Pursuant to Article 2 paragraph 2, relating to Article 7 paragraph 1, point 2) and Article 14, paragraph 9 of the Railway Safety Law (”Official Gazette of the RS”, No 41/18),

the Acting Director of the Directorate for Railways has adopted

**RULEBOOK ON COMMON SAFETY METHODS FOR ASSESSING CONFORMITY WITH THE REQUIREMENTS FOR OBTAINING A SAFETY AUTHORISATION OR SAFETY CERTIFICATE AND ON ELEMENTS OF THE SAFETY MANAGEMENT SYSTEM**

Article1

This rulebook sets out common safety methods for assessing conformity with the requirements for obtaining a safety authorisation and safety certificate, as well as on elements of the safety management system.

Article 2

The common safety method for assessing conformity with the requirements for obtaining a safety authorisation for management of railway infrastructure, i.e. infrastructure of industrial railways, includes:

1) a procedure for assessing applications by infrastructure managers (hereinafter referred to as: manager), i.e. by the owner of an industrial railway, for obtaining a safety authorisation for management of railway infrastructure, i.e. safety authorisation for management of infrastructure of industrial railways;

2) criteria for assessing compliance with the requirements for obtaining a safety authorisation for management of railway infrastructure in the part confirming the acceptance of the safety management system of the infrastructure manager and in the part confirming the acceptance of the provisions adopted by the infrastructure manager in order to meet the specific requirements necessary for the safe design, maintenance and operation of the infrastructure, ie the criteria and for assessing the compliance with the requirements for obtaining a safety authorisation of management of industrial railways;

3) principles for supervision compliance with the requirements to be fulfilled by the safety management system after a safety authorisation has been granted.

Article 3

Following the reception of an application for a safety authorisation for management of railway infrastructure or safety authorisation for management of infrastructure of industrial railways, according to the procedure given in Annex 1, which is attached to this rulebook and forms its integral part – Procedure for assessing the conformity with the requirements for obtaining a safety authorisation for management of railway infrastructure, i.e. safety authorisation for management of infrastructure of industrial railways, the level of compliance with the requirements set out by the law regulating safety of railways and relating to the issue of safety authorisations for management of railway infrastructure, i.e. infrastructure of industrial railways, shall be assessed.

Article 4

Criteria for assessing the fulfilment of the requirements for issuing safety authorisations for railway infrastructure management in the part confirming the acceptance of the safety management system of the infrastructure manager are given in Annex 2 - Criteria for assessing the fulfilment of the requirements for issuing safety authorisations for railway infrastructure management in the part confirming acceptance of the safety management system of an infrastructure manager and elements of the safety management system of an infrastructure manager, which is printed together with this Rulebook and forms an integral part thereof (hereinafter: Annex 2)

Article 5

The elements of the safety management system of an infrastructure manager are given in Annex 2.

Article 6

Criteria for assessing the fulfilment of the requirements for issuing safety authorisations for railway infrastructure management in the part confirming the acceptance of the provisions adopted by the infrastructure manager to meet the specific requirements for safe design, maintenance and operation of infrastructure, i.e. criteria for assessing the fulfilment of requirements for issuing safety authorisations for management of industrial railway infrastructure, are given in Annex 3 - Criteria for assessing the fulfilment of requirements for issuance of safety authorisations for railway infrastructure management in the part confirming the acceptance of provisions adopted by the infrastructure manager to meet specific requirements for safe design, maintenance and exploitation of infrastructure, i.e. for the assessment of the fulfilment of the requirements for the issuance of safety authorisations for the management of the infrastructure of industrial railways, which is printed together with this Rulebook and forms an integral part thereof.

Article 7

The criteria from Articles 4 and 6 of this rulebook shall also be applied in the procedure of renewal of a safety authorisation for management of railway infrastructure, i.e. safety authorisation for management of the infrastructure of industrial railways.

Article 8

Products or services provided by contractors or suppliers to applicants for a safety authorisation for management of railway infrastructure i.e. safety authorisation for management of the infrastructure of industrial railways shall be presumed to conform to safety requirements if the contractors, suppliers or products are certified in accordance with the applicable rules.

Article 9

The common safety method for assessment of conformity with the requirements for obtaining a safety certificate includes:

1) a procedure for assessing applications by railway undertakings and owners of industrial railways for safety certificates;

2) criteria for assessment of compliance with the requirements for issue of safety certificates Part A and Part B;

3) principles for supervision compliance with the requirements to be fulfilled by the safety management system after a safety certificate has been granted.

Article 10

Following the reception of an application for a safety certificate Part A or Part B, the level of compliance with the requirements set out by the law regulating safety of railways and relating to the issue of safety certificates shall be checked according to the procedure given in Annex 4 – Procedure for assessment of compliance with the requirements regarding the issuance of safety certificates, which is attached to this rulebook and forms its integral part.

Article 11

A safety certificate Part A shall be issued to a railway undertaking according to the criteria for assessing the compliance with the requirements for issue of safety certificates Part A given in Annex 5 – Criteria for assessment of fulfilment of requirements for issue of safety certificates Part A and elements of the safety management system of a railway undertaking, which is attached to this rulebook and forms its integral part (hereinafter: Annex 5).

Article 12

The elements of the safety management system of a railway undertaking are given in Annex 5.

