

Improvement of occurrence reporting

UNECE WG on improvement of occurrence reporting
19-20 June 2019



- CSM on the Assessment of Safety Levels and Safety Performance (ASLP)
- Interactions with the ‘Improvement of occurrence reporting’ WG
- Purposes of reporting information

EC Mandate addressed to ERA:

Development of a recommendation for a

Common Safety Method on the Assessment of Safety Level and Safety Performance of Operators at National and Union levels.

(access to mandate documents here: <http://ec.europa.eu/transparency/regdoc/index.cfm?fuseaction=list&n=10&adv=0&cotId=&year=&number=&dateFrom=&dateTo=&serviceId=&documentType=&title=COMMISSION+IMPLEMENTING+DECISION+on+a+m+ndate+to+t&titleLanguage=&titleSearch=EXACT&sortBy=NUMBER&sortOrder=DESC>)

These common safety methods (CSM) shall provide a comprehensive **methodology for assessing the safety level and the safety performance** of railway operators.

They **will take into account the experience gained** from the general developments and progress made in the field of **occurrence reporting** and **analysis** and its use for the **assessment** of safety level and safety performance of railway operators, in particular railway undertakings and infrastructure managers.

The related methods to be implemented for these assessments are currently performed by the **railway undertakings and infrastructure managers** themselves in the context of the monitoring of their own activities as required today by Regulation (EU) No 1078/2012, as well as by the **national safety authorities** and **the Agency** in the course of the performance of their own responsibilities.

The general goal is that of helping those operators in the general task of maintaining safety, and continuously improving it where reasonably practicable.

Purpose

- ⇒ Establish harmonised methods for the assessment of
- ⇒ Safety level
- ⇒ Safety performance
- ⇒ Achieved by each railway operator at National and Union levels

Scope

- ⇒ Assessment of Railway Undertakings, Infrastructure Managers operations
- ⇒ All railway services: Passenger, Freight, TDG

Based on

- ⇒ Targeted information sharing between relevant actors

DG MOVE letter addressed to ERA

⇒ Initial Deadline: December 2020

⇒ (NEW) Deadline: February 2020 for draft recommendation

Without amending the initial mandate scope

⇒ ERA is currently analysing the feasibility and planning of this task

Questions ?

Interactions with TDG occurrences reporting WG

UNECE/OTIF Joint Meeting WG on reporting improvement	Point a) Clarify the purpose of reporting information on accident, and identify the use of the reported information (1.8.3.6, 1.8.5...)
CSM ASLP methods	shall address "the methods to be used, by railway undertaking and infrastructure managers ("railway operators"), national safety authorities, and, where relevant, the Agency for the <u>assessment of safety level and safety performance of the railway operators</u> "

Interactions with TDG occurrences reporting WG

<p>UNECE/OTIF Joint Meeting WG on reporting improvement</p>	<p style="text-align: right;">Point b)</p> <p>Clarify the participants responsible for sending the report and/or complementary information</p>
<p>CSM ASLP methods</p>	<p style="text-align: right;">shall address</p> <p>"the information related to safety management system efficiency and of safety occurrences collected and shared at national and Union level."</p> <p style="text-align: right;">shall address</p> <p>"the collection by railway operators of the safety occurrences information to be used for the implementation of the methods for the assessment of safety level and safety performance of the railway operators and the harmonisation of their reporting obligations to their respective Member States, and the Agency where relevant."</p>

Interactions with TDG occurrences reporting WG

<p>UNECE/OTIF Joint Meeting WG on reporting improvement</p>	<p>Point c) Examine anonymity issues</p>
<p>CSM ASLP methods</p>	<p>shall address "the appropriate governance and confidentiality rules that will have to be defined in the recommendation in conformity with Union law, and in particular Regulation (EU) 2016/679 of the European Parliament and of the Council"</p>

Interactions with TDG occurrences reporting WG

<p>UNECE/OTIF Joint Meeting WG on reporting improvement</p>	<p style="text-align: right;">Point d)</p> <p>Study the relevant information necessary according to the different possible use, such as: lessons learnt from single occurrences, lessons learnt from repeated occurrences, risk assessment, and propose relevant improvements to RID/ADR/ADN</p>
<p>CSM ASLP methods</p>	<p>The collection of information by operators "shall be .../... consistent with the events defined in the list of the common safety indicators."</p>
<p>TDG Roadmap</p>	<p>F1 tables' taxonomy and draft fault trees for Rail / Road / Inland Waterways and Multimodal Platforms</p>

