

CRR-G-030-B

Application Guide for Single Safety
Certificates, Safety Authorisations and Safety
Management Certificates

Issue	Prepared by	Reviewed by	Approved by	Issue Date
1	Caoimhe Boland	Mary Molloy	Brian Higginson	7 th December 2021

Table of Contents

1. Scope.....	4
2. Introduction	4
3. Requirements – SSCs.....	4
4. Requirements – SAs	5
5. Requirements – SMCs.....	5
6. Application Process.....	5
6.1. Pre-engagement Phase	5
6.2. Formal Application Phase - Receipt of Application and Timeframes	6
7. Safety Assessment Process	7
7.1. Initial Screen	7
7.2. Detailed Assessment (where the CRR is the assessment body)	7
8 Decision Making and Closing of Assessment	9
9 Specific Provisions for the Renewal of an SSC, SA or SMC	10
10 Specific Provisions for the update of an SSC, SA or SMC.....	10
11 Notified National Rules	11
12 Fees and Charges	11
13 Representations and Appeals	11
14 Contact Information.....	12
Appendix I – Safety Authorisation Application	13
Appendix II – Safety Management Certificate Application.....	16
Appendix III – Definitions of Types 1 - 4	18

Abbreviations

CRR	Commission for Railway Regulation
ERA	European Railway Agency
IM	Infrastructure Manager
OSS	One Stop Shop
RU	Railway Undertaking
SA	Safety Authorisation
SMC	Safety Management Certificate
SSC	Single Safety Certificate

1. Scope

The purpose of this document is to provide guidance on applying for a single safety certificate (SSC), a safety authorisation (SA) or a safety management certificate (SMC). This guideline is applicable to any RU or IM intending to apply for an SSC or a SA or any railway organisation operating light rail (including metros) to apply for a SMC. Guidance for heritage and minor railways are provided for in a separate guideline – see [RSC-G-022](#).

2. Introduction

In order to operate on the railway system in Ireland, a railway undertaking must hold a valid single safety certificate. The safety certificate may cover the whole network or a defined part of the network. An infrastructure manager must hold a valid safety authorisation in order to operate and manage railway infrastructure that forms the whole, or part, of the railway system in Ireland. A railway organisation with responsibility in operating a light railway shall hold a safety management certificate.

The Commission for Railway Regulation (CRR) can issue single safety certificates and issues safety authorisations for the railway system in the Republic of Ireland on acceptance of an application and the applicant's safety management system (SMS). The CRR issues safety management certificates for the light rail operations in the Republic of Ireland on acceptance of an application and the applicant's SMS.

All applications are required to be made in English. English is the operating language of the railway system in Ireland.

A Railway Undertaking is required to hold a licence to operate in Ireland, see CRR Guidance [CRR-G-051-A](#) on Railway Undertaking Licences.

3. Requirements – SSCs

A railway undertaking requiring a single safety certificate shall apply through the One Stop Shop (OSS). When making their application a railway undertaking which operates in one Member State, in this case Ireland, can choose through the OSS either the European Union Agency for Railways (ERA) or the CRR, as the authority responsible for issuing the single safety certificate.

The OSS is an ERA online tool through which all applications for SSCs are made.

A railway undertaking operating in more than one Member State is required to have its application assessed by ERA who will coordinate with the relevant National Safety Authorities also.

The SMS of an applicant for a single safety certificate must comply with Articles 9 and 10 of Directive (EU) 2016/798 and Regulations 8 and 9 of S.I. 476 of 2020.

The SMS of a railway undertaking must fulfil the requirements of Commission Delegated Regulation (EU) 2018/762 Annex I and checklist CRR-CL-002A. Additional information on what should be contained in an SMS is available in the ERA document [Safety Management System requirements for safety certification or safety authorisation](#)

This guideline should be read in conjunction with “[Application guide for the granting of single safety certificates – A guide for Applicants](#)” published by the European Union Agency for Railways.

The information required to be provided in the Single Safety Certificate application is available in Annex I of [\(EU\) 2018/763](#).

4. Requirements – SAs

An infrastructure manager must apply to the CRR for an SA. The SMS of an applicant for an SA must comply with Articles 9 and 12 of Directive (EU) 2016/798 and Regulations 8 and 10 of S.I. 476 of 2020.

