

A high-speed train and a tram are shown on tracks. The high-speed train is on the left, and the tram is on the right. The tram has the number 5003 on its side. The background shows a hillside with trees and a utility pole.

Project SMS (the Safety Case)

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Why a Project SMS

Changes to the existing railway and the building of new lines needs to be done safely and be legally compliant

Note:

**The basis for this presentation was prepared by
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who provides expert assistance to the CRR in the area of
authorisation to place in service**

Legal Basis for Project SMS

RSD:

- (EU) 402/2013 – REA
- (EU) 2018/762 – SMS requirements for RU/IM
- (EU) 2018/545 – Requirements Capture (mandated for vehicles, recommended for FI)

RSA:

- NWA/NRSA

How

Building a project SMS can be structured into 5 topics

1 - Safety and Compliance Planning

- **Define the project and correct APIS/ACC Case**
- **Set down policy and strategy to achieve this**
- **Set out project life-cycle phases and schedule**
- **A competent project organisation must be established**
- **State how independence and impartiality will be maintained**

- **Adjust/update plan as needed**

2 - Hazard Identification and RA

- **Determine level of significance**
- **Systematic identification of all relevant hazards (checklists, workshops, lessons learned....)**
- **Documented in the Hazard Record**
- **RA principal to (EU) 402/2013**
- **Risk evaluation**
- **Safety measures for risk control**
- **Assessment of residual risk**
- **Closure**

3 – Safety & Compliance Requirements Specification

- **Systematic identification and listing of all requirements:**
 - **Legal**
 - **Contractual/Network Access**
 - **Standards/Codes of practice**
 - **Technical**
 - **Applicant specific requirements**

- **Documented in the SCM and kept updated**

4 – V & V

Verification – confirmation through objective evidence that the specified requirements have been fulfilled – *did you meet the standard*

Validation – confirmation through objective evidence that the requirements for a specific intended use have been fulfilled – *did you pick the right standard*

Confirmation of V & V is documented in SCM

5 – Safety Case & Demonstration of Compliance

The Safety Case indicates:

Safety & compliance planning complete

No outstanding risk mitigations

V & V activities complete

The Safety Case is the output of the above methods

General

- **Documents must contain what is necessary and only that**
- **Avoid volume**
- **Do not repeat same topic in different places**
- **Self checking of documentation must be done**

