DRAFT

Version 6.0

Guidance for entities in charge of maintenance for the use of SAIT

This guidance is the result of the Task Force organised, from January to May 2021, by ERA and with active participation of the Railway Stakeholders.

Released by European Union Agency for Railways.

This guide does not contain any legally binding advice. It may serve as a clarification tool without however dictating in any manner compulsory procedures to be followed and without establishing any legally binding practice.

The guide is publicly available and it will be regularly updated.

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1. General information about SAIT

1.1. Legal basis

COMMISSION IMPLEMENTING REGULATION (EU) 2019/779 of 16 May 2019 laying down detailed provisions on a system of certification of entities in charge of maintenance of vehicles pursuant to Directive (EU) 2016/798 of the European Parliament and of the Council and repealing Commission Regulation (EU) No 445/2011

https://eur-lex.europa.eu/eli/reg_impl/2019/779/oj

1.2. Background

According to article 4.6. of Commission Implementing Regulation (EU) No 2019/779 "the entity in charge of maintenance shall inform the rail sector and the rail supply industry about new or unexpected safety relevant findings including exceptional maintenance findings beyond wear and tear, in relation to vehicles, subsystems or other components, when the related risks are relevant for more actors and are likely to be poorly controlled. The entity in charge of maintenance shall use the Safety Alert IT or another informatics tool provided by the Agency for this purpose."

1.3. Accompanying documents (Application Guide – Commission Implementing Regulation (EU) No 2019/779)

Guide for the application of the Art 14 of the Directive (EU) 2016/798 and Commission Implementing Regulation (EU) No 2019/779 on a system of certification of entities in charge of maintenance for vehicles with a dedicated chapter 9.7 on SAIT "9.7 Application of Article 4(6) - Use of Safe Alert IT tool"

1.4. SAIT

The European Union Agency for Railways (ERA) developed a Safety Alert IT tool (SAIT) to support the urgent reporting and sharing of unknown or poorly understood information about hazards and their consequences. SAIT is overseen by Agency. SAIT was developed, is hosted and day to day support is provided by the Directorate-General for Informatics of the European Commission (DIGIT).

2. Practical Information about SAIT

2.1. How to register to SAIT?

The access in SAIT is restricted in and hence a logon to this European IT platform is compulsory. https://webgate.ec.europa.eu/multisite/safetyalerts/

2.2. Confidentiality

Since the start of the SAIT tool in 2016, national public or state bodies and authorities shall be excluded from the SAIT tool (except the ERA & DIGIT administrators for administrative and IT maintenance purposes).

3. The use of SAIT

3.1. IT Access to SAIT
https://webgate.ec.europa.eu/multisite/safetyalerts/

3.2. Access to SAIT?

Reading
The access to SAIT is limited to the railway actors: railway undertakings, infrastructure managers, entities in charge of maintenance and all other actors having a potential impact on the safe operation of the Union rail system, including manufacturers, maintenance suppliers, keepers, service providers, contracting entities, carriers, consignors, consignees, loaders, unloaders, fillers and unfillers. (Art. 4§3 and §4 of the Safety Directive 2016/798 /EU)

Only clearly identified key contact persons having responsibilities for safety and implementing risk control measures should have access to the SAIT platform referred hereafter as "authorised user".

Sector stakeholder representatives should have access rights allowing to carry out their task in the framework of the CSM ASLP.

Third parties like the press shall not have access to SAIT and will not be granted any rights accordingly.

Writing (posting a new alert)
Entities in charge of maintenance as registered in the vehicle register (e.g. EVR), shall have the writing rights allowing them to post alerts (fulfilment of the legal requirements ((EU) No 2019/779 – Article 4.6). This role should be managed by the ECM function 1.

Writing (comment function)

All authorised users in SAIT have the right to comment on new posted alerts.