The SMS of an infrastructure manager must fulfil the requirements of Commission Delegated Regulation (EU) 2018/762 Annex II and checklist CRR-CL-002B. Additional information on what should be contained in an SMS is available in the ERA document [Safety Management System requirements for safety certification or safety authorisation](#).

The application for a SA shall be in the format of Appendix I to this document.

5. Requirements – SMCs

A railway organisation with responsibility in operating light rail must apply to the CRR for an SMC. The SMS of an applicant for an SMC must comply with section 39 of the Railway Safety Act 2005 and the relevant requirements of checklist CRR-CL-002C. Additional information on what should be contained in an SMS is available in the ERA document [Safety Management System requirements for safety certification or safety authorisation](#).

The application for an SMC shall be in the format of Appendix II to this document.

6. Application Process

The CRR encourages all applicants for SSCs, SAs and SMCs to use the pre-engagement phase. The pre-engagement phase is followed by the formal application phase.

6.1. Pre-engagement Phase

The applicant is advised to make contact with the CRR in a timely fashion, preferably at least six months before a new, renewed or updated SSC, SA or SMC is required. During the pre-engagement phase the CRR assessment team for the project shall be identified. Applicants are encouraged to copy approvals@crr.ie on all correspondence.

The CRR offers a pre-engagement phase (formerly pre-application) for all applicants for an SSC, SA or SMC.

Once an applicant makes contact with the CRR for SSC, SA or SMC a meeting is set up. During this meeting the following is discussed with the applicant:

1. What date the new, renewed or updated SSC, SA or SMC is needed by?

2. Their plans for submission. The CRR welcomes partial submissions of the SMS e.g. over a three/four month period the applicant could submit all of the SMS in draft but in sections (e.g. organisation, leadership, planning) perhaps monthly. An example is given in Table 1. At this point the CRR will assign Inspectors to review the draft submissions.

SMS Requirements	Organisation	Leadership	Planning	Support	Operation	Performance Evaluation	Improvement
Submission date	Month A	Month B	Month C	Month A	Month B	Month C	Month D
Inspector A	X	X	X				
Inspector B				X	X	X	
Inspector C							X

Table 1 – Sample submission plan

3. This then permits the CRR to propose feedback dates on these draft submissions which have been reviewed.

Proposed feedback dates

Month A submission – propose dates.

Month B submission – propose dates.

Month C submission – propose dates.

Month D submission – propose dates.

4. A date for the formal submission is agreed with the applicant once all dates for draft submissions have been identified and a time is allowed for review and feedback. This allows the formal submission to be nearer completion as feedback on submissions has been given to the applicant.

For this stage the applicant should prepare a file which provides at least an overview of its SMS. During the pre-engagement phase the CRR assessment team will review this file and provide feedback on the content to the applicant. Additionally, the assessment team shall review feedback from the supervision activities performed during the previous period of certification or authorisation where relevant. Additionally, the CRR shall provide any clarifications requested by the applicant in the context of the pre-engagement.

6.2. Formal Application Phase - Receipt of Application and Timeframes

After receiving a formal application for an SSC, SA or SMC the CRR will acknowledge receipt of the application via email within 10 working days. The CRR shall inform the applicant, no later than one month following the date of receipt of the application, whether the application is complete. The decision on the issuing of an SSC, SA or SMC shall be taken no later than four months following the date on which the applicant is informed that the application is complete subject to Art 6 (5) and (7) of (EU) 2018/763. Should an applicant make use of the pre-engagement phase this four-

month period will be reduced to eight weeks or less depending on progress made during the pre-engagement phase.

The CRR shall assign competent resources to deliver the assessment process. Competence is managed through the CRR competence management system.

7. Safety Assessment Process

7.1. Initial Screen

The CRR shall undertake promptly on receipt of the formal application an initial screen to check the following:

- a) the applicant has provided the basic information which is either required by the legislation or needed for it to be processed effectively;
- b) the application file contains sufficient evidence and is structured and internally cross-referenced so that it can be properly assessed against the SMS requirements and relevant notified national rules. The CRR shall conduct an initial review of the actual content of the evidence contained in the application to make an initial judgement on the quality, sufficiency and appropriateness of the SMS;
- c) if applicable, the current status of open actions required and enforcement action served on the applicant during supervision activities since the previous assessment is included;
- d) if applicable, the status of the action plan (or plans) established by the applicant to resolve residual concerns from previous assessment is included.

