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Information for

This Helpnote is applicable to all users of the interoperability regime in the United Kingdom but is primarily aimed at practitioners who are new to the legislative framework.

**Background** 

As with all regulatory systems, the interoperability regime brings with it its own terminology and acronyms. This Helpnote is designed to provide those who are new to the interoperability regime, as well as experienced practitioners, with additional assistance in interpreting the key terms which are used frequently throughout the legislative framework and in other Helpnotes.

Where a term is defined in legislation this is indicated by a tick in either of the two right hand columns of the table below. The column headings "Directive" and "RIR 2011" denote references to the recast Interoperability Directive (2008/57/EC) and the Railways (Interoperability) Regulations 2011 (2011/3066) respectively. Explanations of other terms are provided as a plain English interpretation to assist understanding and are not meant to be precise or authoritative. Should questions of interpretation arise, these would ultimately be a matter for the courts.

## **Document Control**

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1.0	April 2009
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Term	Acronym	Definition	Directive	Directive	RIR 2011	
Authorisation	APIS or APS	An authorisation to place in service is a document issued by the Safety Authority in accordance with Regulation 7(1) of RIR 2011. Note: place in service is defined as all the operations by which a subsystem is put into its design operating state. The authorisation is required when the subsystem is put into use (first used after being constructed, upgraded or renewed on or as a part of the UK rail system).  Note: this is not the safety authorisation issued to infrastructure managers under the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS).				
Certificate of Verification		A document drawn up by a Notified Body (NoBo) or a Designated Body (DeBo) in relation to a structural subsystem as part of the verification assessment procedure.			<u> </u>	<b>I</b>
Common Safety Method(s)	CSM(s)	Common Safety Methods (CSMs) are a single, European Union-wide, approach to describe how safety levels, achievement of safety targets and compliance with other safety requirements are assessed. They apply whenever a change of the operating conditions or new material imposes new risks on infrastructure or operations.  See EC Regulation 352/2009 on the adoption of a common safety method on risk evaluation and assessment.				

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Term	Acronym	Definition	Directive	RIR 2011
Competent Authority	CA	A Competent Authority (CA) is the body responsible for securing the effective implementation of interoperability in its respective European Union Member State. This includes, for example, transposition of Directives, taking decisions as to whether an authorisation is required for upgrades or renewals (Regulation 13 of RIR 2011) and determining derogations from all, or part, of a Technical Specification for Interoperability (Regulation 14).  The United Kingdom has two CAs which are:  • for England, Wales, Scotland and the UK half of the Channel Tunnel, the Secretary of State for Transport; and  • for Northern Ireland, the Department for Regional Development (DRDNI).		
Contracting Entity	CE	The definition used in RIR 2011 is:  "the person who contracts or intends to contract with another person for that other person to design, construct, renew or upgrade a subsystem" (see project entity below).	Ø	V
Decision		A "Decision" is a type of European Union secondary legislation which is automatically binding on the person or entity to whom it is addressed. For example, Decision 2007/756/EC on the adoption of a common specification for National Vehicle Registers is addressed to European Union Member States.  Technical Specifications for Interoperability ("TSIs") are generally adopted in the form of a Decision addressed to Member States.		

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Term	Acronym	Definition	Directive	RIR 2011
Department for Regional Development Northern Ireland	DRDNI	The Department for Regional Development Northern Ireland (DRDNI) is responsible for strategic planning; transportation strategy; ports and public transport; roads and water policy and providing and maintaining roads.  DRDNI is the safety authority and the Competent Authority for Northern Ireland.		V
Department for Transport	DfT	The Department for Transport (DfT) is the central government body responsible for providing leadership across the transport sector It is responsible for the development and implementation of the legislative framework under which interoperability operates in the United Kingdom.  DfT, in the person of the Secretary of State for Transport, is also the Competent Authority for Great Britain.		
Derogation		Project entities are able to apply to the relevant Competent Authority (CA) for a derogation (exemption) from the requirement to comply with all, or part, of a Technical Specification for Interoperability (TSI). Derogations may be permitted in relation to a specific project in the circumstances provided for by Regulation 14 of RIR 2011. In certain cases (as specified in regulation 14) a derogation has no effect unless permitted by the European Commission.  Project entities should seek early engagement with the relevant CA to discuss any proposed derogation requests.		V