Article 13

A safety certificate Part B shall be issued to a railway undertaking, i.e. a safety certificate shall be issued to the owner of industrial railway, according to the criteria for assessing the compliance with the requirements for issue of safety certificates given in Annex 6 – Criteria for assessment of fulfilment of requirements for issue of safety certificates Part B to a railway undertaking and to an owner of industrial railways, which is attached to this rulebook and forms its integral part.

Article 14

The criteria from Article 11 and 13 of this rulebook shall also be applied during the procedure of renewal of a safety certificate.

Article 15

Products or services provided by contractors or suppliers to railway undertakings shall be presumed to conform to safety requirements if the contractors, suppliers or products are certified in accordance with the applicable rules.

Article 16

After granting a safety certificate or safety authorisation compliance with the requirements which must be fulfilled by the safety management system of the holder of a certificate or authorisation shall be supervised according to the principles given in Annex 7 – Principles of supervision after issuance of a safety certificate or safety authorisation, which is attached to this rulebook and forms its integral part.

Article 17

On the day this Rulebook enters into force, the Rulebook on Common Safety Methods for Assessing Conformity with the Requirements for Obtaining a Safety Authorisation or Safety Certificate and on Elements of the Safety Management System ("Official Gazette of RS", No. 71/15) shall cease to be valid.

Article 18

This rulebook enters into force on the eighth day from the day of its publication in the ”Official Gazette of the Republic of Serbia”.

No 340-327/2021

In Belgrade, 27 March 2021 Acting Director

Lazar Mosurović

Annex 1.

**Procedure for assessing conformity with requirements for issuing safety authorisations for management of railway infrastructure, i.e. safety authorisations for management of infrastructure of industrial railways**

1. The procedure applied to assess the conformity with the requirement for issuing safety authorisations shall be built upon:

а) Setting up and reviewing the assessment process:

The assessment of conformity with the requirements for issuing safety authorisations shall be done according to the criteria for assessment of the safety management system given in Annex 2 of this rulebook. All decisions shall be documented and justified. The assessment process shall be regularly internally reviewed and continuously improved to secure its continued effectiveness and efficiency;

б) Quality of the assessment process:

The quality of performance shall be monitored especially at key stages in the processing of applications for safety authorisations;

в) Scope of the assessment:

The assessment shall be done at management-system level and in accordance with the procedure set out by this annex. Where the checks reveal shortcomings, depending on the nature and seriousness of the non-conformity, points which need to be enhances may be outlined. The application may also be rejected.

The assessment shall be:

– appropriate to the risks, character and extent of operation of the applicant,

– based on judgments of the infrastructure manager’s overall ability to guarantee safe operation as described in its safety management system;

г) Timing of the assessment:

A decision on the application shall be adopted at the latest four months following the submission of the necessary documentation, as well as additional information requested, whilst ensuring that the evidence provided by the applicant is sufficiently examined.;

д) Decision making during the assessment:

A decision to accept or reject an application for a safety authorisation shall be based on the documentation provided by the applicant and on whether the compliance with the relevant requirements has been shown or not.

2. It shall be checked if the application for a safety authorisation has been submitted using the prescribed application form.

3. It shall be assessed especially whether the attached summary of the safety management system allows a judgment on the quality and appropriateness of the safety management system and it shall be decided in which areas further information is necessary and the issuing authority may seek as much detailed information as it deems reasonably necessary to help the assessment of the application.

4. When granting safety authorisations, compliance of the applicant’s safety management system with the assessment criteria shall be documented in relation to each assessment criterion.

5. When identifying a point of query or possible non-compliance, the issuing authority shall be specific and help the applicant to understand the level of detail expected in the response. To do this it shall:

а) refer accurately to the relevant criterion and ensure that the applicant has understood clearly the identified areas of non-compliance;

b) identify the relevant part of related regulations and/or standards;

c) state why the assessment criterion is not met;

d) determines further actions, information and any supporting evidence to be provided, as required by the level of detail of the criterion and specify both the action required by the application to rectify the deficiency and the timeframe for compliance;

e) specify areas which could be subject to further scrutiny through supervision after the award of the authorisation.

Annex 2

**Criterion for assessing the fulfilment of the requirements for the issuance of safety authorisations for railway infrastructure management in the part confirming the acceptance of the safety management system of an infrastructure manager and elements of the safety management system of an infrastructure manager**

The criterion for assessing conformity with the requirements for issuing safety authorisations for management of railway infrastructure in the part confirming the acceptance of the safety management system of an infrastructure manager represents an assessment of whether the following elements of the safety management system of the infrastructure management are documented:

**1. Risk control measures for all risks associated with the activity of the infrastructure manager, which include:**

1.1 Procedures to identify risks associated with railway operations, including those directly arising from work activities, described jobs or workload and the activities of other organisations i.e. persons,

1.2 Procedures to develop and put in place risk control measures,

1.3 Procedures to monitor the effectiveness of risk control arrangements and to implement changes when required,

1.4 Procedures to recognise the need to work together with other entities (such as railway undertakings, manufacturer, rail infrastructure maintenance supplier, workshops for maintenance of vehicles, entity in charge of maintenance, railway vehicle keeper, service provider and procurement entity) on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures,

1.5 Procedures for agreed documentation and communication with the relevant entities, including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges,