The CRR shall also check that the evidence for the type, extent and intended area of operation is clearly identified, and if there is any part for which further information is necessary. Where further information is necessary the CRR may promptly seek the information, to the extent that they deem reasonably necessary to support their assessment.

The CRR shall review a sufficient sample of the application, each for their own part, to check that the content is understandable. If it is clearly not, they shall decide whether it needs to be returned with a request for an improved version.

7.2. Detailed Assessment (where the CRR is the assessment body)

7.2.1. After the completion of the initial screen stage, the CRR shall proceed to the detailed assessment of the application file (see Figure 2 in the Appendix to Annex II of (EU) 2018/763), using the SMS requirements and relevant notified national rules.

7.2.2. In undertaking the detailed assessment, the CRR shall exercise professional judgement, be impartial and proportionate, and provide documented reasons for conclusions reached.

7.2.3. The assessment shall determine whether the SMS requirements and relevant notified national rules are met or whether further information shall need to be requested. During

the assessment, the CRR shall also seek evidence that the SMS requirements and relevant notified national rules have been met from the outputs of the SMS processes, using sampling methods where appropriate, to ensure that the applicant has understood and can meet the requirements according to the type and extent of the railway operations and the intended area of operation in order to ensure safe operation of the railway.

7.2.4. Any Type 4 issue, as defined in Appendix III shall be resolved to the satisfaction of the CRR and lead to an update of the application file where appropriate before an SSC, SA or SMC can be issued.

7.2.5. Residual concerns, as defined in Art 2(4) of (EU) 2018/763 may be deferred for consideration to supervision, or actions may be agreed upon with the applicant, based on its proposal for updating the application file, or both. In such case a formal resolution of the issue shall take place after the issuing of the SSC, SA or SMC.

7.2.6. The CRR shall be transparent on how they judge the severity of each identified issue in accordance with Art 12 of (EU) 2018/763.

7.2.7. When identifying an issue in accordance with Art 12 of (EU) 2018/763 the CRR shall be specific and help the applicant understand the level of detail expected in the response. To that end the CRR shall take the following steps:

- 7.2.7.1. Refer accurately to the relevant SMS requirements and notified national rules and help the applicant to understand the identified issues;
- 7.2.7.2. Identify the relevant part of related regulations and rules;
- 7.2.7.3. State why the individual SMS requirements or notified national rule, including any related legislation is not met;
- 7.2.7.4. Agree with the applicant on further commitments, documents and any other supporting information to be provided as required by the level of detail of the SMS requirement or the notified national rule;
- 7.2.7.5. Specify and agree with the applicant on a timeframe for compliance, which is reasonable and proportionate to the complexity of providing the information requested.

7.2.8. If the applicant significantly delays providing the requested information, the CRR may decide to extend the timeframe for the applicant's response or to reject the application after notice.

7.2.9. The timeframe for taking the decision on the issuing of an SSC, SA or SMC may only be extended until the requested information has been submitted, upon decision of the CRR and with the agreement of the applicant in one of the following cases:

- 7.2.9.1. Type 1 issues, as defined in Appendix III, considered individually or collectively prevent the assessment or parts of it from continuing;
- 7.2.9.2. Type 4 issues or multiple Type 3 issues, as defined in Appendix III, that considered collectively may raise the category to a Type 4 issue preventing the issuing of a certificate or authorisation.