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Term	Acronym	Definition	Directive	RIR 2011
Designated Body	DeBo	Designated Bodies (DeBos) are independent third parties appointed by the Secretary of State to assess and verify conformity of projects with Notified National Technical Rules (NNTRs) in the United Kingdom.  They operate in tandem with Notified Bodies (NoBos) which assess and verify conformity with Technical Specifications for Interoperability (TSIs).  Regulation 31 provides for the appointment of notified and designated bodies		
Directive		A Directive is a <u>legislative act</u> of the <u>European Union</u> which requires <u>Member States</u> to achieve a particular result within a set timetable usually without dictating the means of how this should be achieved. In most cases, Member States are required to make changes to their domestic laws to implement a Directive, a process known as "transposition".  For the purposes of RIR 2011, "the Directive" is a reference to Directive <u>2008/57/EC</u> .		
Enforcing Authority		An Enforcing Authority is a body required to make adequate arrangements for the enforcement of RIR 2011. Regulations 39 and 40 of RIR 2011 prescribe offences and penalties for breaches. The enforcing authority in Great Britain (including the UK half of the Channel Tunnel) is the Office of Rail Regulation. For Northern Ireland it is the Health & Safety Executive for Northern Ireland.		

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Term	Acronym	Definition	Directive	RIR 2011
Entity in Charge of Maintenance	ЕСМ	An Entity in Charge of Maintenance (ECM) is a body which ensures that rail vehicles for which it has responsibility are kept in a safe state of running by means of a system of maintenance.  The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (ROGS) as amended by S.I. 2011/1860 requires each vehicle, before it is placed in service or used on the network, to have an ECM assigned to it and registered in the National Vehicle Register (NVR).  ECMs can be railway undertakings, infrastructure managers or keepers. The European Commission has developed a compliance certification regime which is outlined in Commission Regulation 445/2011	V	
Essential requirements		The essential requirements are the five conditions (safety; reliability & availability; health; environmental protection and technical compatibility) that must be met by the rail system, subsystems and interoperability constituents, including interfaces. Further information on the requirements is contained in Annex III of Directive 2008/57/EC. These are deemed to be met by complying with TSIs and NNTRs.	<b>V</b>	
Euro Norm	EN	A Euro Norm (EN) is a standard issued by the European Committee for Standardisation (CEN) or the European Committee for Electrotechnical Standardisation (CENELEC). The British Standards Institution is the national issuing body for Great Britain where EN standards have the prefix "BS EN".		

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Term	Acronym	Definition	Directive	RIR 2011
European Commission	EC	The European Commission (EC) is the executive branch of the European Union. It is responsible for proposing legislation, implementing decisions, upholding the Union's treaties and its general day-to-day administration.  The Commission must approve the granting of certain types of derogation from Technical Specifications of Interoperability ("TSIs") proposed by Member States.  See also <a href="http://ec.europa.eu/index_en.htm">http://ec.europa.eu/index_en.htm</a> .		
European Railway Agency	ERA	The European Railway Agency (ERA) was established under Regulation 881/2004 (as amended by Regulation 1335/2008) to help create an integrated railway by reinforcing safety and interoperability. It operates in accordance with mandates issued from time to time by the European Commission, advised by RISC which also agrees its work programme. ERA's main task is to develop economically viable common technical standards and approaches to safety. To do this it works closely with railway sector stakeholders, European and national authorities and other stakeholders.		Ø