3.3. What shall be reported in SAIT?
Objective: The provision of information in SAIT enables other rail stakeholders operating similar rail vehicles and vehicles fitted with similar components, systems or subsystems to determine whether the identified risk is applicable to their own operation, and whether they need to implement actions to mitigate the identified risk.
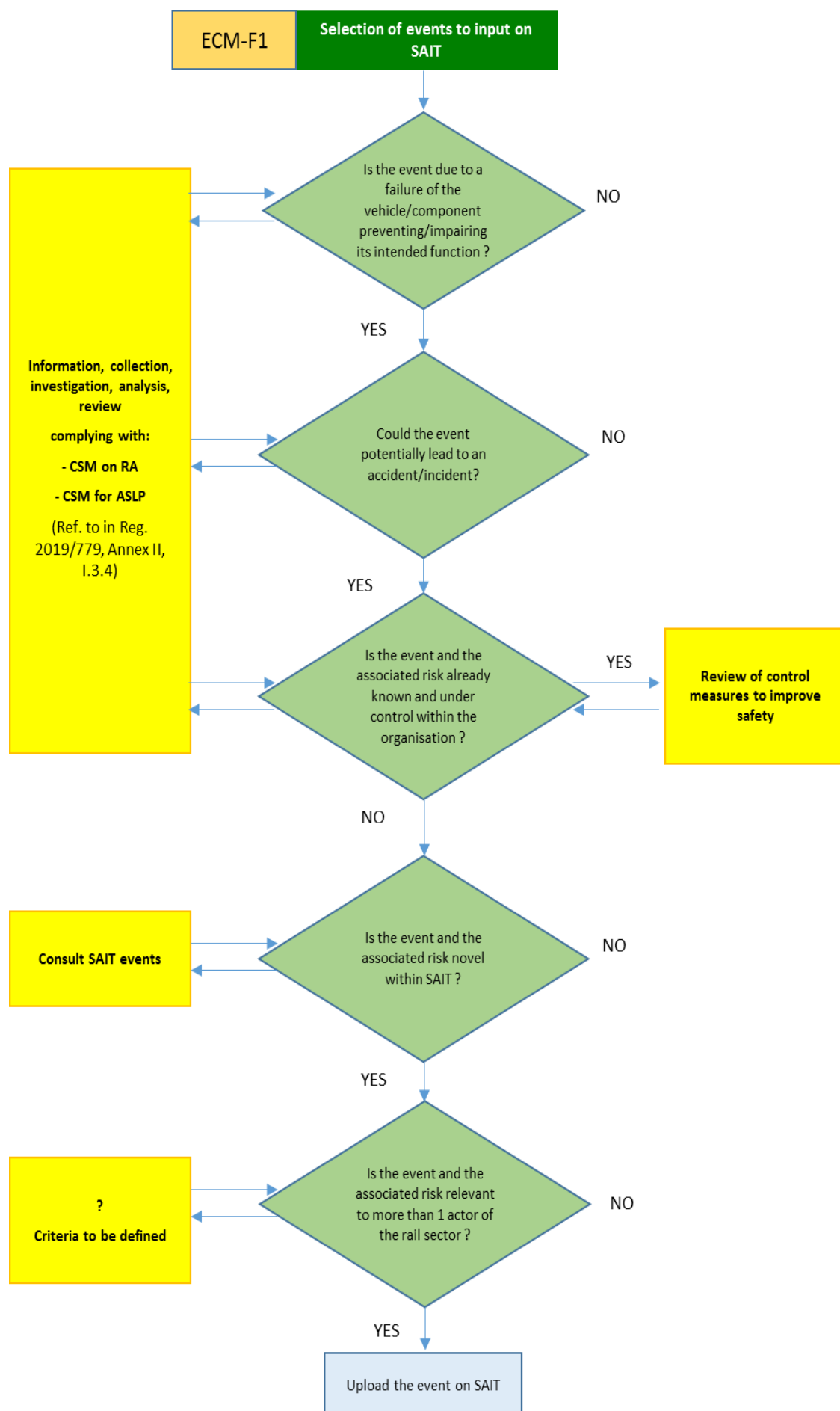
ECM Function 1 should report on defects having the potential to pose an urgent high risk to the railway system in accordance with the application of the CSMs for monitoring processes set out in Commission Regulation 1078/2012/EU provided that:

- The defects relate to a failure of, or a damage to, a rail vehicle, or a component or a system thereof, which prevents or impairs its intended function and could cause an accident or incident.
- The defect, hazard, event or information is novel or unexpected and therefore the related risks are likely to be poorly controlled, especially

for a hazard which did not seem to be controlled by a maintenance activity and potentially might lead to an accident.

"Potential serious & potential imminent danger to railway operation" shall be indicated in SAIT if impacting the

- Interface vehicle/infrastructure
- Design of the vehicle
- Maintenance plan

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| ECM-F1 | Selection of events to input on SAIT |

Is the event due to a failure of the vehicle/component preventing/impairing its intended function ? — NO

YES

Information, collection, investigation, analysis, review

complying with:

- CSM on RA

- CSM for ASLP

(Ref. to in Reg. 2019/779, Annex II, I.3.4)

Could the event potentially lead to an accident/incident? — NO

YES

Is the event and the associated risk already known and under control within the organisation ? — YES → **Review of control measures to improve safety**

NO

Consult SAIT events

Is the event and the associated risk novel within SAIT ? — NO

YES

?

Criteria to be defined

Is the event and the associated risk relevant to more than 1 actor of the rail sector ? — NO

YES

Upload the event on SAIT

3.4. How to report in SAIT?

Free text of the safety alerts are to be reported in English. Other official languages of the European Union may be additionally used.

3.5. When to report in SAIT?

As soon as sufficient and sound information is available after detection of the defect, including out of business hours.

3.6. Who should evaluate the information uploaded to SAIT?

At its simplest level this should be a nominated competent person(s) which in the case of an RU, IM or ECM should be documented in their SMS and for others in their e.g. BMS.

Two fold approach:

- Activities by the responsible actor to mitigate risk "immediately" ("serious & imminent danger to railway operation")
- Common activities by the sector stakeholders managing risks at European level (by means of the JNS, GoA (Group of Analysts in the framework of the CSM ASLP implementation), Regulation & Standardisation (TSI, EN)

3.7. Exchange among stakeholders in SAIT

- A comment function to every safety alert allows stakeholders to individually comment/ raise questions on a post/ safety alert (and/or add more information)
- Comments are to be made in English by the commenting entity
- No information about content or actors in SAIT shall be used outside the SAIT IT tool by any actor at any time.

3.8. Storage process of alerts in SAIT

At the latest three months after an alert was posted, the actor who has posted shall check/ assess

- If the posted alert is still valid
- If there is an update on the posted alert
- If there are measures implemented for the alert

At the latest six month after an alert was posted, the posting entity shall assess if the alerts is kept open, otherwise the alert shall be closed and stored in a repository. This point will be analysed deeper in future after some feedback of the users.

ECM

Operations

Safety risk identified

Internal investigation & Measures setting

Safety Alert
SAIT

Other operational actors

Internal investigation

Measures to be taken if relevant

Triggering a JNS procedure (if chosen)