Interactions with TDG occurrences reporting WG

<p>UNECE/OTIF Joint Meeting WG on reporting improvement</p>	<p style="text-align: right;">Point e)</p> <p>Propose measures to facilitate the collection of the report by competent authorities and transmission of relevant information to UN and OTIF secretariat</p>
<p>CSM ASLP methods</p>	<p style="text-align: center;">The collection of information by operators "shall be carried out through the existing national occurrence reporting systems and be consistent with the events defined in the list of the common safety indicators."</p> <p style="text-align: center;">The methods shall address "the coordination of railway undertakings, infrastructure managers, entities in charge of the maintenance, national reporting entities, national safety authorities, and the Agency in the sharing of safety occurrences related information"</p>

Interactions with TDG occurrences reporting WG

UNECE/OTIF Joint Meeting WG on reporting improvement	Point f) Exchange of experience from competent authorities on methods used to ensure the accuracy of accident reporting
CSM ASLP methods	The methods to be defined "shall also build upon the regular exchange of information on the implementation of the existing assessment methods and may be carried out through coordination groups at the Union level with the involvement of the relevant stakeholders"

Interactions with TDG occurrences reporting WG

UNECE/OTIF Joint Meeting WG on reporting improvement	Point g) Take into account relevant input including the contributions provided by the transport of dangerous goods workshop for Risk management, in particular the list established by the workgroup A and the 'input parameter table' for the harmonised risk estimation model
CSM ASLP methods	The collection of information "may require the establishment of a common taxonomy, of an information technology tool by the Agency aiming at collecting and sharing safety occurrences information among the relevant actors at the Union level."

Interactions with TDG occurrences reporting WG

UNECE/OTIF Joint Meeting WG on reporting improvement	Point h) Take into account the relevant IT tools, including the coordination with the development of 'common occurrence reporting' system (COR)
CSM ASLP methods	If an information technology tool would be required, "the Agency should develop the necessary technical specifications -of the collection of information- in cooperation with the relevant actors and the impact shall be assessed"

Questions ?

