

# GLOSSARY OF DEFINITIONS

## 1. Purpose

- 1.1. This document identifies and defines terms for use throughout Rail Safety and Standards Board's quality management system.
- 1.2. These definitions are for use by Rail Safety and Standards Board in its work including development and use of the Safety Risk Model, Risk Control Matrix and Controls Database.

## 2. Scope

- 2.1. The definitions provided in this procedure shall apply unless:
  - a) Modification to suit a specific context within a particular document is required, when the term shall be clearly defined in that document; or
  - b) Use of definitions from an external source e.g. a British Standard is required.
- 2.2. These definitions do not necessarily apply to documents produced by Rail Safety and Standards Board for external distribution, e.g. Railway Group Standards, where separate glossaries exist for civil engineering definitions, safety terminology and signalling terms.

## 3. Definitions

### 3.1 Generic definitions

Applicant:	An existing or potential train and/or station operator in the process of submitting a Railway Safety Case to the Health & Safety Executive for acceptance
Archive:	Storage of records of past activities which are required to be kept by law or because they are judged to provide a useful precedent for later work or where an auditable trail is required.
Audit:	A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.
Auditee:	An organisation (e.g. company, business, department, project team or other party) that is the subject of an audit.
Auditor:	A person with the competence to conduct an audit.
Author:	A person required to prepare documentation. Authors shall be persons competent to carry out the work and to research the necessary documents. Authors are accountable for what they produce.
Compliance:	Meeting the requirements of the relevant specification, contract or regulation.
Concession:	Authorisation to use or release items (e.g. documents, drawings) already produced but which do not conform to the specified requirements.

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Control:	<p>The group of measures which together act to mitigate the risk(s) arising from one or more specific hazards. Not all controls will be mandated by Railway Group Standards.</p> <p>The following is an example of a Standards mandated control.</p> <p>For the specific risk of passengers falling / tripping when moving from train to platform or vice versa, the controls would include (a) limiting the stepping distance and (b) providing written or audible warnings to passengers. The control for limiting the stepping distance would consist of measures which (i) mandate the platform height and (ii) mandate the train stepping board / floor height.</p> <p>The following is an example of controls achieved through Railway Safety Cases</p> <p>The use of information from Train Data Recorders to monitor the performance of individual drivers. This controls a range of risks associated with Driver error. The Objective Criteria would require Operators to identify in their RSC the extent to which information from Train Data Recorders is used to monitor the performance of Drivers.</p>
Controlled Document:	<p>A document which is generated under a formal system or origination review, approval and issue control and that is subject to possible revision.</p>
Controls Database:	<p>An electronic store of controls, measures related to those controls and the hazards they are controlling. It will also contain data related to the above which includes historical information, where and how the measures are documented (Railway Group Standard, Railway Safety Approved Code of Practice, Guidance Note, Railway Safety Case) and any decisions taken relating to the validity of those measures. The controls database will dovetail into the Risk Control Matrix and the HSE's criteria for accepting Railway Safety Cases.</p>
Corrective Action Request (CAR):	<p>A document indicating a non-compliance and requiring action to be taken to correct an irregularity and prevent recurrence.</p>
Corrective Action:	<p>Action to eliminate the cause of a detected nonconformity or other undesirable situation.</p>
Derogation:	<p>Approval of an alternative practice to a mandatory requirement in a RGS in clearly defined locations/applications in the situations listed below. Derogations are not time limited. All Derogations must be approved in accordance with RGS GA/RT6006.</p> <p>(i) a situation where:</p> <ul style="list-style-type: none"><li>• it is not reasonably practicable to achieve compliance; and</li><li>• an alternative practice is proposed which is non-compliant with the requirements of an RGS but the risks are tolerable and reduced to ALARP; and</li><li>• the circumstances are so unusual and specific that it is not appropriate to revise the RGS</li></ul> <p><b>OR</b></p> <p>(ii) a situation where:</p> <ul style="list-style-type: none"><li>• the non-compliance was not reasonably foreseeable; and</li><li>• prompt action was taken following discovery of an actual or potential non-compliance to limit the extent of that non-compliance as far as it was reasonably practicable to do so.</li></ul>