- 7.2.10. To be satisfactory, the applicants written responses shall be sufficient to allay the concerns expressed and to demonstrate that its proposed arrangements will meet the relevant criteria or notified national rules.
- 7.2.11. Where a response is considered unsatisfactory, it shall be explained precisely why, identifying the further information or demonstration required of the applicant to make it satisfactory.
- 7.2.12. If concerns emerge that the application could be rejected, or that it will take a longer time to reach a decision than the timeframe allowed for the assessment, the CRR may consider possible contingency measures.
- 7.2.13. When it is concluded that the application meets all requirements or that further progress is unlikely in securing satisfactory responses to outstanding matters the CRR shall complete the assessment by the following steps:
 - 7.2.13.1. Stating whether all criteria have been met or whether there are still matters outstanding;
 - 7.2.13.2. Identifying any residual concern;
 - 7.2.13.3. Identifying any restriction or condition of use to be included in the SSC, SA or SMC;
 - 7.2.13.4. Reporting on the follow up of major non-compliances identified during supervision activities as referred to in Art 5 of (EU) 2018/761 where appropriate;
 - 7.2.13.5. Ensuring that the safety assessment process has been correctly applied;
 - 7.2.13.6. Compiling the outcome of the assessment, including summary conclusions and where appropriate, an opinion concerning the issuing of the SSC, SA or SMC.
- 7.2.14. The CRR shall record and justify in writing all findings and judgements in order to facilitate both the assurance process and the decision-making process, as well as to assist with any appeal against the decision to issue or not the SSC, SA or SMC. Both the applicant and the CRR shall populate checklist CRR-CL-002 which sets out the SMS requirements. The applicant identifies where the requirement is met within the SMS and the CRR records its acceptance or not of same. If not accepted by the CRR a clear explanation shall be made in the checklist. Ref: (EU) 2018/763 Art (3)(3).
- 7.2.15. General comment on the 'Detailed Assessment': The CRR shall assess the submission against the criteria laid out in CRR-CL-002 A, B or C. With regard to deficiencies the preferred method of communication is via meetings. This is to ensure the applicant fully understands the issue and allows for discussion of the options available and minimises delays encountered via written correspondence. However, if necessary, the communication can be done in writing.

8 Decision Making and Closing of Assessment

Based on the conclusions of the completed assessment, a decision shall be made on whether to issue an SSC, SA or SMC or to reject the application. Where an SSC, SA or SMC is to be issued some residual concerns may be identified. These unresolved residual concerns cannot be Type 4 issues. Issues are categorised as Type 1, Type 2, Type 3 and Type 4 as defined in Appendix III.

The CRR may decide to restrict the scope of the SSC, SA or SMC by identifying restrictions or conditions of use, if it is determined that such restrictions or conditions of use address any Type 4 issues that

would prevent the issuing of the SSC, SA or SMC. The SSC, SA or SMC shall be updated upon the request of the applicant after all residual concerns have been addressed in its application file.

The applicant shall be informed about the decision of the CRR including the outcome of the assessment and an SSC, SA or SMC shall be issued as appropriate.

If the issuing of the SSC, SA or SMC is refused or if they contain restrictions or conditions of use other than those defined in the application, the CRR shall inform the applicant, giving the reasons for the decision and notify the applicant of the procedure to request a review of, or to appeal against, the decision.

The CRR shall complete the administrative closure by ensuring that all documents and records are reviewed, organised and archived. To continually improve its process the CRR shall identify historic information and lessons learned for use by future assessments.

9 Specific Provisions for the Renewal of an SSC, SA or SMC

An SSC, SA or SMC issued in accordance with (EU) 2018/762 and (EU) 2018/763 may be renewed upon request of the applicant before the expiry of its validity to ensure continuity of certification or authorisation.

In the case of a renewal application the CRR shall check details of the evidence submitted in the previous application and consider the results of past supervision activities as referred to in Article 5 of (EU) 2018/761 to prioritise or target the relevant SMS requirements and notified national rules upon which to assess the renewal application.

The CRR shall take a proportionate approach to re-assessment based on the degree of changes proposed.

10 Specific Provisions for the update of an SSC, SA or SMC

10.1 An SSC, SA or SMC issued in accordance with (EU) 2018/762 and (EU) 2018/763 shall be updated whenever there is a substantial change proposed to the type or extent of operation in accordance with Art 10(13) of Directive (EU) 2016/798, or in case of extension of the area of operation in accordance with Art 10(4) of that Directive.

10.2 Where it intends to make any change referred to in point 10.1, the holder of the SSC, SA or SMC shall notify the CRR without delay.

10.3 Following a notification referred to in 10.2 the CRR shall:

- a) Check that the change relating to any potential application is clearly described and that potential safety risks are assessed;
- b) Discuss with the applicant the need for the update.

10.4 The CRR may make further enquiries with the applicant. Where the CRR agrees that the proposed change is not substantial it shall inform the applicant in writing that an update is not required, keeping a record of the decision for the registered file.

