



RSC-G-030-A

Application Guide for Safety Certification/Authorisation

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Preface

Purpose

The purpose of this document is to provide guidance on applying for safety certification or authorisation.

Scope

This guideline is applicable to any RU or IM intending to apply for safety certification or authorisation.

Responsibility

The responsibility for the assessment of applications for safety certification or authorisation lies with the Principal Inspector – Safety Certification/Authorisation and Authorisation to Place in Service.

Revision History

Issue	Version	Section Number and Reason for Change

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1 Introduction

In order to operate on the railway system in the Republic of Ireland, a railway undertaking must hold a valid safety certificate (Part A and relevant Part B). The safety certificate may cover the whole network or a defined part of the network. The Part A certificate confirms acceptance of a railway undertakings safety management system in accordance with Article 9 and Annex III of Directive 2004/49/EC and Part B confirms acceptance of the provisions adopted by the railway undertaking to meet specific requirements necessary for the safe operation 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 the Republic of Ireland.

The Railway Safety Commission (RSC) issues safety certificates and safety authorisations for the railway system in the Republic of Ireland on acceptance of an application and the applicant's safety management system.

2 Requirements

The safety management system of an applicant for a safety certificate or safety authorisation must comply with Article 9 and Annex III of Directive 2004/49/EC, and all other national and European legal requirements.

In addition:

- a) The safety management system of railway undertaking must fulfil the requirements of CSM 1158/2010.
- b) The safety management system of an infrastructure manager must fulfil the requirements of CSM 1169/2010.

The application for a safety certificate or safety authorisation shall be in the format of Appendix I and Appendix II to this document.

3 Guidance

Guidance for applicants for a safety certificate or a safety authorisation is provided in RSC guideline "Guideline for the Development of an SMS for Railway Undertakings and Infrastructure Managers" (RSC-G-029).

In addition, Commission Regulation No. 653/2007 provides applicants for a safety certificate with guidance on completing their application document.

4 Application Process

Railway undertakings and infrastructure managers undergo a two-step application process with the RSC. This process consists of a pre-application phase and a formal application phase. The application process is described in RSC Procedure for: Assessing Applications for Safety Certification and Authorisation (RSC-P-002).

4.1 Pre-application Process

The pre-application process is described in RSC-P-002 as:

“The RSC welcomes engagement in a project at the early stages. This facilitates planning by the RSC in managing its resources. The pre-application process is facilitated by meetings. The size and complexity of the project will determine the number of meetings. Advantages of this step are that when the formal application is made it contains all the necessary documents and the RSC will already have commenced their review.

Once the applicant makes initial contact with the RSC a meeting is organised. At this meeting the activity that will take place prior to the formal application is discussed and a schedule of meetings agreed. The date for formal application and the date when Authorisation or Certification is expected are outlined. Using this information in order to manage deadlines, the Principal Inspector – Safety Certification/Authorisation and Authorisation to Place in Service, agrees with the lead assessor a schedule of meetings to review progress on the assessment. The requirements of Article 12 (1) of 2004/49/EC shall be complied with. The RSC shall inform applicants of issues of major concern as early as practically possible during the assessment phase.”

4.2 Formal Application Process

On submission of an application the documentation shall be assessed with regard to the criteria laid out in RSC-CL-001 and RSC-CL-002. Any deficiencies on formal aspects, or of the content that are identified, shall be communicated to the applicant. The preferred method of communication with regard to deficiencies is via a workshop or telephone call. This is to ensure the applicant fully understands the issue and allows for discussion of the options available without the need for multiple written communications and minimises delays encountered via written correspondence. However, if considered necessary, the communication can be done in writing.

5 Decision on an Application for Safety Certification or Authorisation

The RSC endeavours to make a decision on an application for a safety certificate or safety authorisation as quickly as possible. The decision will take no longer than four months after all information required, and any additional information requested by the RSC, is received by the RSC.

Appendix I – Safety Certificate Application Form



SAFETY CERTIFICATE APPLICATION

Application for Safety Certificates confirming acceptance of the railway undertaking's Safety Management System - Safety Certificate (Part A) - and/or confirming acceptance of provisions adopted by the railway undertaking to meet specific requirements necessary for safe operation on the relevant network - Safety Certificate (Part B) –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) _____

2.1 This application is for a PART A CERTIFICATE

2.2 New certificate 2.4 Updated/amended certificate

2.3 Renewed certificate 2.5 EU Identification Number of the previous Part A Certificate _____

Type(s) of service(s) requested (select one or more) and estimated total volume of goods/passengers

