

SCHEDULE 1

Regulations 3, 4 and 5

PARTICULARS TO BE INCLUDED IN A SAFETY CASE

1. The name and address of the person who has prepared the safety case (in this Schedule referred to as “the duty holder”).
2. A description of the operation intended to be undertaken by the duty holder.
3. A general description of the premises or plant intended to be used by the duty holder for the operation intended to be undertaken by him.
4. Particulars of any—
 - (a) technical specifications; and
 - (b) procedures or arrangements relating to operations or maintenance,which the duty holder intends to follow in connection with the operation intended to be undertaken by him, in so far as they affect the health and safety of persons.
5. A statement of the duty holder’s general policy with respect to the health and safety of persons affected by the operation he intends to undertake, including the health and safety objectives he intends to achieve in relation to it.
6. A statement of the significant findings of the risk assessment the duty holder has made pursuant to regulation 3 of the Management of Health and Safety at Work Regulations 1992(1) and particulars of the arrangements he has made pursuant to regulation 4(1) thereof.
7. Particulars to demonstrate that the management system of the duty holder is adequate to ensure that the relevant statutory provisions will (in respect of matters within his control) be complied with in relation to the operation he intends to undertake.
8. Particulars to demonstrate that the duty holder has an adequate organisation for carrying out the policy referred to in paragraph 5 and adequate arrangements for ensuring the competence of his employees as respects health and safety.
9. Particulars to demonstrate that the duty holder has established adequate arrangements for the passing of information relevant to health and safety to persons within his undertaking and to other railway operators whose operations affect or are affected by the operation intended to be carried out by the duty holder.
10. Particulars of the arrangements the duty holder has established for consulting his employees on matters of health and safety.
11. Particulars to demonstrate that the duty holder has established adequate arrangements for investigating accidents and other incidents which could endanger persons, for co-ordinating such investigations with the investigations carried out by other railway operators and for participating in investigations carried out by other railway operators.
12. Particulars of the arrangements the duty holder has established with a view to securing the health and safety of persons, for managing work carried out by persons who are not his employees on or in relation to premises or plant which he owns or controls.
13. Particulars of the procedures the duty holder has established for dealing with accidents and with emergencies or other incidents which could endanger persons.
14. Where the safety case is prepared pursuant to regulation 5, particulars of the procedures and arrangements the duty holder has established—

(1) [S.I. 1992/2051](#).

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- (a) to prevent risks to the health and safety of persons arising from the movement or overcrowding of persons in the station; and
 - (b) for the evacuation of persons from the station in an emergency.
- 15.** Particulars of the safety procedures the duty holder has established for the design and procurement of premises and plant to be used by him or under his control.
- 16.** Particulars to demonstrate that the duty holder has established adequate arrangements for audit and the making of reports thereof.
- 17.** Particulars of the arrangements the duty holder has established to enable him to comply with regulation 8, including—
- (a) in a case where the duty holder is to submit the safety case to an infrastructure controller for acceptance pursuant to these Regulations, particulars to demonstrate that the duty holder has established adequate arrangements for enabling the controller to follow with respect to that safety case the arrangements described in his own safety case pursuant to paragraph 3 of Schedule 2;
 - (b) in a case where the duty holder is to submit a safety case to the Executive for acceptance pursuant to regulation 5, particulars to demonstrate that the duty holder has established adequate arrangements for enabling the relevant infrastructure controller referred to in that regulation to follow with respect to that safety case the arrangements described in his own safety case pursuant to paragraph 4 of Schedule 2.
- 18.** In this Schedule—
- (a) “audit” means systematic assessment of the adequacy of the management system to achieve the purpose referred to in paragraph 7 carried out by persons who are sufficiently independent of the system (but who may be employed by the duty holder) to ensure that such assessment is objective;
 - (b) “management system” means the organisation and arrangements established by the duty holder for managing his undertaking;
 - (c) any reference to an operation intended to be undertaken by a duty holder is—
 - (i) where the safety case is prepared pursuant to regulation 3, a reference to the operations he intends to carry out in relation to the railway infrastructure concerned;
 - (ii) where the safety case is prepared pursuant to regulation 4 or 5, a reference to the train or station operations concerned.