10.5 In the case of an update application the CRR shall:

- a) Check details of changes to the evidence submitted in the previous application upon which the current certification or authorisation was issued;
- b) Consider the results of past supervision activities as referred to in (EU) 2018/761 Art 5, and in particular issues relating to the ability of the applicant to effectively implement and monitor its change management process;
- c) Prioritise or target the relevant SMS requirements and notified national rules in order to assess the update application.

10.6 The CRR shall take a proportionate approach to re-assessment based on the degree of changes proposed.

10.7 An application to the CRR to update an SSC, SA or SMC shall not lead to the extension of its validity period.

10.8 The CRR shall decide at the request of the applicant whether the SSC, SA or SMC needs to be updated where the conditions under which it was issued are to be changed without any impact on the type, extent or area of operation.

11 Notified National Rules

The applicable National Rules for Ireland are contained on the ERA web page <https://srd.era.europa.eu/home>. Technical rules are contained in Irish Railway Standards and are available at <https://www.crr.ie/publications/irish-railway-standards/>.

12 Fees and Charges

For a SMC and SA application

Fees and charges are levied in accordance with the Railway Safety Act 2005, as amended.

For an SSC application

In the case where the Agency acts as safety certification body, the fees and charges are set by the Agency and published on their website. For an applicant choosing to use the CRR as the assessment body there is an OSS application fee. For the assessment work carried out by the CRR, fees and charges are levied in accordance with the Railway Safety Act 2005, as amended.

13 Representations and Appeals

Representations and Appeals are processed through the CRR Representations and Appeal Procedure [CRR-P-010](#) in line with Commission Implementing Regulation (EU) 2018/867 on the rules of procedure of the Board(s) of Appeal and Regulation 11 of S.I. 476 of 2020.

14 Contact Information

Queries relating to SSC, SA or SMC may be addressed to the Principal Inspector – Conformity Assessment at:

Commission for Railway Regulation
Temple House,
57 Temple Road,
Blackrock,
Co. Dublin
A94 Y5W5

Telephone: 00353 1 2068110

Email: info@crr.ie (approvals@crr.ie)

Appendix I – Safety Authorisation Application



SAFETY AUTHORISATION APPLICATION

Application for Safety Authorisation confirming acceptance of the infrastructure manager's Safety Management System and the provisions adopted by the infrastructure manager to meet requirements necessary for the safe design, maintenance and operation in conformity with Directive 2004/49/EC and applicable national legislation

SAFETY AUTHORITY REFERENCE NUMBER

SAFETY ORGANISATION/AUTHORITY CONTACT INFORMATION

1.1. Safety organisation/authority addressed for the request

1.2. Complete postal address (street, postal code, city, country)

APPLICANT'S INFORMATION

2.1. Legal denomination

2.2. Infrastructure manager name

2.3. Acronym

2.4. Complete postal address (street, postal code, city, country)

2.5. Phone number

2.6. Email address

2.7. Website

2.8. National registration No.

2.9. VAT No.

2.10. Other information

Contact person information

3.1. Family name and first name

3.2. Complete postal address (street, postal code, city, country)

3.3. Phone number

3.4. Email address

APPLICATION DETAILS

This application is for a:

- 4.1. new authorisation ☐ 4.2. updated/amended authorisation ☐
- 4.3. renewed authorisation ☐ 4.4. EU Identification Number of the previous Safety Authorisation _____

4.5. The applying infrastructure manager operates freight wagons to transport materials for construction or for infrastructure maintenance activities: YES / NO

4.6. Expected date of starting services/operations (where applicable):

The applying infrastructure manager belongs to the following categories for estimated number of employees:

- 4.7. Micro enterprise ☐ 4.8. Medium sized enterprise ☐
- 4.9. Small enterprise ☐ 4.10. Large enterprise ☐

