



**GUIDANCE ON THE PROCEDURES FOR HANDLING NEW FILES FOR
ROGS SAFETY CERTIFICATES AND AUTHORISATIONS**

Open Government Status		Fully Open	
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RGD postholder/owner		Jane Young, Secretariat Manager	
National Team (where appropriate)		n/a	
RGD cleared by		Allan Spence, GM3 and Central Office	
RGD type		Policy_____	<input type="checkbox"/>
		Information_____	<input type="checkbox"/>
		Procedure_____	<input checked="" type="checkbox"/>
Target audience		HMRI_____	<input checked="" type="checkbox"/>
		Policy_____	<input type="checkbox"/>
		Inspectors_____	<input checked="" type="checkbox"/>
		Admin_____	<input checked="" type="checkbox"/>
Assign to block		Process/New Legislation_____	<input checked="" type="checkbox"/>
		Topic/Technical_____	<input type="checkbox"/>
		Stakeholder Management_____	<input type="checkbox"/>
		Legal_____	<input type="checkbox"/>
		Business Support/Transition____	<input checked="" type="checkbox"/>
Keywords	Permissioning Team, EIN, storage		
Summary	This guidance is designed to set out the procedures for requesting and handling of new files for applications both for safety certificates and authorisations and for exemptions.		
Consultation	Process and Operational Policy Team: Robin Tarry. Permissioning Team: Khalid Zafar. HMRI Central Office: Mike Dryburgh.		

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*Please note that the Central Admin Team led by Khalid Zafar has been renamed the “**Permissioning Team**”. They will continue to deal with ROTS, level crossing orders and now ROGS and interoperability projects.*

Procedures for opening a new file

1. Applications for safety certificates and authorisations from duty holders will be received by HMRI account holders, who will enter the details on COIN.

Applications for exemptions will be dealt with by a nominated inspector (who may also be the account holder for the duty holder concerned.)

2. Account Holders/Nominated Inspectors will then request a new file, using the template (**Annex 1**) from the Permissioning Team using their group e-mail address: **permissioning.team@orr.gsi.gov.uk**. (For information, David Williams (ext 3936) currently has specific responsibility for safety certificates and authorisations.)

3. A new file series has been set up for Safety Certificates and Authorisations and the file numbers will be kept centrally in the ORR Library. The Permissioning Team will request the next file number from the ORR Library informing them of the file name.

4. A label for an ORR branded file will be completed by the Permissioning Team from the details on the template, including the COIN case number, and the file sent to the account holder or other nominated inspector.

5. The turnaround time for this process will be 48 hours from receipt of request for a new file.

6. The Permissioning Team is also be responsible for allocating European identification numbers (EIN) for safety certificates and authorisation and keeping a central register and notifying issued certificates and authorisations to the European Rail Agency (see ROGS safety certificate and authorisation assessment manual (http://orrnet/upload/pdf/342-ROGS_gdnce_nov07.pdf)).

Storage of Files

7. On completion of an application, files can be retained by the account holder for use as a working file. If the account holder intends to do this, he/she should inform the Permissioning Team via the group e-mail account, with details of its location. Otherwise the file should be returned to the Permissioning Team for central storage.

Requesting an existing file

8. Any request for an existing file should be made through the Permissioning Team email account who will locate the file, contacting the ORR Facilities Team if the file has been stored offsite, and arrange transfer to the requester.

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Movement of files

9. Information on the location of files will be kept by the Permissioning Team and if a file transfers from one person in HMRI to another, particularly if the file moves between offices, the file requester must inform the Permissioning Team via the group email account.

Retention of Files

10. The present policy is to retain these files for 12 years at which time they will be reviewed.

NEW FILE REQUEST

ROGS safety certification/authorisation	
Applicant (Name of Duty Holder)	
Type of application (1) <i>(tick one only)</i>	Certificate (file series: 80/1)
	Authorisation (file series: 80/2)
	Certificate & authorisation (file series: 80/3)
	Exemption (certificate and/or authorisation) (file series: 80/4)
Type of application (2) <i>(tick one only)</i>	New
	Amendment
	Further
Provider Group (HMRI Area Team)	
Assigned to (Inspector's name)	
Date application received	
COIN case number	