Department for **Transport** 

Term	Acronym	Definition	Directive	RIR 2011
European Railway Traffic Management System	ERTMS	The European Railway Traffic Management System (ERTMS) is an in-cab signalling system for trains. It will eventually replace the different national train control and command systems currently in use across Europe and its installation is mandatory under European law for all upgrades of high speed lines and new rolling stock unless a relevant derogation or other exemption applies.  A plan for the implementation of ERTMS in the United Kingdom ("UK") is available at: http://webarchive.nationalarchives.gov.uk/+/http://www.dft.gov.uk/adobepdf/165234/3 49552/ukertmsplan.pdf  See also www.era.europa.eu/Core-Activities/ERTMS/Pages/home.aspxertms.com/default.aspx		
European vehicle number	EVN	A European vehicle number (EVN) is a unique, 12 digit numeric identification code issued to all rail vehicles in accordance with Annex P of the <u>Technical Specification</u> for Interoperability for Traffic Operation and Management.		Ø
Functional subsystem		Functional subsystems are those which deal with traffic operation and management, maintenance or telematics applications for passenger and freight services. These subsystems are critical to railway operation but do not require authorisation as part of the design and build.  A list and description of the different subsystem types can be found in Annex II of Directive 2008/57/EC as amended by Commission Directive 2011/18/EU.	V	Ø

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Term	Acronym	Definition	Directive	RIR 2011	
Great Britain	GB	Great Britain comprises England, Scotland and Wales. This includes certain outlying islands including the Isle of Wight, Anglesey, the Scilly Isles, the Hebrides, Orkney and Shetland.			
		It does not include the Isle of Man or the Channel Islands.			
Implementation Plans	IPs	An Implementation Plan (IP) is a document which sets out how a Member State will implement Technical Specifications for Interoperability (TSIs). Chapter 7 of each TSI contains a strategy for how it should be implemented and includes, for example, its application to new and existing subsystems and any specific cases which may be applicable.  Note IPs may cross refer to regulation 12 lists of projects that are deemed to be upgrade and renewal and require authorisation (unless a decision is given by the Competent Authority that authorisation is not required - see below).			
Infrastructure		Infrastructure subsystems include, for example, track, points, engineering structures (bridges, tunnels, etc), associated station infrastructure (platforms, zones of access, including the needs of persons with reduced mobility, etc), safety and protective equipment. However, power supply and signalling are also often included.			
Infrastructure owner		An infrastructure owner is any person who has an estate or interest in, or right over the infrastructure and whose agreement is needed before another may use it. Regulation 35 of RIR 2011 requires an owner of infrastructure to keep a register of infrastructure, or procure that one is kept, in accordance with Decision 2011/633/EU on the common specifications of the register of railway infrastructure.			

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Term	Acronym	Definition	Directive	RIR 2011
Interface		Method, or equipment, for interconnecting subsystems which may not otherwise be directly compatible. The notified body has a role in assessing the interface between the project subsystem and the rail system under regulation 17 of RIR 2011.		
Intergovernmental Commission	IGC	The Intergovernmental Commission (IGC) was established by the Treaty of Canterbury in 1986. Its roles include being the safety authority for the Channel Tunnel.  See also <a href="https://www.channeltunneligc.co.uk">www.channeltunneligc.co.uk</a> .		Ø
Intermediate Statement of Verification	ISV	Intermediate Statements of Verification (ISV) (referred to in regulation 32 of RIR 2011) enable checks to be carried out in stages – see section 2.2 of Annex VI of Directive 2008/57 as amended by Directive 2011/18.		Ø

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Term	Acronym	Definition	Directive	RIR 2011
		At its most basic level, interoperability is the ability of a system or a product to work with other systems or products without special effort on the part of the customer. For example all domestic electrical products on sale in the United Kingdom, such as hair dryers and drills, have the same plug. Interoperability is made possible by the implementation of standards.		
Interoperability		In the rail industry, interoperability is defined as "the ability of a rail system to allow the safe and uninterrupted movement of trains which accomplish the required levels of performance for these lines. This ability depends on all the regulatory, technical and operational conditions which must be met in order to satisfy the essential requirements."		
		The purpose of the rail interoperability regime is therefore to promote the single market in the rail sector by providing for harmonious technical standards and a common European assessment and authorisation process for bringing into operation new rail developments, upgrades or renewals of existing subsystems.		
Interoperability Constituent	IC	An interoperability constituent (IC) means any elementary component, group of components, sub-assembly or complete assembly of equipment that is incorporated or intended to be incorporated into a subsystem upon which the interoperability of the rail system depends directly or indirectly and includes both tangible objects and intangible ones such as software.	V	Ø
		For example, the Technical Specification for Interoperability (TSI) for High Speed Infrastructure defines the rail, the rail fastening systems, track sleepers and bearers, switches and crossings and the water filling connector as ICs.		

