



Overview of Safety Management Systems

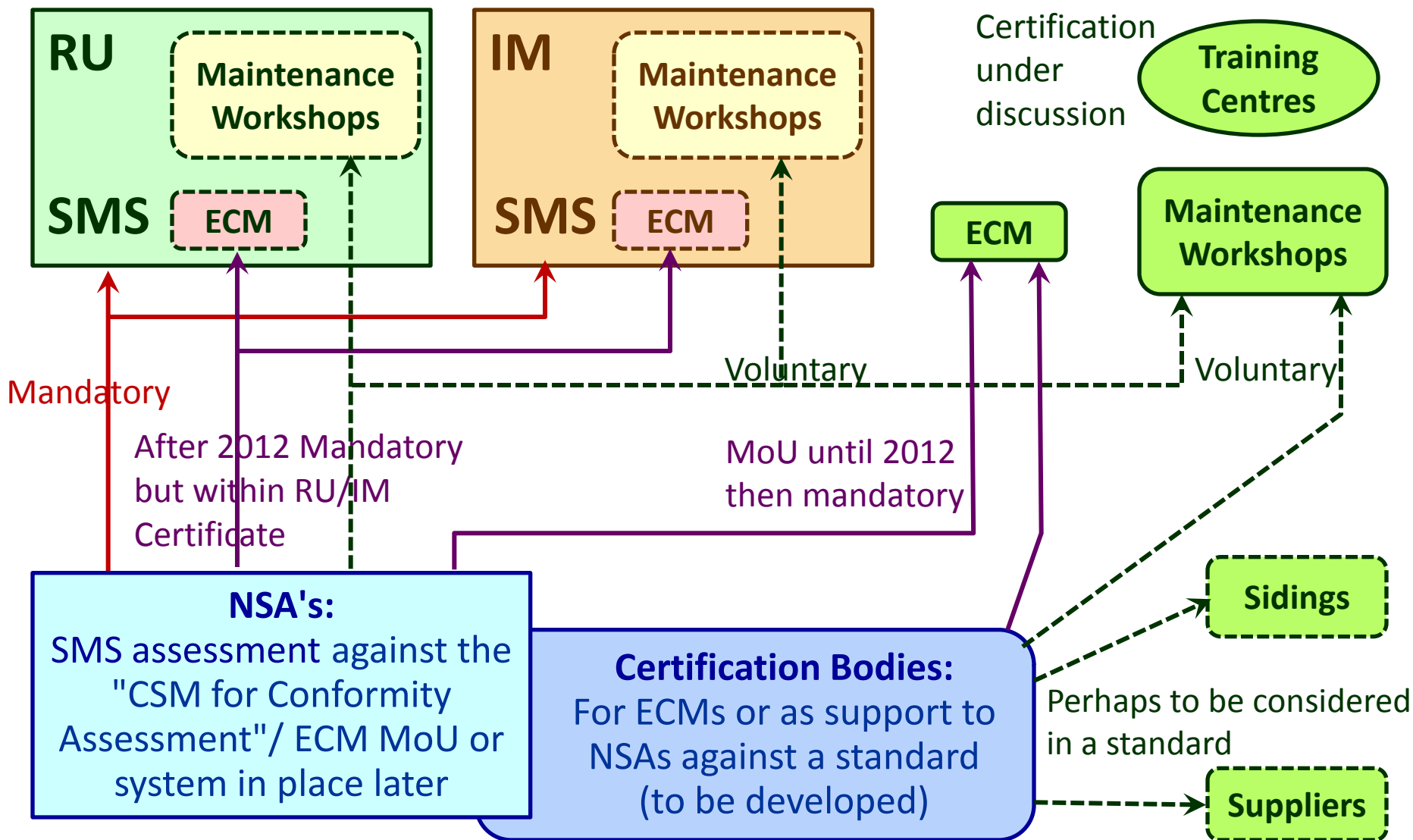
A key element for Safety Certification of RU's
and Safety Authorisation of IM's