1.6 Procedures to monitor the effectiveness of these measures and to implement changes when required.

**2. Risk control related to the supply of maintenance and material, which includes:**

2.1 Procedures to derive maintenance requirements, standards and processes from safety data and purpose of rolling stock,

2.2 Procedures to adapt maintenance intervals according to the type and extent of service performed,

2.3 Procedures to ensure that the responsibility for maintenance is clearly defined to identify the competencies required for maintenance posts and to allocate appropriate levels of responsibility,

2.4 Procedures to collect information on malfunctions and defects arising from day-to-day operation and to report them to those responsible for maintenance,

2.5 Procedures to identify and report risks arising from defects, construction non-conformities or malfunctions throughout the lifecycle to interested parties (manufacturers, contractors and sub-contractors, material suppliers, etc),

2.6 Procedures to verify and control the performance and results of maintenance to ensure that they comply with the standards of the infrastructure manager.

**3. Risk control related to the use of contractors and control of suppliers, which includes:**

3.1 Procedures to verify the competence of contractors (including subcontractors) and suppliers,

3.2 Procedures to verify and control the safety performance and results of all contracted services and products supplied either by the contractor or supplier to ensure that they comply with the requirements set out in the contract,

3.3 Responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties,

3.4 Procedures to ensure traceability of safety-related documents and contracts,

3.5 Procedures to ensure that safety tasks, including the exchange of safety-related information, are performed by the contractors or the suppliers according to relevant requirements set out in the contract.

**4. Risks arising from the activities of other parties external to the railway system, which include:**

4.1 Procedures to identify potential risks from parties external to the railway system where appropriate and reasonable,

4.2 Procedures to establish control measures to mitigate the risks identified under point 4.1 of this Annex insofar as the responsibilities of the applicant are concerned,

4.3 Procedures to monitor the effectiveness of the measures identified under point 4.2. of this Annex and implement changes where appropriate.

**5. Documentation of the safety management system, which includes:**

5.1 Description of the activity that makes clear the type, extent and risk of operation,

5.2 Description of the structure of the safety management system, including the allocation of roles and responsibilities,

5.3 Description of safety management system procedures, consistent with the type and extent of services operated,

5.4 Brief description of safety-critical processes and tasks relevant to the type of activity i.e. service.

**6. Distribution of responsibilities, which includes:**

6.1 Description of how coordination of safety management system activities across the organisation is ensured, based on proven knowledge and lead responsibility at management level,

6.2 Procedures to ensure that staff with delegated responsibilities within the organisation has the authority, competence and appropriate resources to fulfil their duty,

6.3 Clearly defined safety-related areas of responsibility and the distribution of responsibilities to specific functions associated with them, together with their interfaces,

6.4 Procedure to ensure that safety tasks are clearly defined and delegated to staff with appropriate competence.

**7. Securing control by the management on different levels, which includes:**

7.1 Description of how responsibilities are allocated for each safety-related process throughout the organisation of the infrastructure manager,

7.2 Procedure for regular monitoring of task performance assured by the line management chain that must intervene if the tasks are not being properly performed,

7.3 Procedures to identify and manage the impact of other management activities on the safety management system,

7.4 Procedures to hold the staff with a role in the management of safety accountable for their performance,

7.5 Procedures to allocate resources to deliver the tasks under the safety management system.

**8. Involving staff and their representatives on all levels, which includes:**

8.1 Procedures to ensure that staff and staff representatives are adequately represented and consulted in defining, proposing, reviewing and developing the safety aspects of operational procedures that may involve staff.

8.2 Documented arrangements of staff involvement and consultation.

**9. Ensuring continuous improvement, which includes:**

Procedures to ensure, where reasonably practicable, the continuous improvement of the safety management system. These shall include:

а) Procedures for periodic reviews of the safety management system, as found to be necessary;

b) Procedures for describing arrangements to monitor and analyse relevant safety data;

c) Procedures for describing how identified inconsistencies are eliminated;

d) Procedures for describing the implementation of new safety management rules based on development and lessons learnt;

e) Procedures for describing how internal audit findings are used to bring about improvement in the safety management system.

**10. Safety policy which is:**

а) communicated and made available to all staff;

б) appropriate to the type and extent of service;

в) approved by the organisation’s chief executive.

**11. Qualitative and quantitative targets of the organisation for maintaining and enhancing safety and plans and procedures for reaching these targets, which include:**

11.1 Procedures to determine relevant safety targets in line with the legal framework, and there is a single document stating these targets,

11.2 Procedures to determine relevant safety targets consistent with the type and extent of the railway operations covered and the relevant risks,

11.3 Procedures to regularly assess overall safety performance in relation to the organisation's corporate safety targets and to those established at the level of the Republic of Serbia by;

11.4 Procedures to regularly monitor and check exploitation measures by:

а) collecting relevant safety data to derive trends in safety performance and assess compliance with targets;

b) interpreting relevant data and implementing necessary changes,

11.5 Procedures of the infrastructure manager to develop plans for reaching its targets.

**12. Procedures to meet existing, new and altered technical or operational rules or other prescriptive conditions, which include:**

12.1 Procedures concerning safety-related requirements, depending on the type and extent of operations, for:

а) identifying these requirements and updating relevant procedures to reflect changes made to them;

b) implementing them;

c) monitoring compliance with them;

d) taking action when non-compliance is identified,

12.2 Procedures to ensure that the right staff, procedures, specific documents, equipment and rolling stock are used for the purpose intended,

12.3 Procedures to ensure that maintenance is carried out according to the relevant requirements.

**13. Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or operation, which include:**

13.1 Procedures for management of changes in equipment, procedures, organisation, number of employees or interfaces,

13.2 Risk assessment procedures to manage changes and to apply the CSM on risk evaluation and assessment, when required,

13.3 Procedure to introduce the results of risk assessment into other processes within the organisation and make them clear for the relevant staff.