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Term	Acronym	Definition	Directive	RIR 2011
Interoperability		The four previous Interoperability Directives were revoked and replaced by a single, recast, Directive (2008/57/EC) in 2008. References to "the Directive" in RIR 2011, which transposes the requirements of 2008/57/EC into domestic legislation, are to this Directive.  The previous Interoperability Directives were:		
		Directive 96/48/EC on the interoperability of the trans-European high-speed rail system;		
Directives		Directive 2001/16/EC on the interoperability of the conventional rail system;		
		Directive 2004/50/EC which amended the first two rail Interoperability Directives; and		
		Directive 2007/32/EC which introduced Intermediate Statements of Verification ("ISVs").		
		Directive 2008/57/EC has subsequently been amended twice by Directive 2009/131/EC and Directive 2011/18/EU.		
		A country which is a member of the European Union.		
Member State	MS	See also http://europa.eu/abc/european_countries/index_en.htm.		

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Term	Acronym	Definition	Directive	RIR 2011
National Vehicle Register	NVR	The National Vehicle Register (NVR) is a database of the unique numbers and other critical management and safety data about all rail vehicles operated in a Member State. The format and data which must be recorded are set out in Decision 2007/756/EC as amended by Decision 2011/107/EU. Each Member State's NVR will ultimately be linked to a European Virtual Vehicle Register (VVR).  Member States must designate a Registration Entity which has responsibility for keeping and updating its NVR and these are:  • for Great Britain, Network Rail Infrastructure Limited; and  • for Northern Ireland, the Department for Regional Development ("DRDNI").  Regulation 36 of RIR 2011 contains provisions relating to the NVR.		V
Notification		The process of formal communication between a European Union Member State and the European Commission.		

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Term	Acronym	Definition	Directive	RIR 2011
Notified Body	NoBo	Notified Bodies (NoBos) are independent third parties appointed by the Strategic Rail Authority <sup>1</sup> , the Secretary of State or another European Union Member State which meet the criteria of competence, integrity and independence set out in Annex VIII of Directive 2008/57/EC.  NoBos assess and verify conformity of project subsystems to the Technical Specifications for Interoperability (TSIs). They operate in tandem with Designated Bodies (DeBos) who assess and verify conformity with Notified National Technical Rules (NNTRs). Note: before 16 January 2013 a NoBo may also assess NNTRs without being appointed as a DeBo.  Regulation 31 provides for the appointment of notified and designated bodies		V

 $<sup>^{1}</sup>$  The Strategic Rail Authority's functions were transferred to the Department of Transport in their entirety in 2006.

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Term	Acronym	Definition	Directive	RIR 2011
Notified National Technical Rules	NNTRs	Until there is a full suite of Technical Specifications for Interoperability (TSIs) in place, where there is a gap in the framework – for example if a TSI is under development, Member States must notify other national rules to ensure that subsystems are designed and built to meet the essential requirements.  Notified National Technical Rules (NNTRs) are the standards, technical specifications and technical rules which the United Kingdom (UK) has notified to the Commission for this purpose. Compliance with NNTRs must be verified by a Designated Body ("DeBo"). (or NoBO if before 16 January 2013).  NNTRs are used for the following purposes:  To cover the parts of the rail system out of scope of TSIs; To address open points or specific cases in a TSI; To ensure technical compatibility between vehicles and the rail system; To provide alternative provisions which will be applied if a derogation against a TSI has been granted by the Competent Authority for a project.		V
Office of Rail Regulation	ORR	The Office of Rail Regulation (ORR) is the independent safety and economic regulator for the majority of the rail industry in GB. It is responsible for the enforcement of RIR 2011 in GB.  See also <a href="https://www.rail-reg.gov.uk">www.rail-reg.gov.uk</a> .		
Official Journal	OJEU	The Official Journal of the European Union (OJEU) is the means by which European Directives, Decisions, Regulations and any other information (such as forthcoming tenders) are placed on record in the public domain.  See also <a href="https://www.ojec.com">www.ojec.com</a> .		Ø