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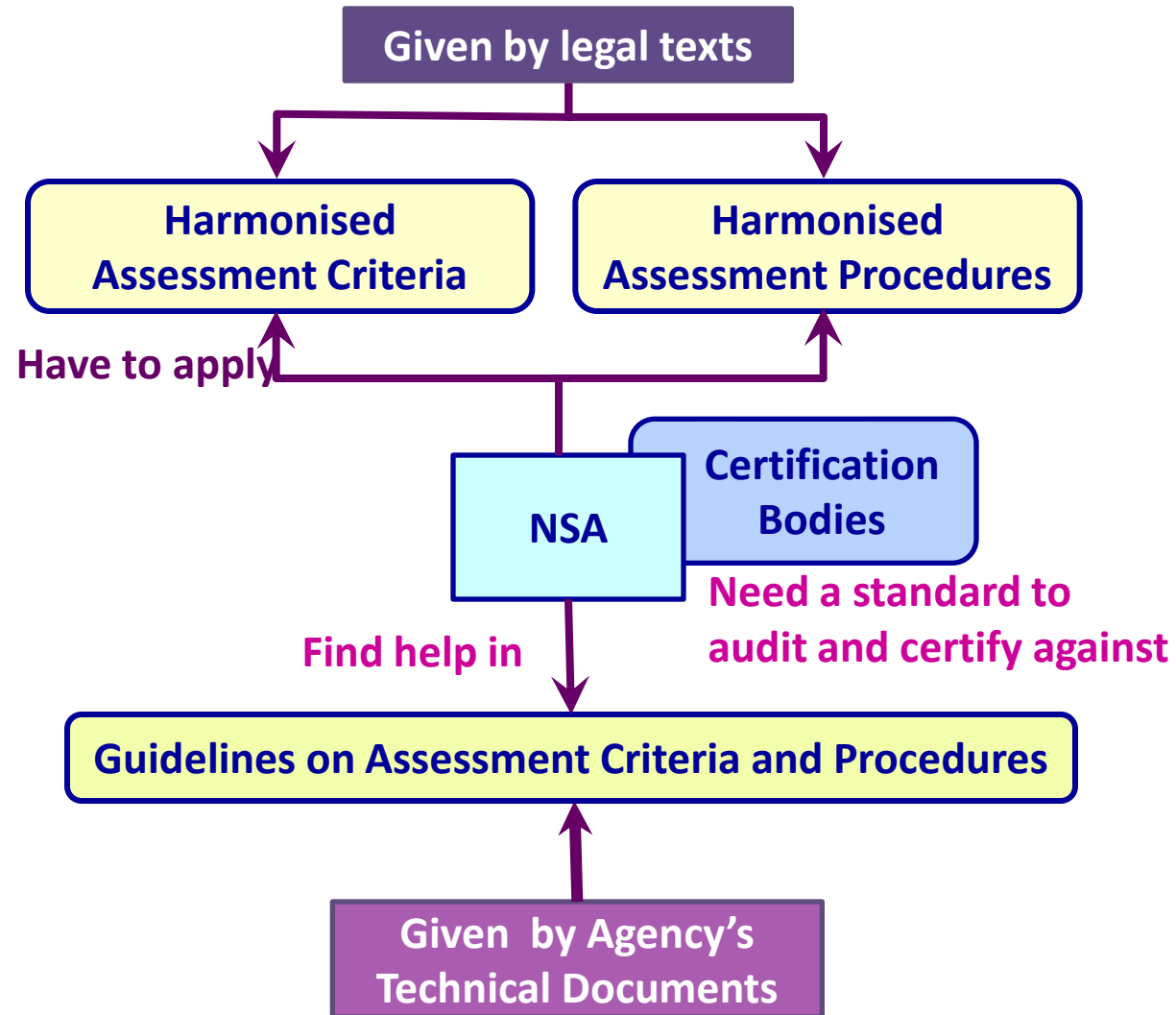
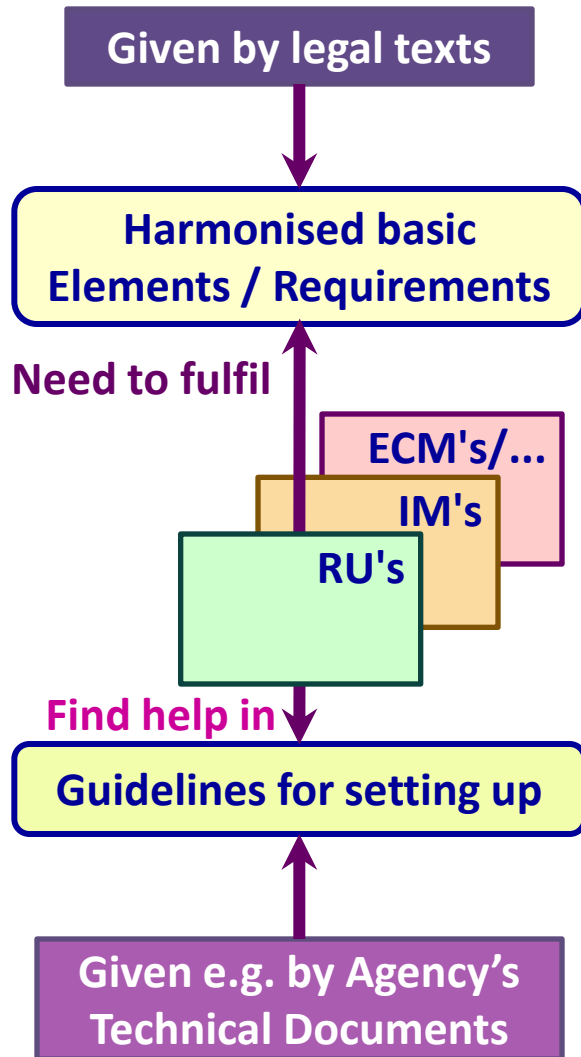