**14. Provision of staff training programs and procedures to ensure that staff competence is maintained and that tasks are carried out accordingly and that there are:**

14.1 Staff competence management system that includes particularly:

а) identification of the knowledge and skills required for safety-related tasks;

b) selection principles (basic educational level, mental aptitude and physical fitness required);

c) initial training and certification of acquired competence and skills;

d) on-going training and periodic update of existing knowledge and skills;

e) periodic checks of competence where appropriate;

f) special measures in case of accidents or incidents or long absence from work;

g) specific safety management system training for staff directly involved in ensuring that the safety management system works,

14.2 Procedures within the staff competence management system providing for:

а) the identification of posts that perform safety tasks;

b) the identification of posts that entail responsibilities for taking operational decisions within the safety management system;

c) staff to have the necessary knowledge, skills and aptitude (psychological and physical) appropriate to their tasks and periodically undergo retraining;

d) allocating staff with the competence appropriate to relevant tasks;

e) monitoring how tasks are performed and implementing corrective actions where required.

**15. Arrangements for the provision of sufficient information within the organisation of the infrastructure manager and, where appropriate, between organisations operating on the same infrastructure, which include:**

15.1 Procedures to ensure that:

а) staff have knowledge and understanding of the safety management system and information is easily accessible;

б) appropriate documentation on the safety management system is given to relevant staff.

15.2 Procedures to ensure that:

а) key operational information is relevant and valid;

b) staff are aware of its existence before it is applied;

c) information is available to staff and where required copies are formally given to them,

15.3 Arrangements for the sharing of information between the infrastructure manager and railway undertakings.

**16. Procedures and formats for documenting safety information and designation of a procedure for the quality control of the elements of important safety information, which include:**

16.1 Procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated, and duly documented.

16.2 Procedures to

а) format, generate, distribute and manage control of changes to all relevant safety documentation;

b) receive, collect and store all relevant documentation or information on paper or by other registration systems,

16.3 Procedures to control the configuration of important safety information.

**17. Procedures to ensure that accidents, near misses and other dangerous occurrences affecting safety of railway transport are reported, investigated and analysed and that necessary preventive measures are taken, which include:**

17.1 Procedures to ensure that accidents, near misses and other dangerous occurrences affecting safety of railway transport:

а) are reported, logged, investigated and analysed;

б) are reported to the competent authorities in accordance with the applicable rules.

17.2 Procedures to ensure that:

а) recommendations from the Directorate, from the Centre for Traffic Accident Investigation, from manufacturers and from internal investigations are evaluated and implemented if appropriate of mandated;

б) relevant reports/information from other railway undertakings, infrastructure managers, entities in charge of maintenance and railway vehicle keepers are considered and taken into account,

17.3 procedures for relevant information relating to the investigation and causes of accidents, near misses, and other dangerous occurrences affecting railway transport to be used to learn and, where required, to adopt preventive measures.

**18. Provision of plans for action and alerts and information in case of emergency, agreed upon with the appropriate public authorities, which includes:**

18.1 A document which identifies all types of emergency, including degraded traffic circumstances, and which contains the procedures for identifying new types of emergencies;

18.2 Procedures to ensure that, for each identified type of emergency:

а) the emergency services can be promptly contacted;

b) the emergency services are provided with all relevant information both in advance, to prepare their emergency response, and at the time of an emergency,

18.3 A document which defines and explains the roles and responsibilities of all parties,

18.4 Plans for action, alerts and information which include:

а) procedures to alert all staff with responsibility for emergency management;

b) arrangements to communicate these to all parties, including emergency instructions for passengers;

c) arrangements for contacting competent staff immediately so they can take any decisions required,

18.5 Document describing how resources and means have been allocated and how training requirements have been identified,

18.6 Procedures to re-establish normal operating conditions as soon as possible,

18.7 Procedures for testing emergency plans in cooperation with other parties to train staff, test procedures, identify weak points and manner of management in case of potential emergency situations ,

18.8 Procedures to coordinate emergency plans with railway undertakings which operate on the organisation’s infrastructure and any other infrastructure with which it has an interface,

18.9 Procedure to halt operations and railway traffic promptly, if necessary, and to inform all interested parties of the action taken.

**19. Provisions for recurrent internal auditing of the safety management system, which include:**

19.1 Internal auditing system which is independent and impartial and which acts in a transparent way,

19.2 There is a schedule of planned internal audits which can be revised depending on the results of previous audits and monitoring of performance,

19.3 Procedures to identify and select suitably competent auditors,

19.4 Procedures to:

а) analyse and evaluate the results of the audits;

б) recommend follow-up measures;

в) follow up the effectiveness of measures;

г) document the execution of audits and the results of audits,

19.5 Procedures to ensure that senior levels of the management chain are aware of the results of audits and take overall responsibility for implementation of changes to the safety management system,

19.6 Document showing how audits are planned in relation to routine monitoring arrangements to ensure compliance with internal procedures and standards.