Assessment of safety level and safety performance

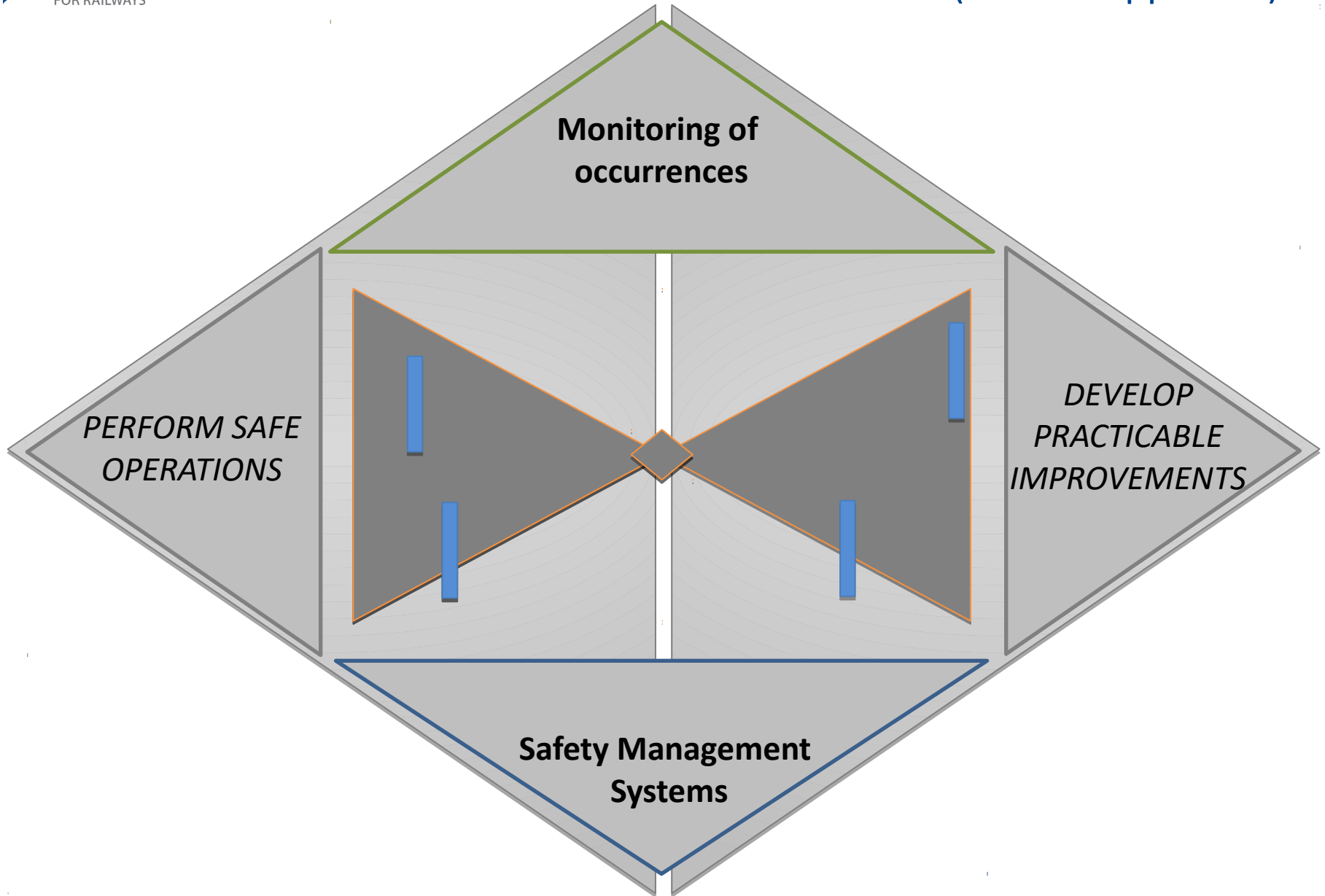
Point a) coordination topic

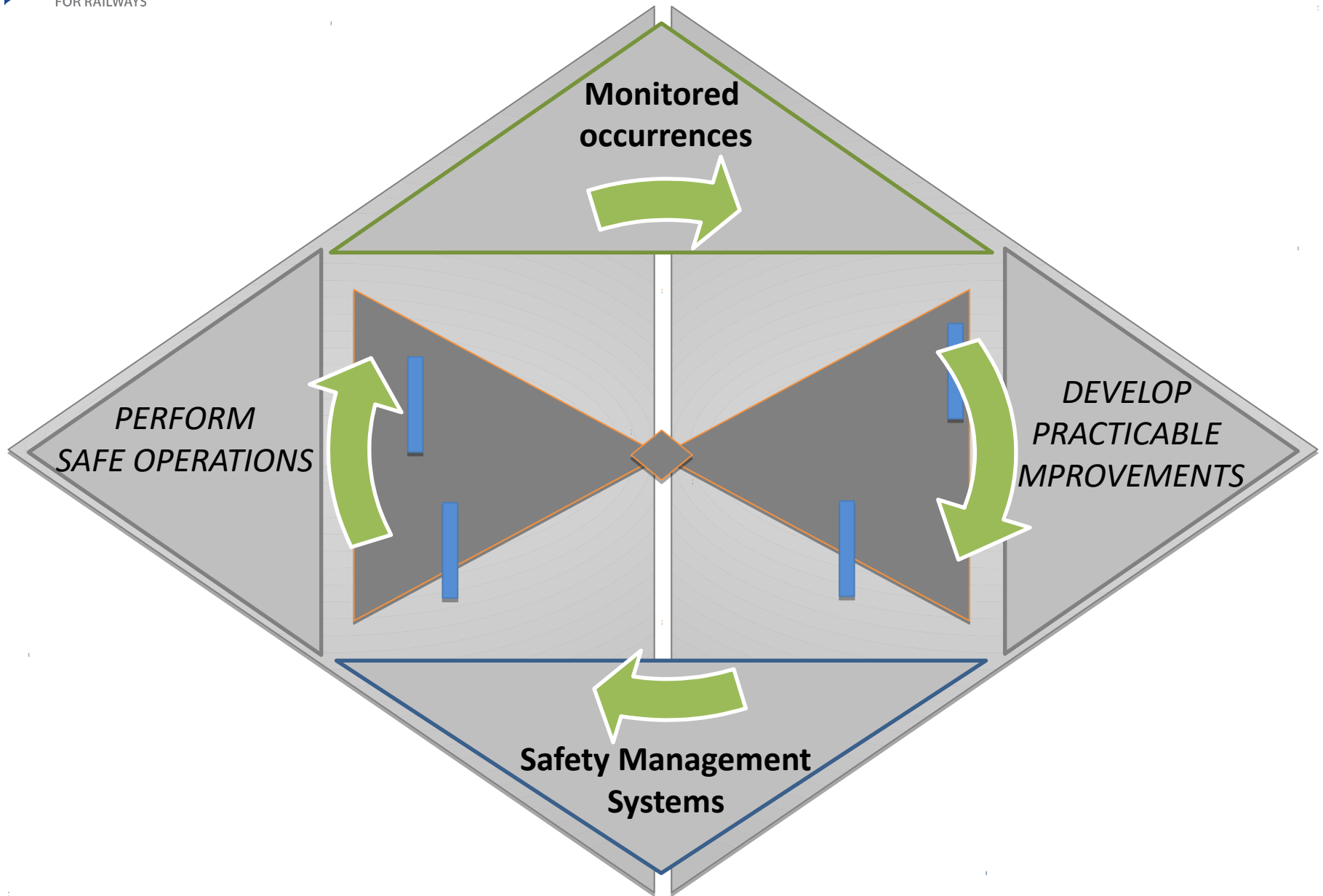
<p>UNECE/OTIF Joint Meeting WG on reporting improvement</p>	<p style="text-align: right;">Point a)</p> <p>Clarify the <u>purpose of reporting</u> information on accident, and identify the use of the reported information (1.8.3.6, 1.8.5...)</p>
<p>CSM ASLP methods</p>	<p style="text-align: right;">shall address</p> <p style="text-align: center;">"the methods to be used, by railway undertaking and infrastructure managers ("railway operators"), national safety authorities, and, where relevant, the Agency for the <u>assessment of safety level and safety performance of the railway operators</u>"</p>