Railway certification in the Directives...





... and the harmonised sector-wide approach to safety certification





Advantages of a common approach

- ❑ Integration of all certification regimes in the railway sector into two schemes
 - ↳ mandatory assessment and presumption of conformity by the NSAs according to the "Common Safety Method for Conformity Assessment"
 - ↳ voluntary assessment and presumption of conformity by accredited bodies according to pertinent standards

- ❑ This should help to ensure that:
 - ↳ companies with different services/areas of operation can be certified in only one procedure;
 - ↳ the bureaucratic burden on both, companies and authorities, will be likewise minimised;
 - ↳ the certification systems are transparent, and;
 - ↳ mutual trust will be strengthened;



Legal base for harmonising assessment methods

- ❑ Article 6(3)(a) of Railway Safety Directive – CSM on Risk Assessment
- ❑ Article 6(3)(b) - Common Safety Methods for assessing conformity with requirements in Safety Certificates and Safety Authorisations issued in accordance with Articles 10 and 11
(CSM for Conformity Assessment – turned into a Commission Regulation)

*High-level conformity
Assessment*

- ❑ Article 6(3)(c) of Railway Safety Directive – CSM on Monitoring
- ❑ Article 16(2)(e) of Railway Safety Directive

The issue, renewal, amendments and revocation of relevant parts of Safety Certificates and of Safety Authorisations granted in accordance with Articles 10 and 11 and checking that conditions and requirements laid down in them are met and that Infrastructure Managers and Railway Undertakings are operating under the requirements of Community or national law.

*Detailed post-award
supervision*



Role of SMS according to legal base and Compliance with TSIs and other rules within SMS

Article 10(1) of Railway Safety Directive

The purpose of the safety certificate is to provide evidence that the railway undertaking has established its Safety Management System and can meet requirements laid down in TSIs and other relevant Community legislation and in national safety rules in order to control risks and provide transport services safely on the network.

Article 10(2)(b) of Railway Safety Directive – Network specific Part B certificate

Certification confirming acceptance of the provisions adopted by the Railway Undertaking to meet specific requirements necessary for the safe supply of its services on the relevant network. These requirements may concern the application of the TSIs and national safety rules, including the network operating rules, acceptance of staff certificates and authorisation to operate vehicles used by Railway Undertakings. The certification shall be based on documentation submitted by the railway undertaking as described in Annex IV.



Responsibilities of the players (I)

Member States

Member State

Responsibility for the general maintenance and, where reasonably practicable, continuous improvement of railway safety (**Article 4(1) SD**)

MS take this responsibility by :

- ↪ *enforcing and applying safety rules in an open and non-discriminatory manner;*
- ↪ *ensuring that the responsibility for safe operation and maintenance is laid upon the RUs/IMs ;*
- ↪ *ensuring that the CSTs are reached on Member State level.*



Responsibilities of the players (II)

Railway Undertakings and Infrastructure Managers

RU/IM

Responsibility for the safe operation and maintenance (Article 4(3) SD)

To take this responsibility, which means :

- ↳ *to ensure the control of all risks associated with its particular activity,*
- ↳ *to contribute to the achievement of the CSTs for the whole railway system of a MS and*
- ↳ *to be in conformity with the national safety rules,*

the RU/IM has to establish a safety management system



Responsibilities of the players (III)

National Safety Authorities

National Safety Authorities

Responsibility (among others) for granting safety certificates and authorisations and checking that conditions and requirements laid down in them are met (**Article 16(2)(e) SD**)