Annex 3

**Criteria for assessing conformity with requirements for issuing safety authorisation in the part confirming the acceptance of the provisions adopted by the infrastructure manager in order to meet specific requirements necessary for safe design, maintenance and exploitation of infrastructure i.e. for assessing conformity with requirements for issuing a safety authorisation for management of infrastructure of industrial railways**

The criteria for assessing conformity with requirements for issuing safety authorisation in the part confirming the acceptance of the provisions adopted by the infrastructure manager in order to meet specific requirements necessary for safe design, maintenance and exploitation of infrastructure i.e. for assessing conformity with requirements for issuing a safety authorisation for management of infrastructure of industrial railways are:

**1. Safe design of the railway infrastructure, which includes:**

1.1 Procedures to ensure the safe design of the infrastructure throughout the life-cycle of the infrastructure, covering design and installation,

1.2 Procedures which take into account technical change of the infrastructure and the management of that change,

1.3 procedures which show that relevant rules covering the design of the infrastructure have been identified and that the applicant can comply with them.

**2. Safe operation of the infrastructure, which includes:**

2.1 Procedures to ensure that the infrastructure is managed and operated safely, taking into account the number, type and extent of operators running services on the network including all necessary interactions depending on the complexity of the operation,

2.2 Procedures which show how safety is managed at the physical and/or operational borders of the infrastructure (border between the competences of two infrastructure managers),

2.3 Procedures which show how effective cooperation and coordination is managed, both in normal and emergency situations,

2.4 Procedures which show that rules covering the safe operation and management of infrastructure/vehicle interfaces have been identified and that the applicant can comply with them.

**3. Maintenance and material supply, which includes:**

3.1 Procedures to ensure that maintenance of the infrastructure is undertaken safely, including clear management control and documented audit and inspection,

3.2 Procedures which ensure that the maintenance of the infrastructure meets the specific needs of the network,

3.3 Procedures which show that rules covering the supply of maintenance and material have been identified and that the applicant can comply with them.

**4. Maintenance and operation of the traffic control and signalling system, which includes:**

4.1 Procedures to ensure that the traffic control and signalling system is operated and maintained so as to ensure the safe operation of the railway,

4.2 Procedures to comply with existing, new and altered technical and operational standards,

4.3. Procedures which set out how safety is managed at the physical and/or operational borders of the traffic control and signalling system, including how cooperation, if necessary, is managed,

4.4 Procedures which show that rules covering the safe operation and maintenance of the traffic control and signalling system have been identified and that the applicant can comply with them.

Annex 4

**Procedure for assessing conformity with the requirements for issuing railway safety certificates**

1. The procedure put in place to receive and assess the conformity of applications for issuing a safety certificate with the requirements shall be based on:

а) Assessment process and its review:

The assessment of conformity with the requirements shall be conducted according to the assessment criteria for safety management systems set out in Annexes 5 and 6 of this rulebook. All decisions shall be documented and explained. The assessment process shall be periodically internally reviewed and continuously improved to secure its continued effectiveness and efficiency;

б) Quality of the assessment process:

The quality of the performance shall be monitored at key stages in the processing of applications for safety certificates;

в) Scope of the assessment:

The assessment shall be conducted at the level of the safety management system and in accordance with the procedure described in this Annex. Where assessment reveals shortcomings, depending on the nature and seriousness of the non-conformity, the points which need to be enhanced shall be outlined. The application may also be rejected.

The assessment shall be:

– appropriate to the risks, character and extent of operations of the applicant,

– based on judgments of the railway undertaking’s overall ability to guarantee safe operation as described in its safety management system;

г) Timing of the assessment:

A decision on the application shall be adopted at the latest within four months from the submission of the necessary documentation, as well as complementary information requested, and it shall ensure that the documentation provided by the applicant is sufficiently examined;

д) Decision making during the assessment:

A decision to accept or reject an application for a safety certificate shall be based on the evidence provided by the applicant and on whether compliance with the relevant requirements has been shown or not.

2. It shall be checked whether the application for a safety certificate has been submitted using the prescribed format.

3. It shall be particularly assessed whether the attached summary of the safety management system manual allows an initial judgment on the quality and appropriateness of the safety management system and shall decide in which areas further information is necessary and the applicant may be requested to provide as much detailed information as it deems reasonably necessary to help its assessment of the application.

4. When granting a safety certificate, compliance of the applicant’s safety management system with the assessment criteria shall be documented in relation to each assessment criterion.

5. When identifying a point of query or possible non-compliance, this shall be specifically explained in order to help the applicant to understand the level of detail expected in the response. To do this the issuing authority shall:

а) refer accurately to the relevant criteria and ensure that the applicant has understood clearly the identified areas of non-compliance;

б) identify the relevant part of related regulation and/or standard;

в) state why the assessment criterion is not met;

г) determine further actions, information and any supporting evidence to be provided, as required by the level of detail of the criterion, and specify both the action required by the applicant to rectify the deficiency and the timeframe for compliance;

д) specify areas which could be subject to further scrutiny through supervision after the award of the certificate.

6. If a railway undertaking applies for both Part A and Part B safety certificates at the same time, the national safety authority shall ensure that the Part A certificate is granted first or that both certificates are granted together.