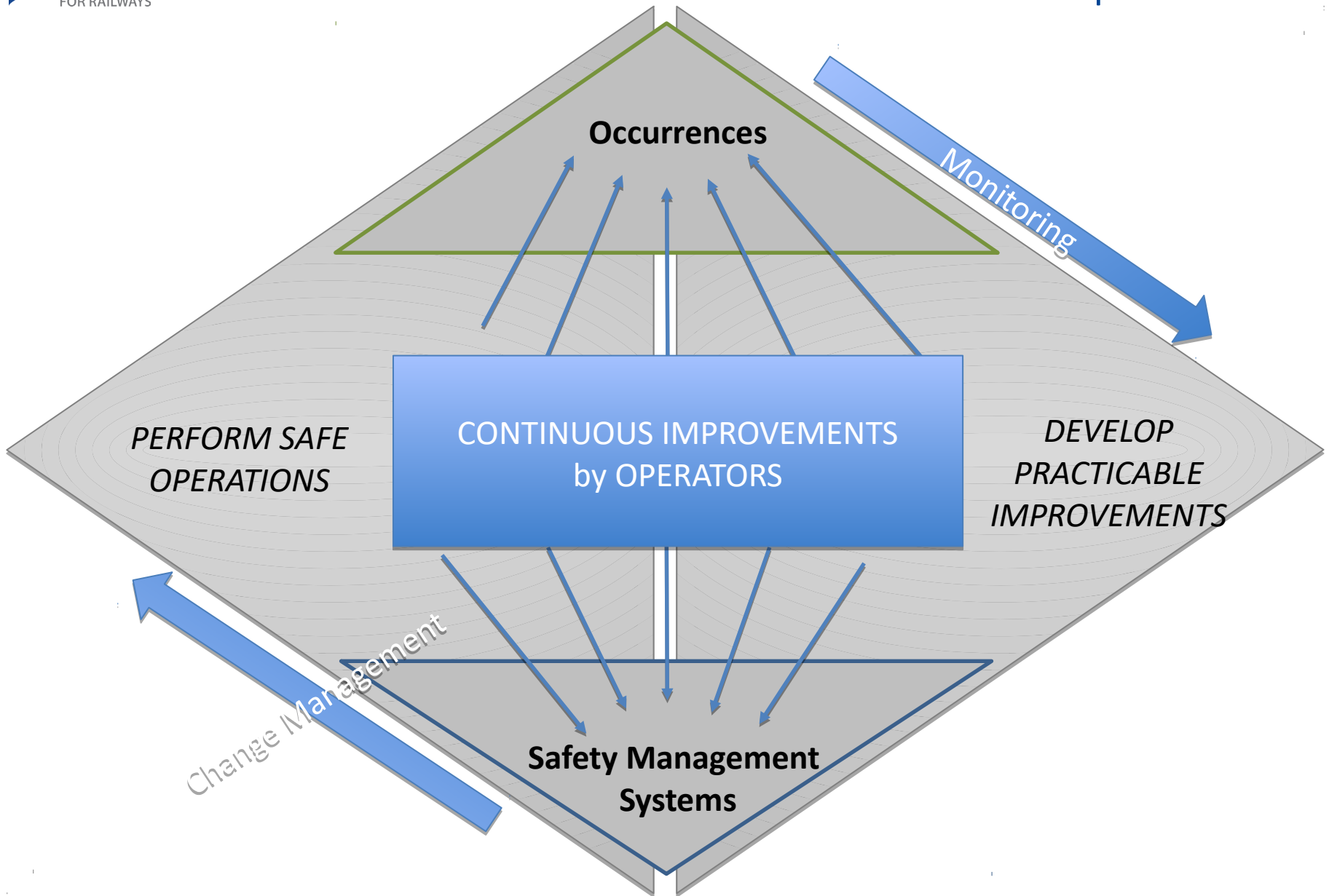


*PERFORM SAFE
OPERATIONS*

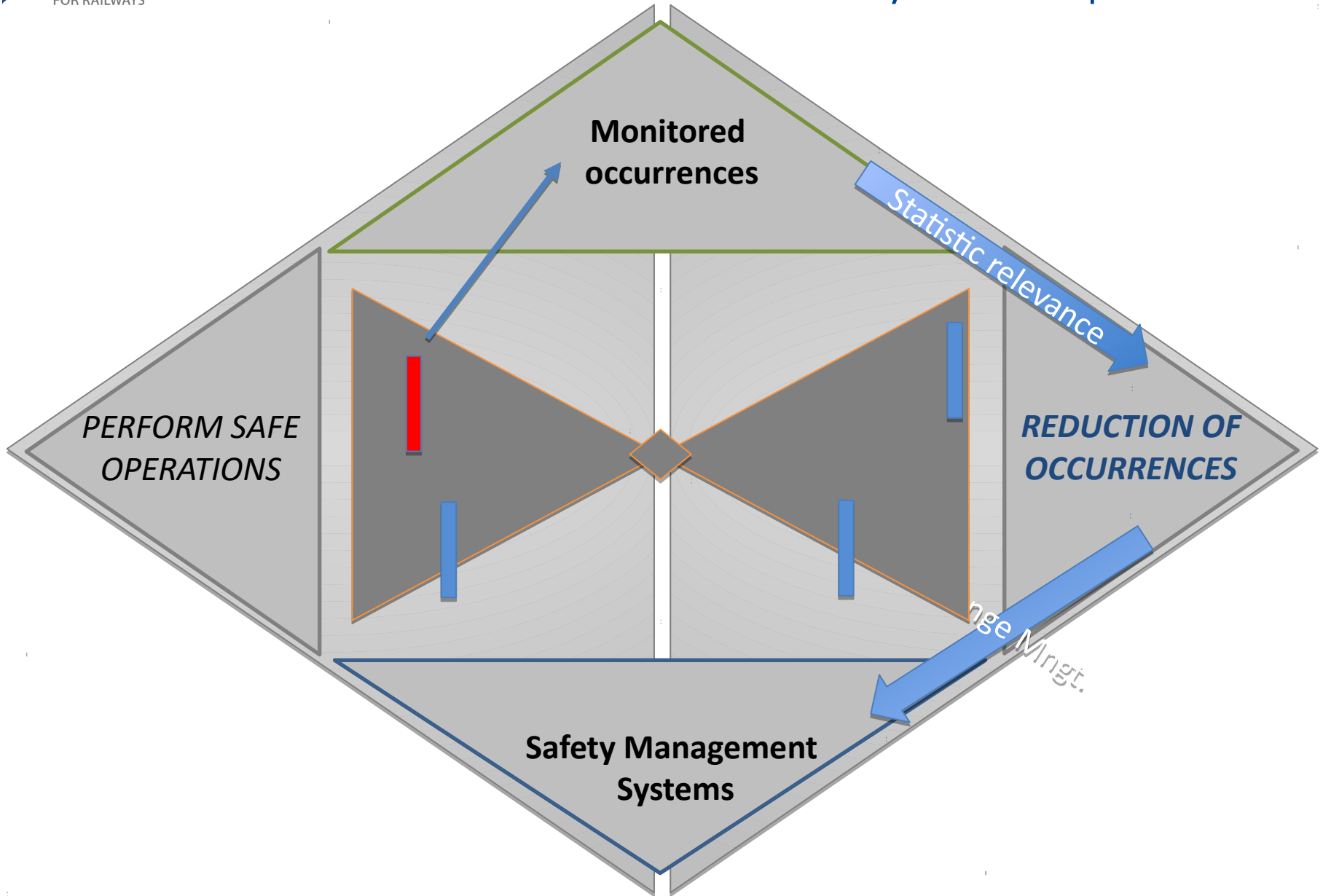