NSAs take this responsibility by:

- ↪ *applying the CSM for Conformity Assessment for granting safety certificates and authorisations to let RUs/IMs start their operation, and;*
- ↪ *carrying out post-award supervision to check whether the necessary level of safety performance is delivered on the ground*



Legal base for RU's Safety Certification and IM's Safety Authorisation

Article 10 and 11 of Railway Safety Directive

- Part A / Generic SMS Procedures – confirmation of the NSA's acceptance with the RU's/IM's implementation of the SMS procedures
- Part B / network specific part – confirmation of the NSA's acceptance of the RU's/IM's network specific provisions

Article 9 and Annex III of Railway Safety Directive

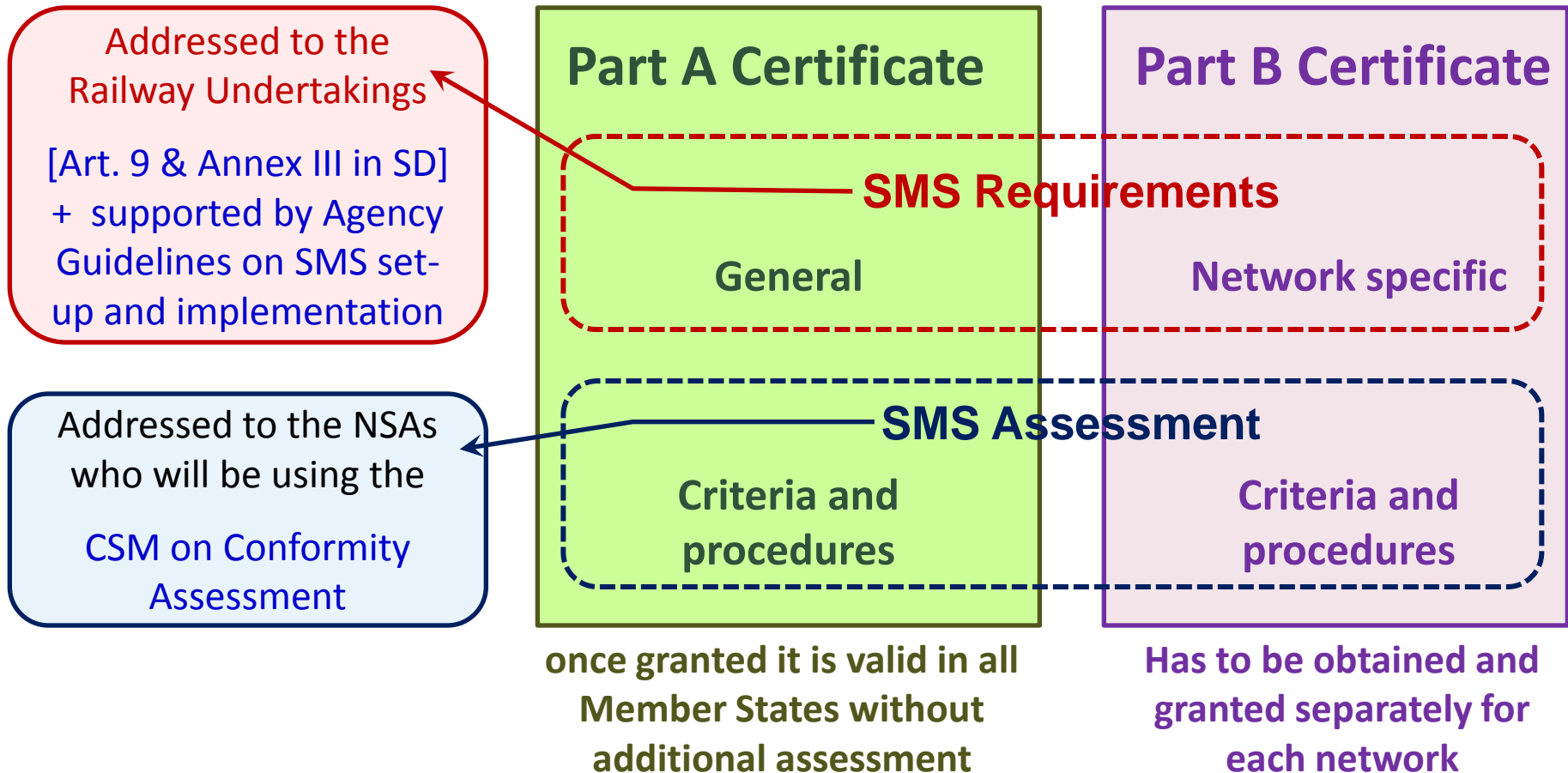
- Description of basic elements and requirements of the SMS