JNS procedure if relevant

Sector

ERA

NSA

NIB
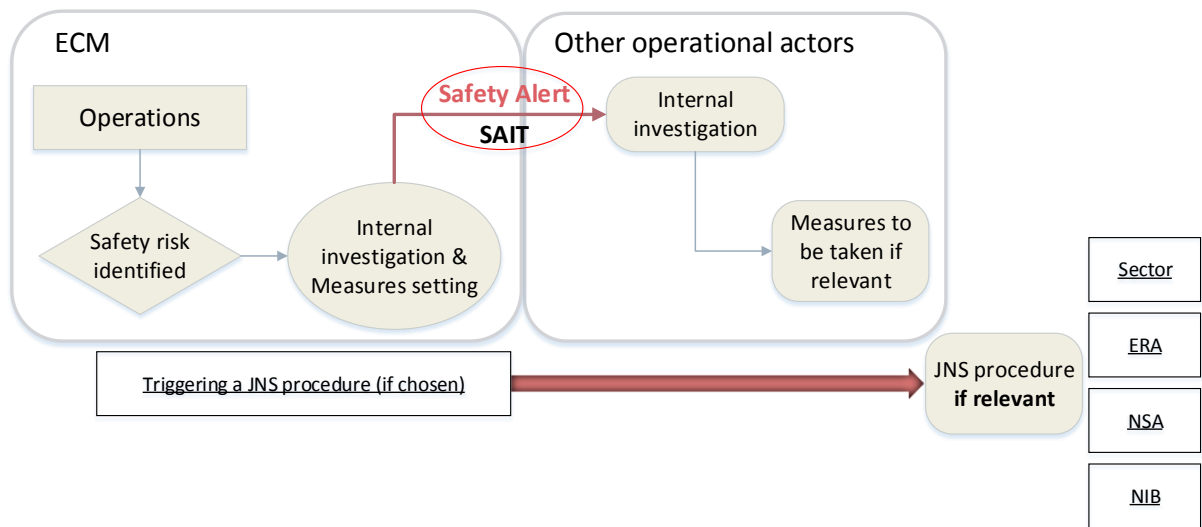
Annex – practical guidance for the use of the IT tool

1. Create an Alert in SAIT

1.1. Content

Title of alert (mandatory): easily understandable short description

Date/ Time (voluntary): date & time of the occurrence to be reported

Geographical location (voluntary): Use the pointer in the map to mark a location of your choice

1.2. System

The associated systems describe 'subsystems' meaning the structural or functional parts of the Union rail system, as set out in Annex II of Directive (EU) 2016/797 of the European Parliament and of the Council of 11 May 2016 on the interoperability of the rail system within the European Union.

Associated systems (mandatory): Chose impacted subsystem
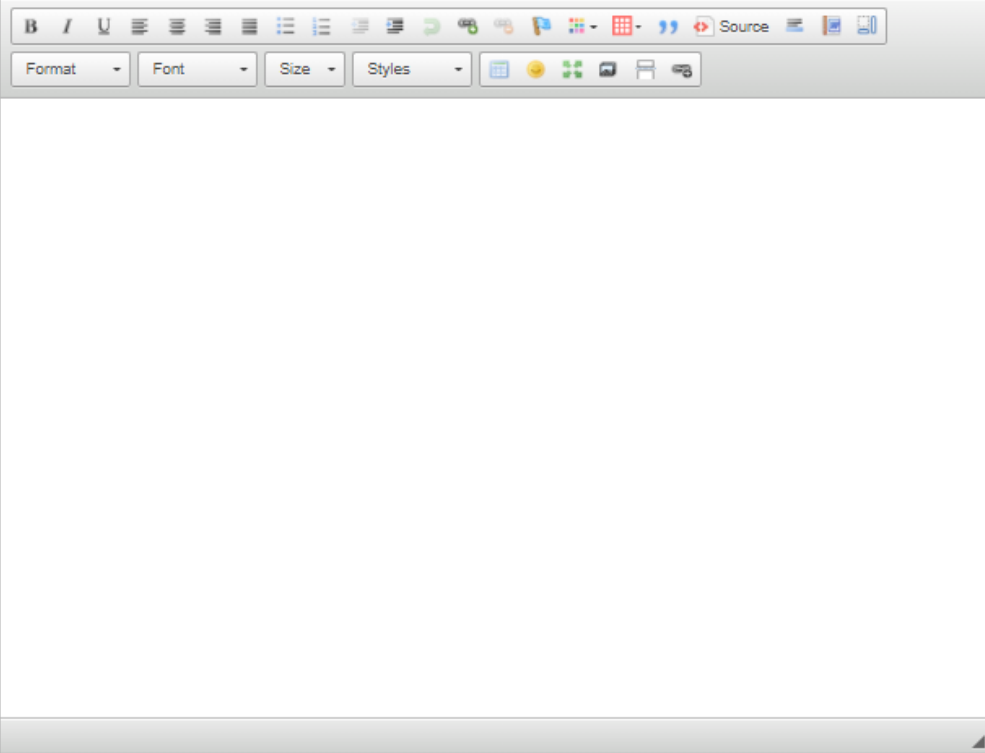
Use being made of the technical equipment (voluntary):