7. The assessment procedure for issuing a safety certificate Part B included only the ability of the railway undertaking, i.e, owner of the industrial railway, to comply with the requirements needed to operate on the specific network for which it is seeking a certificate.

8. The assessment criteria are based on showing that the results of applying the procedures or processes to manage operation on a specific network have been documented and the commitment to implement them has been made. In order to check whether the criteria have been met, the national safety authority may request that the railway undertaking submit a sample of the documentation it plans to use.

9. The issuing authority shall cooperate with other national safety authorities to address issues of non-compliance with the Part B assessment criteria or to deal with queries on the Part B application. When assessing a Part B application submitted by a railway undertaking from another country, the issuing authority shall liaise with the national safety authority that issued Part A to discuss and agree what action, if any, each one will take to ensure compliance with the Part B assessment criteria.

Annex 5

**Criteria for assessing conformity with the requirements for issuing safety certificates Part A and element of the railway undertaking’s safety management system**

The criteria for assessing conformity with the requirements for issuing safety certificates Part A represent an assessment whether the following elements of the railway undertaking’s safety management system exist and are documented:

**1. Risk control measures for all risks associated with the activity of the railway undertaking, which include:**

1.1 Procedures to identify risks associated with railway operations, including those directly arising from work activities, job design or workload and the activities of other organisations i.e. persons,

1.2 Procedures to develop and put in place risk control measures,

1.3 Procedures to monitor the effectiveness of risk control arrangements and to implement changes when required,

1.4 Procedures to recognise the need to work together with other entities (such as the infrastructure manager, railway undertakings, the manufacturer, the maintenance supplier, the entity in charge of maintenance, the railway vehicle keeper, the service provider and the procurement entity), where appropriate, on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures,

1.5 Procedures for agreed documentation and communication with the relevant entities including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges,

1.6 Procedures to monitor the effectiveness of these measures and to implement changes when required.

**2. Risk control related to the supply of maintenance and material, which includes:**

2.1 Procedures to derive maintenance requirements, standards and processes from safety data and from the assignment of rolling stock,

2.2 Procedures to adapt maintenance intervals according to the type and extent of service performed and/or data from rolling stock,

2.3 Procedures to ensure that the responsibility for maintenance is clearly defined, to identify the competencies required for maintenance posts and to allocate appropriate levels of responsibility,

2.4 Procedures to collect information on malfunctions and defects arising from day-to-day operation and to report them to those responsible for maintenance,

2.5 Procedures to identify and report risks arising from defects and construction non-conformities or malfunctions throughout the lifecycle to interested parties (manufacturers, contractors and subcontractors, suppliers of material, etc),

2.6 Procedures of verification and control of the maintenance services and their results to ensure that they comply with the standards of the railway undertaking.

**3. Risk control related to the use of contractors and control of suppliers, which includes:**

3.1 Procedures to verify the competence of contractors (including subcontractors) and suppliers.

3.2 Procedures to verify and control the level of safety and results of all contracted services and products supplied either by the contractor or supplier to ensure that they comply with the requirements set out in the contract,

3.3 Responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties,

3.4 Procedures to ensure traceability of safety-related documents and contracts,

3.5 Procedures to ensure that safety tasks, including the exchange of safety-related information, are performed by the contractors or the supplier according to relevant requirements set out in the contract.

**4. Risks arising from the activities of other parties external to the railway system, which includes:**

4.1 Procedures to identify potential risks from parties external to the railway system where appropriate and reasonable,

4.2 Procedures to establish control measures to mitigate the risks identified under point 4.1 of this Annex insofar as the responsibilities of the applicant are concerned,

4.3 Procedures to monitor the effectiveness of the measures identified under point 4.2. of this Annex and implement changes where appropriate.

**5. Documentation of the safety management system, which includes**

5.1 Description of the activity that makes clear the type, extent and risk of operation,

5.2 Description of the structure of the safety management system, including the allocation of roles and responsibilities,

5.3 Description of the structure of the safety management system, including the allocation of roles and responsibilities, which comply with the type and extent of the operation services,

5.4 Brief description of safety-critical processes and tasks relevant to the type of activity i.e. service.

**6. Distribution of responsibilities, which includes:**

6.1 Description of how coordination of safety management system activities across the organisation is ensured, based on proven knowledge and lead responsibility at management level,

6.2 Procedures to ensure that staff with delegated responsibilities within the organisation has the authority, competence and appropriate resources to fulfil their duty,

6.3 Clearly defined safety-related areas of responsibility and the distribution of responsibilities to specific functions associated with them, together with their interfaces,

6.4 Procedure to ensure that safety tasks are clearly defined and delegated to staff with appropriate competence.

7. Securing control by the management on different levels, which includes:

7.1 Description of how responsibilities are allocated for each safety-related process throughout the organisation of the railway undertaking,

7.2 Procedure for regular monitoring of task performance assured by the line management chain that must intervene if the tasks are not being properly performed,

7.3 Procedures to identify and manage the impact of other management activities on the safety management system,

7.4 Procedures to hold the staff with a role in the management of safety accountable for their performance,

7.5 Procedures to allocate resources to deliver the tasks under the safety management system.

**8. Involving staff and their representatives on all levels, which includes:**

8.1 Procedures in place to ensure that staff and staff representatives are adequately represented and consulted in defining, proposing, reviewing and developing the safety aspects of operational procedures that may involve staff,

8.2 Documented staff involvement and consultation arrangements.

**9. Ensuring continuous improvement, which indludes:**

**Procedures which guarantee that the safety management system is continuously improved where reasonably practicable. These shall include:**

а) procedures for periodic reviews of the safety management system, as found to be necessary;

b) procedures for describing arrangements to monitor and analyse relevant safety data;

c) procedures for rectifying the identified inconsistencies;

d) procedures for describing the implementation of new safety management rules based on development and lessons learnt;

e) procedures for describing how internal audit findings are used to bring about improvement in the safety management system.