Safety Certification for Railway Undertakings in two parts (i.e. at least two Safety Certificates)

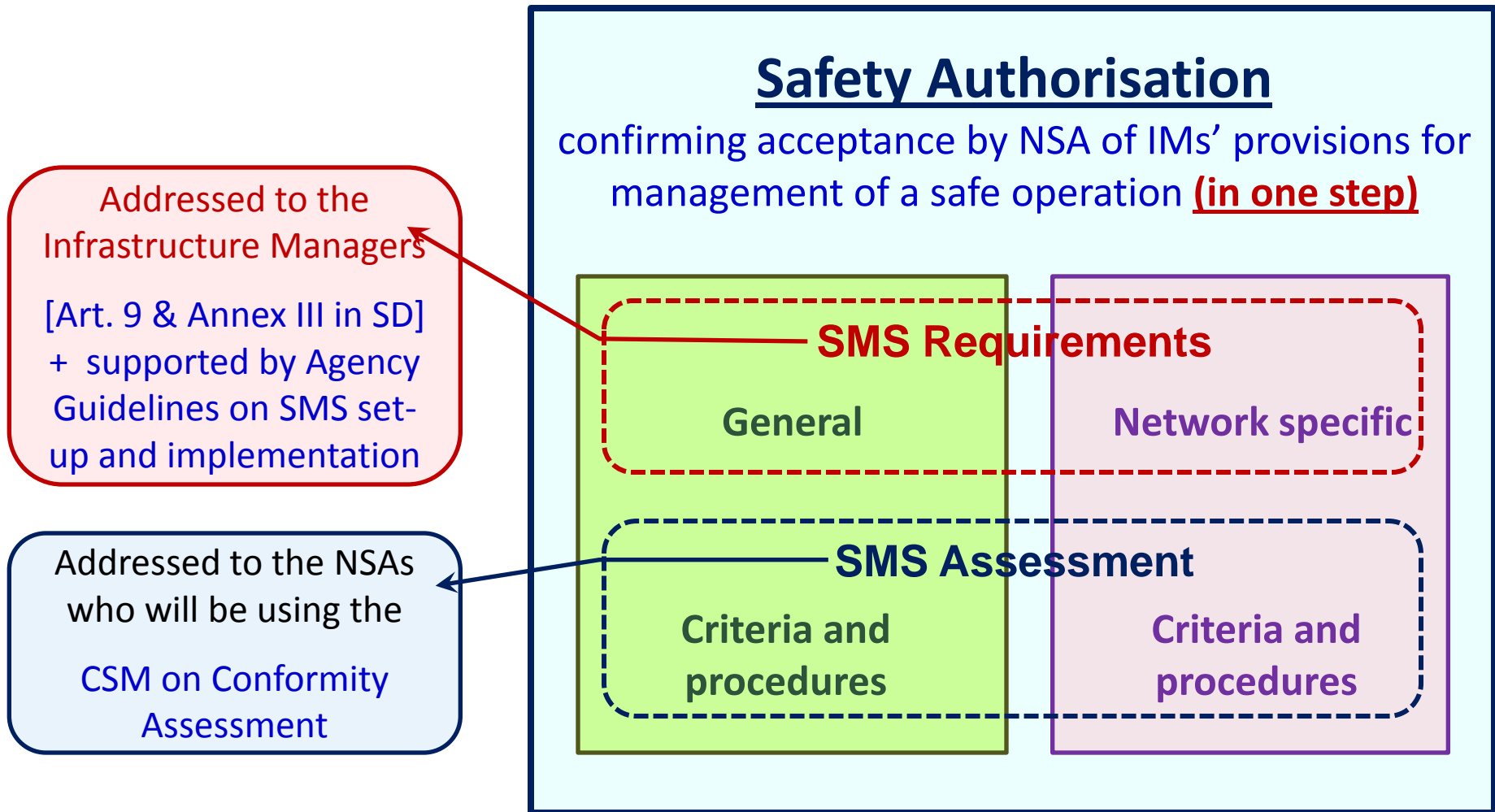
Safety Certification

confirming acceptance by NSA of RUs' provisions for management of a safe operation **(in two parts)**





