

From the OPI of the Netherlands.

Approval versus Safety Management System

Justification to separate the **Safety Management System** (SMS) from the vehicle approval to provide a better SMS and more flexibility.

Separating a SMS from vehicle approval processes offers several advantages, particularly in complex organizations or sectors such as railways, aviation, and therefore it could be beneficial for the automotive industry. With UNECE Reg. 155 we have seen already an example of a separate SMS.

Key benefits:

1. Flexibility in Management

- **Independent of Specific Vehicles:** An SMS focuses on overall safety processes, operations, and organizational culture. When separated, it can address broader safety aspects beyond vehicle-specific requirements.
- **Adaptability to Changes:** Changes in regulations or operations can be implemented in the SMS without affecting vehicle-specific approval/ certification procedures.

2. Process Efficiency

- **Faster Vehicle Approvals:** When the SMS operates independently, vehicle approval processes can proceed without requiring a whole repeated SMS evaluations, saving time and resources.
- **Standardized Safety Approach:** A single SMS can apply to multiple vehicles or operations, reducing duplication of effort.

3. Independent Focus on Safety

- **Avoiding Conflicting Interests:** Separating the SMS could ensure that safety processes are not influenced by the pressure to expedite vehicle approvals, reinforcing independent safety decision-making.
- **Enhanced Risk Analysis:** An independent SMS can focus on systemic risks and broader operational safety, beyond the technical details of vehicles.

4. Compliance and Audit Readiness.

- Demonstration of Compliance: Separating the SMS from vehicle approval makes it possible to demonstrate that safety processes are consistently applied and independent of specific vehicles.

5. Safety Culture.

- An SMS detached from vehicle approval helps build a safety culture consistent across the organization, regardless of vehicle specifications.

Conclusion

Separation of a Safety Management System from vehicle approval processes can result in a more effective, flexible, and robust approach to safety. This is particularly valuable in organizations managing multiple vehicles approvals and operating within complex regulatory environments. Benefits are relevant for the UNR and GTR.

Proposal to implement in the UNR on ADS the following provisions:

Before an application can for an ADS approval can be granted the GTA shall ensure that a SMS according this regulation is granted. The initial assessment of the SMS has a validity of one year, after a positive assessment at the end of this first year the GTA may extend the compliance statement for the period of max 3 years. The GTA may decide at any time to do a re-assessment of the SMS .

Draft text proposal for part 3 of the UNR.

3. Application for approval.

3.4 The Certificate of Compliance for SMS according to paragraph [x] of this Regulation.

3.4.1 Contracting Parties shall appoint an Approval Authority to carry out the assessment of the manufacturer and to issue a Certificate of Compliance for the SMS.

3.4.2 An application for a Certificate of Compliance for Safety Management System shall be submitted by the vehicle manufacturer or by their duly accredited representative.

3.4.3 It shall be accompanied by the undermentioned documents in triplicate, and by the following particular: [XXX]. Documents describing the Safety Management System.

3.4.4 A signed declaration using the model as defined in Appendix [x] to Annex [xxx]

3.4.5 In the context of the assessment, the manufacturer shall declare using the model as defined in Appendix [X]to Annex [X] and demonstrate to the satisfaction of the Approval Authority or its Technical Service that they have the necessary processes to comply with all the requirements for the SMS according to this Regulation.

3.4.6 When this assessment has been satisfactorily completed and in receipt of a signed declaration from the manufacturer according to the model as defined in Appendix [X] to Annex [X], a certificate named Certificate of Compliance for the SMS as described in Annex [X] to this Regulation (hereinafter the Certificate of Compliance for SMS) shall be granted to the manufacturer.

3.4.7 The Approval Authority or its Technical Service shall use the model set out in Annex [X] to this Regulation for the Certificate of Compliance for SMS.

3.4.8 The Initial assessment has a validity of one year. After a positive assessment at the end of this first year the Approval Authority may extend the compliance statement for the period of max 3 years. from the date of deliverance of the certificate unless it is withdrawn.

3.4.9 The Approval Authority which has granted the Certificate of Compliance for SMS may at any time verify that the requirements for it continue to be met. The Approval Authority shall withdraw the Certificate of Compliance for SMS if the requirements laid down in this Regulation are no longer met.

3.4.10 The manufacturer shall inform the Approval Authority or its Technical Service of any change that will affect the relevance of the Certificate of Compliance for SMS. After consultation with the manufacturer, the Approval Authority or its Technical Service shall decide whether a new assessment is necessary.

3.4.11 In due time, permitting the Approval Authority to complete its assessment before the end of the period of validity of the Certificate of Compliance for SMS, the manufacturer shall apply for a new or for the extension of the existing Certificate of Compliance for SMS. The Approval Authority shall, subject to a positive assessment, issue a new Certificate of Compliance for SMS or extend its validity for a further period of three years. The Approval Authority shall verify that the SMS continue to comply with the requirements of this Regulation. The Approval Authority shall issue a new certificate in cases where changes have been brought to the attention of the Approval Authority or its Technical Service and the changes have been positively re-assessed.

3.4.12 The expiry or withdrawal of the manufacturer's Certificate of Compliance for SMS shall be considered, with regard to the vehicle types to which the SMS concerned was relevant, as modification of approval, as referred to in this regulation , which may include the withdrawal of the approval if the conditions for granting the approval are not met anymore.