Document:	Any report, specification, manual, procedure, instruction, drawing, or other reference information: It does not include: <ul style="list-style-type: none"><li>• correspondence</li><li>• training course notes</li><li>• draft documents for review</li><li>• computer software and data</li><li>• documents received as strictly personal copies, e.g. Rule Book</li></ul>
Drafting Group:	A group of subject experts whose responsibility it is to develop a Railway Group Standard or RSSB Approved Code of Practice for approval at a Subject Committee
Hazard:	As set out in the draft BSI document ISO/IEC Guide 51: a potential source of harm. The term Hazard may be qualified in order to define its origin or the nature of the expected harm (e.g. electric shock hazard, crushing hazard, toxic hazard, drowning hazard).
Infrastructure Controller:	A corporate body which controls railway infrastructure.
Inspection:	Activities such as measuring, examining, testing or reviewing one or more characteristic of a product.
Internal Audit:	Audit carried out by an organisation on its own system (or part thereof) using trained staff from outside the system being audited.
Lead Auditor:	An auditor who is competent and authorised to manage an audit.
Management Review (Quality Systems ~):	A review carried out by Rail Safety and Standards Board top management to assess the effectiveness of the Quality System.
Master Document:	The original of a controlled document, marked "Master Copy" and the reference against which all other copies are checked.
Materials:	Any material, for example stationery and computer equipment, bought and used by Rail Safety and Standards Board.
Network Rail Controlled Infrastructure:	Network Rail's controlled Railway Infrastructure
Non-Compliance pending RGS Revision (NC):	Approval not to comply with specific identified requirements in an RGS on either of the grounds listed below. The NC will be addressed at the next revision of the RGS. All NCs must be approved in accordance with the requirements of RGS GA/RT6001 <ul style="list-style-type: none"><li>(i) an alternative practice is proposed which is non-compliant with the requirements of an RGS but which is adequate to achieve a level of risk at least as low as that achieved by a compliant practice, or</li><li>(ii) the requirements detailed in the RGS are outside the proper scope of RGSs.</li></ul>
Non-compliance:	An indication or judgement that specified requirements of a documented quality system have not been met.
Non-conformance:	A product that does not conform to specified requirements.
Objective Evidence:	The qualitative or quantitative information records or statements of fact that are based on observation, measurement or test and which can be verified.

Quality Assurance:	All those planned and systematic actions necessary to provide adequate confidence that a product or service will satisfy given requirements for quality.
Quality Audit:	A systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.
Quality Management Systems (QMS):	A formal, documented management system involving everyone in Rail Safety and Standards Board which meets the Standard of ISO 9002 for supplying products and services and ensuring effective and continuous improvement.
Quality Record:	An item of documented information, generated internally or externally, which is retained on file and is objective evidence of the quality system or the quality of the product. Such items may include project plans, documents, drawings, calculations, correspondence, registers, minutes of meetings, review records, inspection/test reports, audit reports etc.
Quality:	Conforming fully and regularly to the requirements agreed with the customer. The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs.
Railway Group Standard (RGS):	A mandatory document, the contents of which detail how safety and safe interworking responsibilities for members of the Railway Group are to be achieved.
Railway Group:	Network Rail Infrastructure Limited and any successor organisation and any train operator or station operator which holds a railway safety case under the Railways (Safety Case) Regulations 2000 for operation on or in relation to infrastructure controlled by Network Rail Infrastructure Limited or any successor organisation; any other infrastructure controller which is a member of RSSB and any other train operator or station operator which holds a railway safety case under the Railways (Safety Case) Regulations 2000 for operation on or in relation to infrastructure controlled by that infrastructure controller; and RSSB
Railway Infrastructure	<p>Fixed assets used for the operation of a railway including its permanent way and plant used for signalling or exclusively for supplying electricity for operational purposes to the railway. Permanent way or plant used for signalling or exclusively for supplying electricity for operational purposes to the railway at a station are part of the Railway Infrastructure but other fixed assets at a station are not.</p> <p>Railway infrastructure does not include any part of a railway</p> <ul style="list-style-type: none"><li>(a) within a harbour or harbour area, or which is part of a factory, mine or quarry unless, in each case, it is being used or intending to be used for the carriage of fare paying passengers,</li><li>(b) used solely for the purpose of carrying out construction work, or</li><li>(c) within a maintenance or goods depot.</li></ul>
Railway Safety Case (RSC):	A safety case prepared and submitted to an Infrastructure Controller or the HSE pursuant to the requirements of the RSC Regulations.
Registrar:	A member of Rail Safety and Standards Board staff appointed in writing by a Line Manager to register the receipt of documents into a library.
Responsible Manager:	The senior person representing the section or project under audit with the authority to progress a corrective action to completion. A manager who has the authority to take corrective action.

