Name

Job Title

Company

Address Line 1

Address Line 2

Address Line 3

Postcode

Tel:

E-Mail:

Web site:

Day Month Year

Rail Interoperability Team

Department for Transport

Great Minster House

33 Horseferry Rd

London

SW1P 4DR

Dear DfT Rail Interoperability Team,

**RE: Regulation 13/14/46 [*delete as appropriate*] application to the Competent Authority under RIR 2011 – PROJECT NAME**

I am writing to the Department on behalf of PROJECT ENTITY for the BASIC DETAILS ABOUT PROJECT.

We are seeking a decision under Regulation 13/14/46 of the Railways (Interoperability) Regulations 2011 to SUMMARY OF WHAT YOU ARE SEEKING FROM THE DEPARTMENT. Further information supporting the application can be found in the annex accompanying this letter.

Any questions regarding the application should be directed to NAME AND EMAIL ADDRESS.

Yours sincerely,

Name

### Annex A – Application Information

## Type of Project

*Please confirm the type of project you are making an application for:*

[ ]  Upgrade (“any majormodification work on a subsystem or part of a subsystem which improves the overall performance of the subsystem”).

[ ]  Renewal (“any major substitution work on a subsystem or part subsystem which does not change the overall performance of the subsystem”).

[ ]  New – Note that Regulation 13 decisions cannot be issued for new subsystems.

(*Please note, how to classify a project is a decision for the project based upon the scope of the works. The Department does* ***not*** *take a view on whether a project is classified correctly.*)

## Background

*Please provide a paragraph which sets out a general overview of the works. This should include:*

* *What is the work being done and why?*
* *Where are the works?*
* *Any other information about the classification of your project?*

## Problem Statement

*Please provide a paragraph which clearly sets out:*

* *What is the problem?*
* *Why is it a problem?*
* *An explanation of :*
	+ *What stage your project is at (i.e. detailed design, construction).*
	+ *What stage the problem was identified.*
	+ *Why was the problem identified at this stage?*
	+ *Were there any earlier opportunities to identify the problem?*
	+ *Are there any lessons learnt?*

## Details of Proposed Solution

*Please provide a paragraph which clearly sets out:*

* *How your proposed solution solves the problem?*
* *Does it affect the whole project, or just a particular part of it?*
* *Are you requesting to be exempt from any particular standard(s) as part of your application? Why?*
* *If you are requesting to be exempt from the requirement for authorisation, why do you not feel you should require authorisation at this time?*
* *What are you applying in place of the standards you are seeking exemption from? (i.e., other standards)*

## Risks

*Please provide a paragraph(s) which clearly sets out:*

* *Are there any new or changed safety or technical compatibility risks resulting from the works envisaged?*
* *How will these risks be managed?*
* *How are you addressing any safety or technical compatibility risks that may arise from not requiring authorisation and/or applying a particular standard?*
* *What is the overall impact of the works you are requesting a decision for on the safety or technical compatibility of the subsystem in question?*
* *Are there any other risks arising from the works in question (i.e., impact on people with disabilities; impact on the overall technical compatibility of the network etc.)?*

## Consultation

Has your Approved Body and/or the ORR advised that you need a determination from the Department for your proposed solution, in order to be authorised to be placed into service?

[ ]  Yes

[ ]  No

Please explain:

If you are a Network Rail project, have you received a decision and endorsement on the content of your application with the Network Rail Assurance Panel (NRAP) prior to submission to the DfT?

[ ]  Yes

[ ]  No – Please note that it is a mandatory (red) requirement of Network Rail standard NR/L2/RSE/100/03 for projects pursuing a determination from the Competent Authority to consult with NRAP prior to submission.

[ ]  N/A - We are not a Network Rail project.

Please include evidence of this:

Does the station/train operator support the contents of your application?

[ ]  Yes

[ ]  No

[ ]  N/A

Please include evidence of this, especially for applications where some of the mitigating solutions will be carried out by the operator:

Are there any other organisations that you have consulted with that the Department should be aware of when reaching a decision?

[ ]  Yes

[ ]  No

[ ]  N/A

Please explain:

## Any Other Supporting Information

*Please include in your application email, or in this document, any additional information that you consider necessary to help the Department in making their decision, for example:*

* *Labelled Route or Site Map;*
* *Risk Assessment;*
* *A table setting out which NTSN standards will be applied to the works in question;*
* *Any research/consultation that supports your proposal;*
* *Any previous decisions/documentation for your project.*

## Timelines

You should expect a decision from the Department within **four months** of sending a final completed application. The Department may request additional information after you have submitted, along with a date for providing this information. If you do not supply the information requested within this timeframe or provide a reasonable explanation as to why this is not possible, your application will be removed from our systems and will require re-submission.