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Term	Acronym	Definition	Directive	RIR 2011	
Open point		An open point occurs if, during the development of a Technical Specification for Interoperability (TSI), the European Railway Agency (ERA) Drafting Committee considers that an appropriate specification cannot be agreed for a particular aspect of any essential requirement.			
		If present, open points are clearly identified in an annex to published TSIs. Once in force, it is the responsibility of individual Member States to notify the European Commission of the national technical rules (NNTRs) that will be applied to projects in their territories to fill any open points and ensure the essential requirements are met.			
Project entity		RIR 2011 defines a project entity as shorthand term to cover a contracting entity or manufacturer or the authorised representative established in the EU of a contracting entity or manufacturer.			
Rail system		The "rail system", for the purposes of RIR 2011 has the same meaning as the Directive and includes lines, fixed installations and vehicles. The scope of the regulations is the parts of the rail system located in the United Kingdom. There are a number of categories excluded from scope under regulation 3 (eg metros, trams and other light rail systems). Note: the scope of the regulations is not confined to the TEN network.		V	

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Term	Acronym	Definition	Directive	RIR 2011
Railways and Other Guided Transport Systems (Safety) Regulations 2006	ROGS	The Railways and other Guided Transport Systems (Safety) Regulations 2006 ("ROGS") concern the mechanisms for placing subsystems into service and ongoing operational safety requirements. ROGS is amended by SI 2006/1057, SI 2007/3531, SI 2010/439 and SI 2011/1860.  As well as domestic safety requirements, ROGS also transposes the following Directives into law in Great Britain:  • the Railway Safety Directive (2004/49/EC as amended by 2008/57/EC and 2008/110/EC); and  • the Common Safety Indicators Directive (2009/149/EC).  For the Channel Tunnel, the Safety Directive is transposed by SI 2007/3531, which	ve	1
Trogulation 2000		gives the IGC's binational safety regulation the force of law in Great Britain.  In Northern Ireland, these Directives are transposed by the Railway Safety Management Regulations (Northern Ireland) 2006 as amended by the Railways (Safety Management) (Amendment) Regulations (Northern Ireland) 2011.		

Department for **Transport** 

Term	Acronym	Definition	Directive	RIR 2011
Railway Interoperability & Safety Committee	RISC	The Railway Interoperability and Safety Committee ("RISC") debates, discusses and advises the European Commission upon the processes and measures relating to European railway interoperability and safety. RISC is comprised of representatives of each Member State, including the United Kingdom (UK).  The Committee was established under Article 21 of Directive 96/48/EC (the relevant provisions have been replicated under Article 29 of the recast Directive 2008/57/EC) and Article 27 of the Railway Safety Directive 2004/49/EC.		
Registration entity		The entity responsible for the keeping and updating of each European Union Member State's National Vehicle Register (NVR). For Great Britain, the Secretary of State for Transport has designated Network Rail Infrastructure Limited to perform this function.  The Department for Regional Development (DRDNI) is the registration entity for Northern Ireland.		Ø
Renewal		"Renewal" is any major substitution work on a subsystem or part subsystem which does not change the overall performance of the subsystem.  Renewal triggers the need for compliance with RIR 2011.  Under regulation 12 of RIR 2011 the Competent Authority may publish lists of projects (by name or description) that are deemed to be upgrade and renewal and require authorisation (unless a decision is given by the Competent Authority that authorisation is not required).	V	<b>\sqrt</b>