Rail vehicle type (mandatory?):

➔   according for example to Appendix 6, part 12 of NVR/EVR decision (freight wagons)

1.3. Defect

Description of defect or non-conformity/malfunctions of technical equipment *(Edit summary)

| B | I | U | ≡ | ≡ | ≡ | ≡ | ≔ | ≔ | | | | | | | | | Source | | | |

| Format ▾ | Font ▾ | Size ▾ | Styles ▾ | | | | | | |

Disable rich-text

Upload a relevant file or photo

Browse

Description of defect or non-conformity/malfunctions of technical equipment (mandatory):

Upload a relevant file (voluntary?) or photo (mandatory?):

1.4. Action/ Consequences

Did you contact-report to the directly relevant parties involved in the issue? (mandatory):

Action taken (voluntary):

Consequences (voluntary):

Cross-border implications. If yes, describe (voluntary):

I wish to raise the alert to the attention of the Joint Network Secretariat (voluntary): The JNS (Joint Network Secretariat) procedures aim at EU-wide harmonisations of any action taken after any issue, e.g. accidents or incidents in railways in the EU.

Any "proposer" can submit a request for a JNS procedure to the JNS-panel using the notification form indicating which kind of procedure is intended. https://www.era.europa.eu/activities/joint-network-secretariat_en

Publication of the problem statement together with the recommendation in SAIT
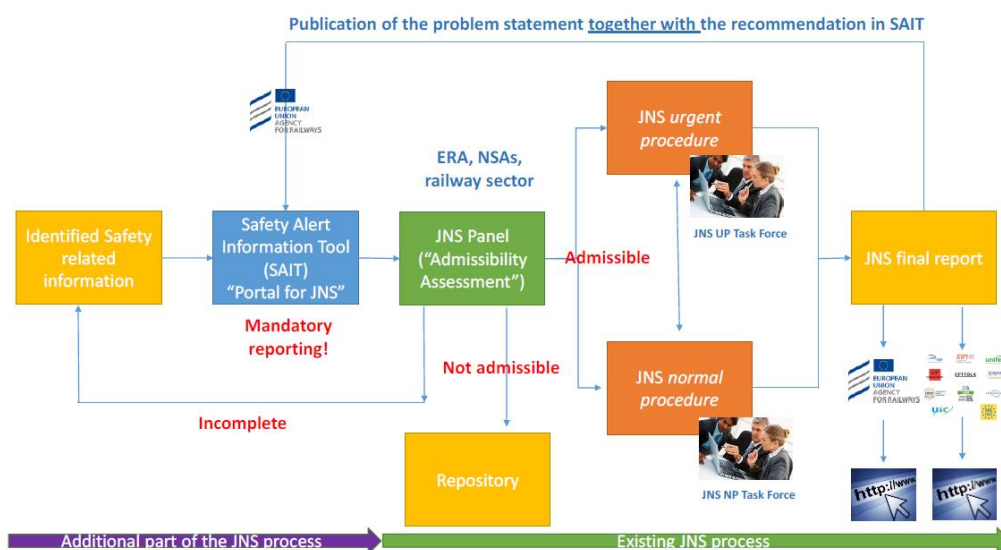
If yes checked, JNS notification form generated automatically as urgent?

1.5.   Alert Status

Status (voluntary): Drop down menu

1.6.   Meta Tags