**10. Safety policy which is:**

а) communicated and made available to all staff (e.g. via the organisation’s intranet);

б) appropriate to the type and extent of service;

в) approved by the organisation’s chief executive.

**11. Qualitative and quantitative targets of the organisation for maintaining and enhancing safety and plans and procedures for reaching these targets, which include:**

11.1 Procedures to determine relevant safety targets in line with the legal framework, and a document stating these targets,

11.2 Procedures to determine relevant safety targets consistent with the type and extent of the railway operations covered and the relevant risks,

11.3 Procedures to regularly assess overall safety performance in relation to the organisation’s corporate safety targets and to the common safety targets established for the Republic of Serbia,

11.4 Procedures to regularly monitor and review operational arrangements by:

а) collecting relevant safety data to derive trends in safety performance and assess compliance with targets;

b) interpreting relevant data and implementing necessary changes,

11.5 Procedures in place by the railway undertaking to develop plans and procedures for reaching its targets.

**12. Procedures to meet existing, new and altered technical or operational rules or other prescriptive conditions, which include:**

12.1 Procedures related to safety requirements depending on the type and extent of operations for:

а) identifying these requirements and updating relevant procedures to reflect changes made to them;

b) implementing them;

c) monitoring compliance with the requirements;

d) taking actions when non-compliance is identified,

12.2 Procedures to ensure that the right staff, procedures, necessary rules and forms, equipment and rolling stock are used for the purpose intended,

12.3 Procedures to ensure that maintenance is carried out according to the relevant requirements.

**13. Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or on operation, which include:**

13.1 Procedures for management of changes in equipment, procedures, organisation, staffing or interfaces.

13.2 Risk assessment procedures to manage changes and to apply the common safety method on risk evaluation and assessment, when required,

13.3 Procedures to feed the results of risk assessment into other processes within the organisation and make them visible to relevant staff.

**14. Staff training programmes and systems to ensure that the staff competence is maintained and tasks carried out accordingly and that there is:**

14.1 Staff competence management system that includes particularly:

а) identification of the knowledge and skills required for safety related tasks;

b) selection criteria (basic educational level, mental aptitude and physical fitness required);

c) initial training and certification of acquired competence and skills;

d) on-going training and periodical update of existing knowledge and skills;

e) periodic checks of competence where appropriate;

f) special measures in case of accidents, incidents or long absence from work;

g) specific safety management system training for staff directly involved in ensuring that the safety management system works,

14.2 Procedures within the staff competence management system providing for:

а) the identification of posts that perform safety tasks;

b) the identification of posts that entail responsibilities for taking operational decisions within the safety management system;

c) staff to have the necessary knowledge, skills and aptitude (psychological and physical) appropriate to their tasks and periodically undergo retraining;

d) allocating staff with the competence appropriate to relevant tasks;

e) monitoring how tasks are performed and implementing corrective actions where required.

**15. Arrangements for the provision of sufficient information within the organisation and, where appropriate, between the organisations operating on the same infrastructure, which include:**

15.1 Procedures to ensure that:

а) staff have knowledge and understanding of the safety management system and information is easily accessible;

b) appropriate documentation on the safety management system is given to relevant safety personnel.

15.2 procedures to ensure that:

а) key operational information is relevant and valid;

b) staff are aware of the existence of this information before it is applied;

c) information is available to staff and where required copies are formally given to them,

15.3 Arrangements for the sharing of information between railway organisations operating on the same infrastructure.

**16. Procedures and formats for documenting safety information and designation of a procedure for the quality control of elements of important safety information, which include:**

16.1 Procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated, and duly documented,

16.2 Procedures to

а) format, generate, distribute and manage control of changes to all relevant safety documentation;

b) receive, collect and store all relevant documentation i.e. information on paper or by other registration systems,

16.3 Procedure for the control of the configuration of important safety information.

**17. Procedures to ensure that accidents, near misses and other occurrences affecting safety of railway transport are reported, investigated and analysed and that necessary preventive measures are taken, which include:**

17.1 procedures to ensure that accidents, near misses and other occurrences affecting railway transport:

а) are reported, logged, investigated and analysed;

б) are reported to the competent authorities in accordance with applicable rules.

17.2 Procedures to ensure that:

а) recommendations of the Directorate for Railways, Centre for Investigation of Traffic Accidents, manufacturer or from internal investigations are evaluated and implemented if appropriate or mandated;

б) relevant reports i.e. information from other railway undertakings, infrastructure managers, entities in charge of maintenance and railway vehicle keepers are considered and taken into account,

17.3 procedures for relevant information relating to the investigation and causes of accidents, near misses and other occurrences affecting railway transport to be used to learn and, where required, to adopt preventive measures.