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Term	Acronym	Definition	Directive	RIR 2011
Safety Authority	SA	A Safety Authority (SA) is the body entrusted with tasks regarding railway safety in accordance with the Railway Safety Directive (2004/49/EC as amended by 2008/57/EC and 2008/110/EC). There are three SAs in the UK:  • for Great Britain, the Office for Rail Regulation ("ORR");  • for Northern Ireland, the Department for Regional Development ("DRDNI"); and  • for the Channel Tunnel, the Intergovernmental Commission ("IGC").  Note: Under RIR 2011 the UK Safety Authorities are responsible for giving authorisations.		V
Structural subsystem		Structural subsystems are those which deal with rolling stock, infrastructure, energy or control and command and signalling.  A list and description of the different subsystem types can be found in Annex II of Directive 2008/57/EC as amended by 2011/18/EU.		<b>V</b>
Subsystem		A categorisation of the rail system into separate elements for convenience in the context of interoperability. The term is used to refer to the whole, or any part of "structural" or "functional" subsystems.  A list and description of the different subsystem types can be found in sections 1(a) and 1(b) of Annex II of Directive 2008/57/EC (as amended by 2011/18/EU).	<b>V</b>	<b>\sqrt</b>

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Term	Acronym	Definition	Directive	RIR 2011
Technical Specification for Interoperability	TSI	A Technical Specification for Interoperability (TSI) outlines the specification to be met by a subsystem, or part subsystem, in order for it to meet the essential requirements and achieve interoperability. TSIs currently only apply to the trans-European rail system (TEN) but the European Commission has stated its intention, in Directive 2008/57/EC, to progressively extend the scope of TSIs beyond the TEN in the future.	V	Ø
Trans-European rail system	TEN	The trans-European rail system or network (TEN) means the trans-European conventional and high-speed rail systems as set out in sections 1 and 2 of Annex I of Directive 2008/57/EC.	$\overline{\checkmark}$	V
Transposition		"Transposition" is the process of converting European law (Directives, Decisions and Regulations) which are binding on the UK as a European Union Member State, into UK domestic law (usually by Acts of Parliament or Regulations) which are then binding on people and organisations living and operating in the UK.		
United Kingdom	UK	The United Kingdom (UK) means Great Britain (England, Scotland and Wales) and Northern Ireland.		
United Kingdom Accreditation Service	UKAS	The United Kingdom Accreditation Service (UKAS) is the national accreditation body recognised by the Government to assess against internationally agreed standards, organisations that provide certification, testing, inspection and calibration services.  UKAS assess prospective NoBos against the criteria in Annex VIII of Directive 2008/57 and recommends their appointment by the Secretary of State. It also monitors the performance of appointed NoBos. A similar process of UKAS recommendation of appointment and monitoring will also apply to DeBos.  See also www.ukas.com.		

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Term	Acronym	Definition	Directive		RIR 2011	
Upgrading		Upgrading means any major modification work on a structural subsystem or part of a structural subsystem which improves overall performance.  Upgrading triggers the need for compliance with RIR 2011.  Under regulation 12 of RIR 2011 the Competent Authority may publish lists of projects (by name or description) that are deemed to be upgrade and renewal and require authorisation (unless a decision is given by the Competent Authority that authorisation is not required see below).	Ē	<b>V</b>	V	
Verification assessment procedure		The process of assessment by a NoBo or DeBo that a project conforms respectively with TSIs or NNTRs in accordance with Regulation 17 of RIR 2011 and Annex VI of Directive 2008/57/EC as amended by 2011/18/EU.			V	
Virtual Vehicle Register	VVR	The virtual vehicle register (VVR) is a virtual database which is being established by the European Railway Agency (ERA). Once in operation, the VVR will operate as a web portal to enable the information contained in each Member States' National Vehicle Register (NVR) to be searched. The VVR portal will not contain any information itself.				