Passenger transport	2.6 including high-speed services	<input type="checkbox"/>	2.8 Less than 200 million passenger-km per year	<input type="checkbox"/>
	2.7 excluding high-speed services	<input type="checkbox"/>	2.9 200 million or more passenger-km per year	<input type="checkbox"/>
Freight transport	2.10 including dangerous goods services	<input type="checkbox"/>	2.12 Less than 500 million tonne-km per year	<input type="checkbox"/>
	2.11 excluding dangerous goods services	<input type="checkbox"/>	2.13 500 million or more tonne-km per year	<input type="checkbox"/>
2.14 Shunting only	<input type="checkbox"/>			
2.15 Service to begin in	_____			

The applying railway undertaking belongs to the following categories for estimated number of employees

2.16 Micro enterprise 2.18 Medium sized enterprise

2.17 Small enterprise 2.19 Large enterprise

3.1 This application is for a PART B CERTIFICATE

3.2 New certificate

3.4 Updated/amended certificate

3.3 Renewed certificate

3.5 EU Identification Number of the previous Part B Certificate _____

Type(s) of service(s) requested and estimated volume of goods/passengers on the network where Part B will apply (one or more to be selected)

Passenger transport	3.6 including high-speed services	<input type="checkbox"/>	3.8 Less than 200 million passenger-km per year	<input type="checkbox"/>
	3.7 excluding high-speed services	<input type="checkbox"/>	3.9 200 million or more passenger-km per year	<input type="checkbox"/>

Freight transport	3.10 including dangerous goods services	<input type="checkbox"/>	3.12 Less than 500 million tonne-km per year	<input type="checkbox"/>
	3.11 excluding dangerous goods services	<input type="checkbox"/>	3.13 500 million or more tonne-km per year	<input type="checkbox"/>

3.14 Shunting only

3.15 Service to begin in _____

3.16 Lines intended to be operated:

If the applicant already holds a valid Part A Certificate (acceptance of the Safety Management System) it should provide the following information:

3.17 EU Identification Number of Safety Certificate – Part A _____

3.18 State that has issued the Safety Certificate – Part A _____

IF THE APPLICANT ALREADY HOLDS ONE (OR MORE) VALID PART B CERTIFICATE(S) IT SHOULD PROVIDE THE FOLLOWING INFORMATION:

4.1 EU Identification Number(s) of issued _____

Safety Certificate(s) – Part B _____

IF THE APPLICANT HAS A LICENCE AND IS APPLYING FOR PART A AND/OR PART B CERTIFICATE(S) IT SHOULD PROVIDE THE FOLLOWING INFORMATION:

4.2 EU Notification Number of the Licence _____

4.3 State that has issued the Licence _____

APPLICANT'S INFORMATION

- 2.1. Legal denomination _____
- 2.2. Railway undertaking name _____ 2.3. Acronym _____
- 2.4. Complete postal address
(street, postal code,
city, country) _____
- 2.5. Phone number _____ 2.6. Fax number _____
- 2.7. Email address _____ 2.8. Website _____
- 2.9. National registration
number _____ 2.10. VAT No _____
- 2.11. 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. Fax number _____
- 3.5. Email address _____

Applicant _____
(first name, family name)

Date _____

Signature _____

Internal reference number _____

Date application received _____

SPACE RESERVED FOR THE ADDRESSED
OFFICE/AUTHORITY

Documents submitted for:

PART A

- 7.1 Summary of the manual of the Safety Management System as referred to in Art. 9 and Annex III of Directive 2004/49/EC
- 7.2 Copy of the Licence (if applicable) 7.3 Not applicable

PART B

- 8.1 Copy of the Part A Certificate
- 8.2 Copy of the Licence (if applicable) 8.3 Not applicable
- 8.4 Copy of insurance or financial cover for liability, annexed to the Licence
- 8.5 List of necessary rules and TSI's with reference to the processes in the Safety Management System and documents how they are implemented
- 8.6 List of different categories of staff, either employed or contracted
- 8.7 Description of staff related processes of the Safety Management System required by national rules or TSI's and reference to the national relevant certificates where necessary
- 8.8 List of different types of rolling stock
- 8.9 Description of rolling stock related processes in the Safety Management System required by national rules or TSI's and reference to the national relevant certificates where necessary
- 8.10 Other (specify)
- 8.11 Particulars of financial fitness as referenced in Annex 1 Directive 95/18/EC

Appendix II – Safety Authorisation Application Form



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. Fax number

2.7. Email address

2.8. Website

2.9. National registration number

2.10. VAT No

2.11. 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. Fax number

3.5. 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

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

4.6. Micro
enterprise

4.8. Medium sized
enterprise

4.7. Small
enterprise

4.9. 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. Other (specify)

Applicant _____

(first name, family name)

Date _____

Signature _____

Internal reference number

Date application received _____

SPACE RESERVED FOR THE ADDRESSED
OFFICE/AUTHORITY