Safety Authorisation for Infrastructure Managers in one step (one single Safety Authorisation)





Common Safety Method for Conformity Assessment

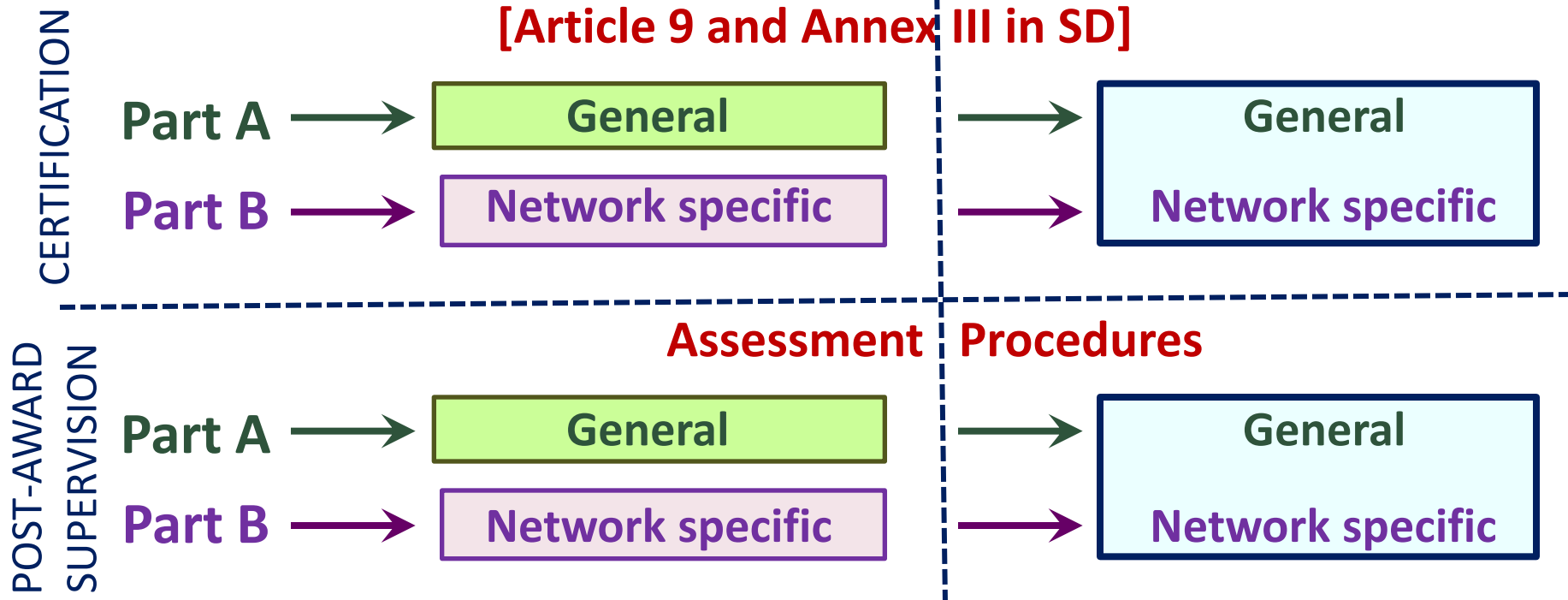
Safety Certification

- First Member State: applied in two steps
- Further Member States: only Part B Assessment is applied