**18. Provision of plans for action and alerts and information in case of emergency, agreed upon with the appropriate public authorities, which includes:**

18.1 A document which identifies all types of emergency, including degraded operations, and which includes procedures to identify new types of emergencies;

18.2 Procedures to ensure that, for each identified type of emergency:

а) the emergency services can be promptly contacted;

б) the emergency services are provided with all relevant information both in advance, to prepare their emergency response, and at the time of an emergency,

18.3 A document which defines and explains the roles and responsibilities of all parties,

18.4 Plans for action, alerts and information which include:

а) procedures to alert all staff with responsibility for emergency management;

b) arrangements to communicate these to all parties, including emergency instructions for passengers;

c) arrangements for contacting competent staff immediately so they can take any decisions required,

18.5 A document describing how resources and means have been allocated and how training requirements have been identified,

18.6 Procedures to re-establish normal operating conditions as soon as possible,

18.7 Procedures for testing emergency plans in cooperation with other parties to train staff, test procedures, identify weak points and verify how potential emergency situations are managed,

18.8 Procedures to ensure that competent staff in charge (particularly relating to dangerous goods services), with adequate knowledge of the Serbian language, can be contacted easily and without delay by the infrastructure manager,

18.9 Procedure to contact the entity in charge of maintenance or the railway vehicle keeper in the event of an emergency.

**19. Provisions for recurrent internal auditing of the safety management system, which include:**

19.1 An independent and impartial internal auditing system which acts in a transparent way,

19.2 A Schedule of planned internal audits which can be revised depending on the results of previous audits and monitoring of performance,

19.3 Procedures to identify and select suitably competent auditors,

19.4 Procedures to:

а) analyse and evaluate the results of the audits;

b) recommend follow-up measures;

c) follow up the effectiveness of measures;

d) document the execution of audits and the results of audits,

19.5 Procedures to ensure that senior levels of the management chain are aware of the results of audits and take overall responsibility for implementation of changes to the safety management system,

19.6 A document showing how audits are planned in relation to routine monitoring arrangements to ensure compliance with internal procedures and standards.

Annex 6

**Criteria for assessing conformity with the requirements for issuing safety certificates Part B to railway undertakings and for issuing safety certificates to owners of industrial railways**

The criteria for assessing conformity with the requirements for issuing safety certificates Part B to railway undertakings and for issuing safety certificates to owners of industrial railways are:

**1. Compliance with network-specific rules, which includes:**

1.1 Documentation confirming that the specific rules and specific risks associated with operating on the network for which a certificate is requested have been considered and that the railway undertaking i.e. owner of the industrial railway can comply with network-specific rules and any exceptions to or derogations from those rules,

1.2 Identification of network interfaces with other parties involved in railway operation on the network concerned,

1.3 Documents showing how the railway undertaking will interact with the infrastructure manager and other railway undertakings operating on the network, including details on how information is shared,

1.4 Documents showing how the applicant will deal with emergency situations, including coordination with the infrastructure manager and the relevant public authorities,

1.5 Documents identifying any specific accident and incident investigation rules and showing that the applicant can comply with them.

**2. Compliance with network-specific requirements for staff competence, which includes:**

2.1 Documentation which demonstrates that the applicant’s safety management system contains a part related to staff competence to:

а) identify the categories of staff (employed or contracted) involved in providing the service;

b) deliver competent staff for the network concerned, especially for those staff who are asked to undertake a variety of tasks and assure certification,

2.2 Documentation which demonstrates that there are arrangements put in place to organise the day-to-day work of the staff to ensure that safety-related tasks are carried out and that staff are assigned to appropriate tasks,

2.3 Documentation which demonstrates the applicant’s ability to produce documents to be used in training the relevant staff and its ability to ensure that the documents will be accurate, be kept up to date and be in a language and terminology understood by the staff who need to use them.

**3. Compliance with network-specific requirements for management of rolling stock, which includes:**

3.1 Documentation which clearly indicates the types of rolling stock to be used on the specific network and the type of operations to be conducted,

3.2 Documentation which outlines how the applicant complies with any operational restrictions placed on the type of rolling stock used on the network,

3.3 Documentation which identifies any additional requirements for maintenance of rolling stock for the networks concerned and confirms that appropriate arrangements for maintenance are in place,

3.4 Documentation which identifies any additional requirements to manage rolling stock incidents and confirms that appropriate measures are put in place.

Annex 7

**Principles of supervision after the award of a safety certificate for railway undertakings or safety authorisation for infrastructure managers**

1. The principle of proportionality shall apply between enforcement and risk. Action taken to achieve compliance with the rules or bring certificate / authorisation holders to account for not meeting their legal obligations shall be proportionate to any risks to safety or to the potential seriousness of any non-compliance, including any actual or potential harm resulting therefrom.

2. The principle of consistency of approach shall be applied to ensure that similar approach is taken in similar circumstances to achieve similar ends.

3. The principle of priority shall be applied so as for the supervision measures to be targeted primarily at those activities which give rise to the most serious hazards or where the risks are least well-controlled.

4. The principle of transparency shall be applied to help certificate/authorisation holders understand what is expected of them, including what they should or should not do and what they should expect from the Directorate.

5. The principle of cooperation with national safety authorities of other countries shall be applied to exchange information, develop a unit approach to issues affecting railway safety and enable coordination of their measure in case of any breaches of safety. This particularly relates to the Part B of the safety certificate.