IF THE APPLICANT ALREADY HOLDS A VALID SAFETY AUTHORISATION IT SHOULD PROVIDE THE FOLLOWING INFORMATION

5.1. EU Identification Number of Safety Authorisation _____

SUBMITTED DOCUMENTS

- 6.1. ☐ Summary of the manual of the Safety Management System as referred to in Art. 9 and Annex III of Directive 2004/49/EC
- 6.2. ☐ Description of the Safety Management System and other documents demonstrating compliance with the requirements as set out in Article 12 of (EU)2016/798 and Regulation 10 of S.I. 476 of 2020
- 6.3. ☐ Information cross-referencing the safety management system against Annex II to (EU) 2018/762, including an indication where in the SMS documentation the relevant requirements are met.
- 6.4. ☐ Where applicable, the current status of the action plan(s) established by the IM to resolve any major non-compliance and any other area of concern identified during supervision activities since the previous assessment
- 6.5. ☐ Where applicable, the current status of the action plan(s) established by the IM to resolve residual concerns from the previous assessment.
- 6.6. ☐ Other (specify)

Applicant: _____
(first name, family name)

Date: _____ Signature: _____

FOR SAFETY AUTHORITY USE

Internal reference number:

Date application received:

SPACE	RESERVED	FOR	THE	ADDRESSED
OFFICE/AUTHORITY				

Appendix II – Safety Management Certificate Application**SAFETY MANAGEMENT CERTIFICATE APPLICATION**

Application for Safety Management Certification confirming acceptance of the Railway Organisations Safety Management System and the provisions adopted by the Railway Organisation to meet requirements necessary for the safe design, maintenance and operation of a light railway in conformity with applicable national legislation.

SAFETY AUTHORITY REFERENCE NUMBER

SAFETY ORGANISATION/AUTHORITY CONTACT INFORMATION

1.1. Safety organisation/authority addressed for the request

1.2. Complete postal address (street, postal code, city, country)

APPLICANT'S INFORMATION

2.1. Legal denomination

2.2. Railway Organisation name

2.3. Acronym

2.4. Complete postal address (street, postal code, city, country)

2.5. Phone number

2.6. Email address

2.7. Website

2.8. National registration No.

2.9. VAT No.

2.10. Other information

Contact person information

3.1. Family name and first name

3.2. Complete postal address (street, postal code, city, country)

3.3. Phone number

3.4. Email address

APPLICATION DETAILS

This application is for a:

4.1. new certification ☐4.2. updated/amended certification ☐4.3. renewed certification ☐4.4. ID Number of the previous
Safety Management
Certification _____

4.5. Expected date of starting services/operations (where applicable):

IF THE APPLICANT ALREADY HOLDS A VALID SAFETY MANAGEMENT CERTIFICATION IT SHOULD PROVIDE THE FOLLOWING INFORMATION5.1. ID Number of Safety
Management Certificate _____**SUBMITTED DOCUMENTS**5.1. ☐ Summary of the manual of the SMS5.2. ☐ Information cross-referencing the SMS against CRR-CL-002, including an indication where in the SMS documentation the relevant requirements are met.5.3. ☐ Where applicable, the current status of the action plan(s) established by the RO to resolve any major non-compliance and any other area of concern identified during supervision activities since the previous assessment5.4. ☐ Where applicable, the current status of the action plan(s) established by the RO to resolve residual concerns from the previous assessment.5.5. ☐ Other (specify)Applicant: _____
(first name, family name)

Date: _____

Signature: _____

FOR SAFETY AUTHORITY USE

Internal reference number: _____

Date application received: _____

SPACE	RESERVED	FOR	THE	ADDRESSED
OFFICE/AUTHORITY				

Appendix III – Definitions of Types 1 - 4

As defined in Article 12 of (EU) 2018/763, the categorisation of issues identified during the assessment of the application shall be as follows:

Type 1 – issues that require a response from the applicant for the understanding of the application file.

Type 2 – issues that may lead to an amendment of the application file or minor action from the applicant, the action to be taken shall be left to the judgement of the applicant and shall not prevent the issuing of an SSC, SA or SMC.

Type 3 – issues that require specific action to be taken by the applicant, completion of which may be postponed until after the SSC, SA or SMC is granted; action to resolve an issue shall be proposed by the applicant and shall be agreed with the party that identified the issue.

Type 4 – issues that require an amendment of the application file or specific action to be taken by the applicant; the SSC, SA or SMC shall not be granted unless the issue is resolved, or restrictions or conditions of use are included in the certificate to address the issue; any action to resolve an issue shall be proposed by the applicant and shall be agrees with the party that identified the issue.