Safety Authorisation

- Applied in one assessment

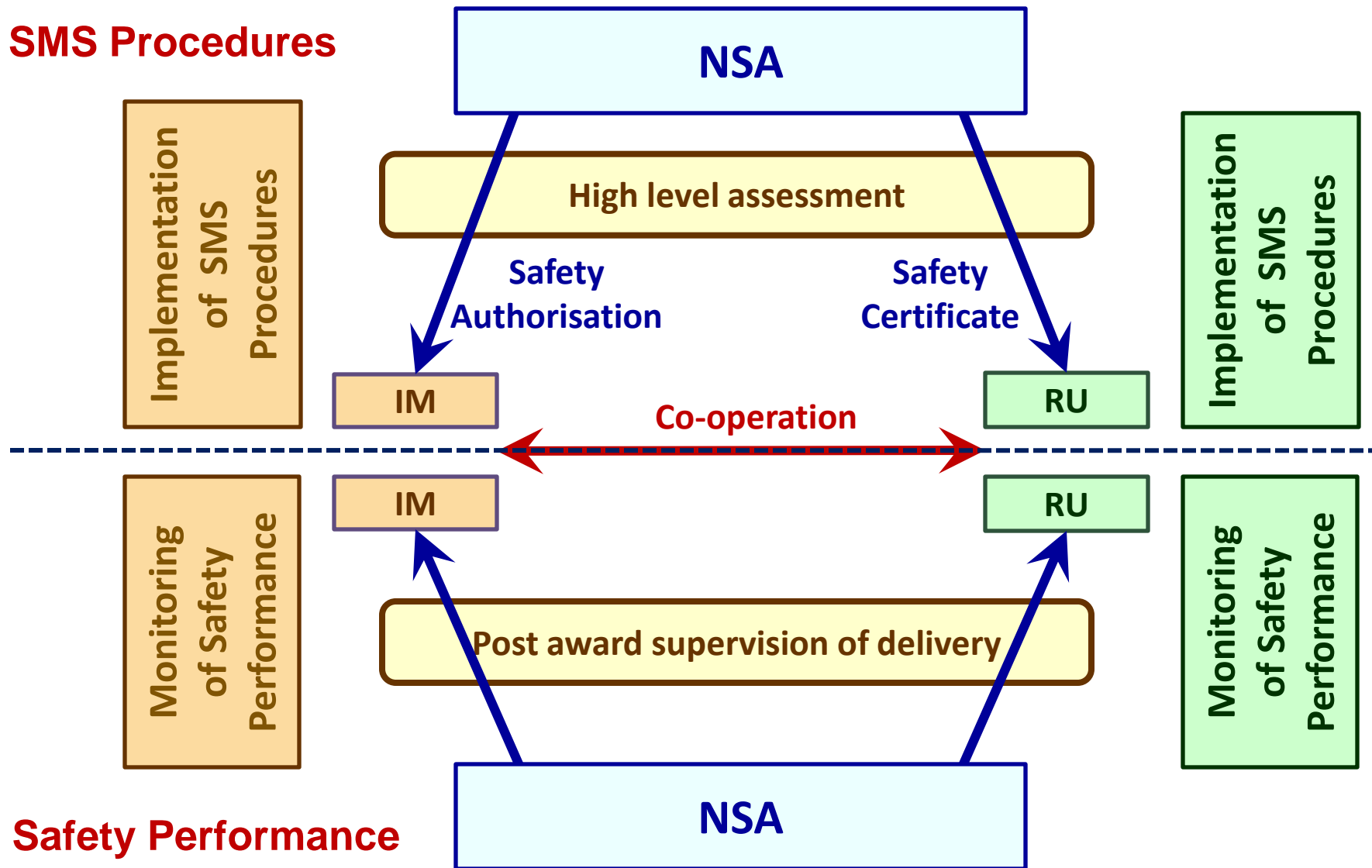
Criteria to assess fulfilment of SMS Basic Elements and Requirements [Article 9 and Annex III in SD]





