear and must offer, though only roughly, a complete impression of the operations for which the safety certificate is requested.
- Expert management is present and permanently attached to the operator's organisation.
- Sufficient certainty on the timely availability of the admitted rolling stock, trained personnel and a license from the Ministry of Transport, Public Works and Water Management.

## **1.3 The certification audit**

### **1.3.1 General**

The certification audit is carried out on the basis of the Railway Safety Report and comprises three successive stages:

- the assessment of the documentation
- the management presentation
- the assessment of operations

Following the completion of each stage Railned Railway Safety will inform the train operator of the results.

### **1.3.2 The Railway Safety Report**

The train operator makes up a Railway Safety Report (RSR) and submits it to the Head of Railned Railway Safety. The train operator describes in this RSR the operational management and how permanent control over the risks of train operations is maintained.

The RSR serves two purposes:

1. The train operator demonstrates that he:

- recognises and has evaluated the railway safety risks involved in his operations activities and that risk-control measures have been taken to meet the relevant requirements.
- has taken the necessary precautions and has complemented a safety management system in accordance with standard V-001.

2. Railned Railway Safety uses the RSR as a reference when auditing the train operator.

#### **1.3.3 Assessment of the documentation**

The head auditor determines whether the description provided in the RSR meets the requirements, and makes up a preliminary opinion on the compliance with the criteria in paragraph 1.3.7 of this standard.

#### **1.3.4 Management presentation**

The purpose of the management presentation is to provide the train operator with an opportunity to explain the operational and safety management system in more detail to the head auditor/audit team, as described in the RSR.

Therefore, a meeting is held where:

- the train operator has the opportunity to present and explain his RSR,
- the head auditor/the audit has the opportunity to request further information,
- the head auditor/the audit team can make up a definitive opinion on whether the criteria as specified in 1.3.7 of this standard are met.

#### **1.3.5 The assessment of operations**

The assessment of operations is to ascertain whether the safety management system has actually been implemented and is being maintained, and whether the desired safety results are achieved.

#### **1.3.6 Contents of the Railway Safety Report**

The RSR contains a description of the proposed operational management and the railway safety considerations on which it is based, so that Railned Railway Safety can conclude – provided that the implementation is conformable to the description – that all precautions have been taken and all management systems are present for running safe train operations. The train operator may structure the RSR as he desires provided that the objectives are met as specified in 1.3.2.

The following subjects are discussed in the RSR:

- a) General information (name, address, registration data Chamber of Commerce).
- b) The name of the manager who is ultimately responsible.

- c) A description of the activities of the organisation, including
  - locations of residences and establishments,
  - routes and stations,
  - nature and size of the transport,
  - how operations are managed,
  - interfaces with other organisations in the railway system,
  - a specification of which activities are carried out by the organisation itself and which activities are contracted out.
- d) Data which prove that the management of the organisation is in every respect qualified to manage the activities in a safe and reliable fashion.
- e) The personnel involved in safety functions:
  - functions
  - rough numbers per function
  - medical examination standards used
  - necessary education and training (both initial education and periodical re-training)
  - the manner in which it is guaranteed that the requirements for training and health will be permanently met.
- f) The rolling stock involved:
  - initial admission (type admission and statement of conformity);
  - guarantees for the current and future maintenance condition of the stock;
  - operating instructions for normal situations and for malfunctions.
- g) The general outline of the safety management system in accordance with standard sheet V-001, and a detailed description of the following components of that system:
  - The railway safety policy and the safety objectives.
  - The risk-analyses that were performed and the control measures derived from the results.
  - The agreements for co-operation on the interfaces with other organisations and processes in the rail transport system:
    - local rules,
    - emergency preparedness,
    - transfer procedures,
    - supplying information.
  - The internal procedures, work instructions and manuals for staff with safety-critical functions, including the procedures for changes therein.
  - The measures that have been taken in order to guarantee that the products and services acquired meet the safety requirements.
  - The registration, analysis and investigation of unusual incidents.
  - The management of changes to the activities specified under c.

### **1.3.7 Criteria used in the evaluation**

#### **1.3.7.1 Criteria used in the assessment of the documentation and the management presentation**

The documentation and the management presentation are both assessed on the basis of the RSR submitted by the train operator. Although there are two separate steps, together they result in an assessment on the basis of one set of criteria.

By means of the RSR and the discussion on the RSR during the management presentation, the train operator must demonstrate that he meets the following criteria:

- a) The railway safety report is an adequate description of the proposed operational management and the safety management system. The report constitutes a logical entity and includes all aspects relevant for the assessment.
- b) The train operator has qualified management with the knowledge and experience required to supervise and control his operations in a safe and reliable way.  
The train operator has sufficient knowledge and a good understanding of:
  - the risks involved in railway transport,
  - how these risks are controlled, and
  - the rules and usual work methods in the railway system.
- c) The train operator is willing and able to achieve a high level of railway safety and to continuously improve this level.
- d) The train operator has staff and rolling stock that meets the requirements and has taken measures to guarantee that these requirements will be met at all times.
- e) All of the elements of a safety management system as specified in standard sheet V-001 are present and have been worked out consistently.
- f) The risk-analysis is complete and covers all aspects of the operations relevant for safety, and the control measures derived from that analyses are suitable to achieve the desired safety result.
- g) Regular contact with other organisations involved in the railway system and an adequate exchange of information is guaranteed.
- h) The procedures, criteria and work methods that apply to the operational staff are:
  - consistent with the legal and other requirements, the prevailing agreements and the usual work methods in the railway system,
  - consistent, both within the company itself and in relation to the work method used in adjoining companies and processes,
  - adequately described,
  - up-to-date,
  - available to the staff.

#### **1.3.7.2 Criteria used in the assessment of operations**

The purpose of the assessment of operations is to ascertain that the safety management system has indeed been implemented and that it is being maintained in accordance with the description provided in the RSR and the further details provided in the management presentation.

The assessment is also meant to check whether the desired safety result is achieved in this manner.

The following criteria are used:

- The legal and other requirements, any current agreements and the usual work methods in the rail transport system, and
- the internal procedures and work methods describes in the RSR.

## **2. DISTRIBUTION**

This standard is customarily distributed to the general management of:

- Railned B.V.
- Rail Infrastructure Management
- Rail Traffic Control
- Train operators

The distribution within these organisations is organised by and under the responsibility of the management of each organisation.

The distribution of this standard to contractors of these organisations is organised by, and under the responsibility of, the management of the principal organisation concerned.