Review:	The formal and systematic examination of a document by an authorised body to verify that it meets specific requirements.
Risk Control Matrix	An interface used to link precursors within the cause and consequence domains of the Safety Risk Model to controls defined in the Controls Data Base. The Risk Control Matrix will enable users to establish the risk contribution in the presence of identified controls and facilitate the development of controls to further reduce risk.
Risk:	As set out in the draft BSI document ISO/IEC Guide 51: a combination of the probability of occurrence of harm and the severity of that harm.
Safety Policy Development Group:	A group comprised of representatives from Rail Safety and Standards Board, Network Rail and Railway Group members.
Safety Risk Model:	<p>A computer-based representation of risk on Network Rail Controlled Infrastructure. It provides a structured representation of the causes and consequences of potential accidents arising from railway operations, and it indicates how controls and measures operate to reduce risks. The underlying precursors and the consequences of hazardous events are quantified in terms of frequency and equivalent fatalities. The aim of the model is to inform the understanding and management of safety risks on the railway by providing advice on specific and generic risk levels, and through sensitivity analyses of proposed changes in controls.</p> <p>The model is operated and maintained by Rail Safety and Standards Board's Risk Assessment Section. It has an interface through the Risk Control Matrix with the Controls Database.</p>
Second Party Audit:	An audit carried out against a contract, specification or recognised quality system of the Rail Safety and Standards Board's suppliers.
Services:	Any service required by Rail Safety and Standards Board, such as printing, expert, consultancy or training.
Specification:	The document that describes the requirements with which the product or service has to conform.
Stakeholder	<ul style="list-style-type: none"><li>(i) any Railway Group member;</li><li>(ii) any funder (having the meaning given in Condition 7 of the Network Licence); and</li><li>(iii) any person whose business activities or any goods which he manufactures must comply with Railway Group Standards in a manner material in the context of safety on Network Rail's network.</li></ul>
Subject Committee:	An elected Committee, independent of a Drafting Group, comprising Rail Safety and Standards Board and representatives of sections of the railway industry who provide industry-wide expertise and technical advice in the review of new, or existing Railway Group Standards (RGS), Railway Safety Approved Codes of Practice (RACOP), Guidance Notes (GN) or Controls Reports/Standards Production Plans. Subject Committees are constituted in the subject areas of track & structures, operations, train control & communications, electrification, traction and rolling stock, plant, and track safety subject committees.
Supplier Evaluation:	Assessment of a supplier's control of quality.
Technical Specialist:	Rail Safety and Standards Board's Technical Principal or equivalent for the control or subject area.

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Temporary Non-Compliance (TNC):	Approval of an alternative practice to a mandatory requirement in an RGS for a limited period of time in clearly defined locations/applications. All TNCs must be approved in accordance RGS GA/RT6004 and meet the following criteria: <ul style="list-style-type: none"><li>• it has been demonstrated that it is not reasonably practicable to achieve compliance; and</li><li>• it has been demonstrated that the risk associated with the temporary non-compliance is tolerable; and</li><li>• it has been demonstrated that all reasonably practicable steps (including temporary additional control measures, as necessary) have been taken in order to limit the risk associated with the temporary non-compliance.</li></ul>
Third Party Audit:	Carried out by an independent agency to certificate the Quality Management Systems and confirm conformity with Standards.
Traceability:	The ability to trace the history, application or location of an item or activity, or similar items or activities, by means of recorded identification.
Transmittal Letter/Form:	A form accompanying a controlled document when issued to an individual at a remote location, informing the registered recipient of certain requirements that need to be met.
Uncontrolled Document:	A document which will not maintained up-to-date. The document must be considered current only at its date of issue and must not be used for working purposes.
Vendor Appraisal:	Assessment of a potential supplier's capability of controlling quality carried out before placing orders.
Work/Task:	Any activity performed to provide products or services.

### 3.2 Definitions specific to the Controls Database and Safety Risk Model

Measure:	A specific activity or procedure which forms, or partly forms, one or more controls. This is the smallest entity which requires a safety justification.
Component of a Measure:	An element (if any) which partly forms the measure e.g. if the measure is a checklist, then the components could be the list of items on the checklist if it is required to identify the separate elements on the list
Description of a Measure:	Detailed description of the action or procedure
Top Control Framework:	<p>The categorisation of Railway Risk Control Measures, as used in the Rail Safety and Standards Board Controls Database, e.g.</p> <p>C01 Controls for Management and Operation of Railway Activities.</p> <p>C01.01 Safety Policy and commitment.</p> <p>C01.02 Risk identification, assessment, evaluation and management</p>
Status of Measure:	All measures will be either mandatory or advisory if contained in a RGS, RACOP or GN.
Related Measure:	A measure which may be affected by, or need changing as a result of, another measure being introduced or changed. Note: a related measure may be in the same or a different document.
Hazardous Event:	One of an identified number of events, defined by Rail Safety and Standards Board, for use in the Safety Risk Model and Railway Safety Cases. Within the SRM this is an event which has the potential to lead directly to death or injury.
Precursor:	An event or condition that can lead to a hazardous event, or to the consequences of a hazardous event. Precursors are used in the Safety Risk Model in two ways. A precursor (cause) is an event that can lead to a hazardous event. A precursor (consequence) is a factor that can lead to different consequences following a hazardous event.