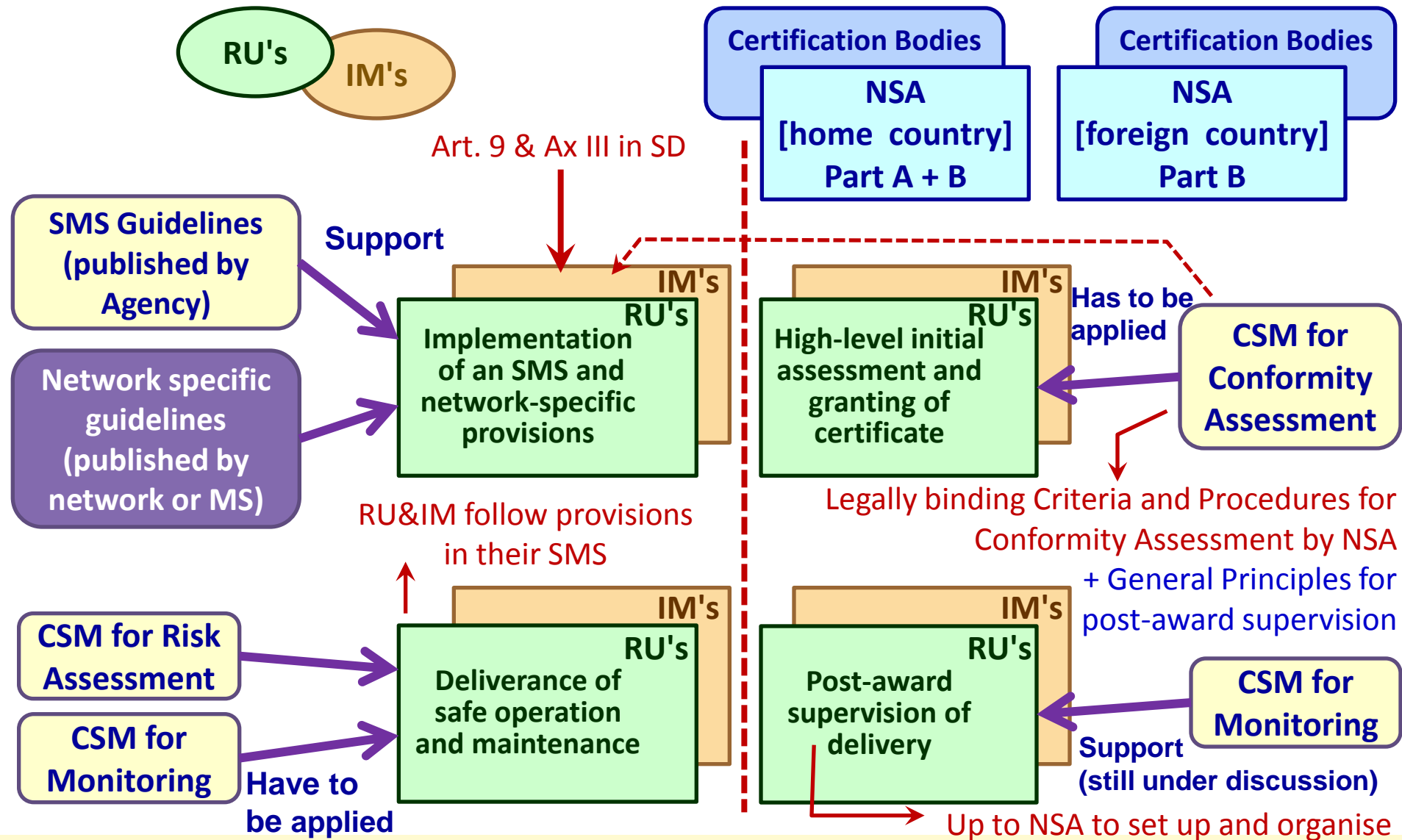
Roles of players within Safety Certification/Authorisation Regime

SMS Procedures





Place of CSM for Conformity Assessment





High level conformity assessment (I)

Part A assessment

Criteria to check the RU's/IM's general SMS provisions against requirements from Article 9 and Annex III SD

Assessment at system-level, not necessarily involving the examination of detailed risk control measures, including visits and interviews to discuss any queries about application.

Part B Assessment

Criteria to check RU's network specific provisions against harmonised Part B requirements (Recommendation from the Agency from December 2008)

Article 10(2)(b) SD: The certification shall be based on documentation submitted by the railway undertaking as described in Annex IV.



Annex III 2 (c) of Railway Safety Directive

Procedures to meet existing, new and altered technical and operational standards or other prescriptive conditions as laid down

- ↳ in TSIs, or
- ↳ in national safety rules referred to in Article 8 and Annex II, or
- ↳ in other relevant rules, or
- ↳ in authority decisions,

and procedures to assure compliance with the standards and other prescriptive conditions throughout the lifecycle of equipment and operations.



Example of compliance with TSIs

Does RU/IM

- ↳ *know that they have to apply relevant parts of TSIs?*
- ↳ *know where and how to find it?*
- ↳ *have procedures that are deemed to ensure correct application?*
- ↳ *If TSIs do not apply – can they do same for national rules*

Using the assessment criteria under Annex III(2)(c)

Same process applies for other SMS requirements



Monitoring of RU/IM

Criteria for SMS to ensure RU/IM capable of:

- ↳ *delivering exhaustive and consistent compliance with the network specific rules for operation, staff and rolling stock (including relevant parts of TSIs)*
- ↳ *using only suitably fit and competent staff (delivery of competence management system described in SMS)*
- ↳ *organising of work and distributing (safety related) tasks to deliver safe operation*
- ↳ *operating rolling stock on granted parts of network in compliance with network specific rules and technical provisions*

Monitoring RU's safety performance against provisions given in their SMS – Delivery of safe operation and maintenance on ground (**done what is written – written what is done**)

Evidence given during conformity assessment subject to further verification and scrutiny by NSA through supervision regime



Many thanks for your attention!