*DEVELOP
PRACTICABLE
IMPROVEMENTS*

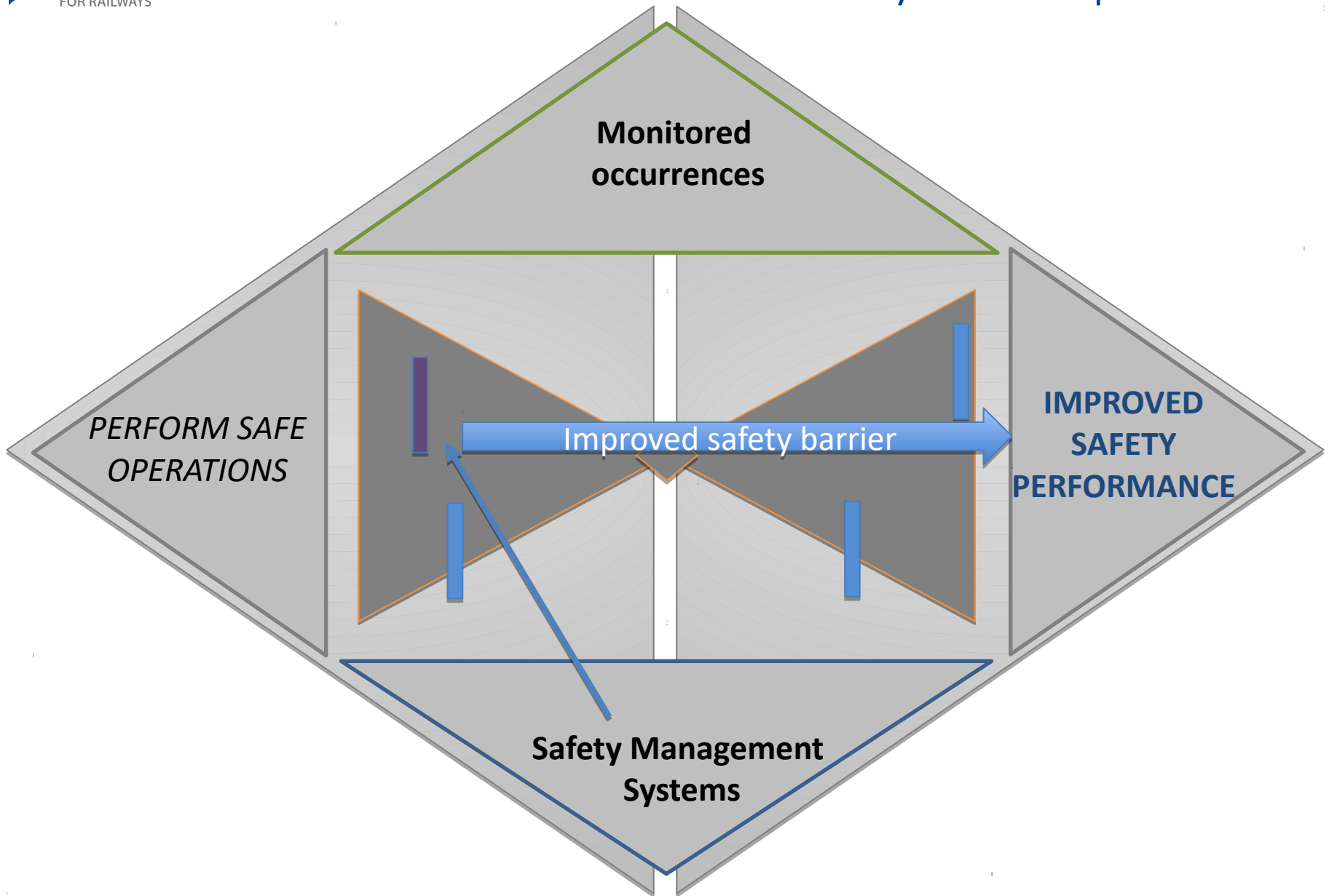




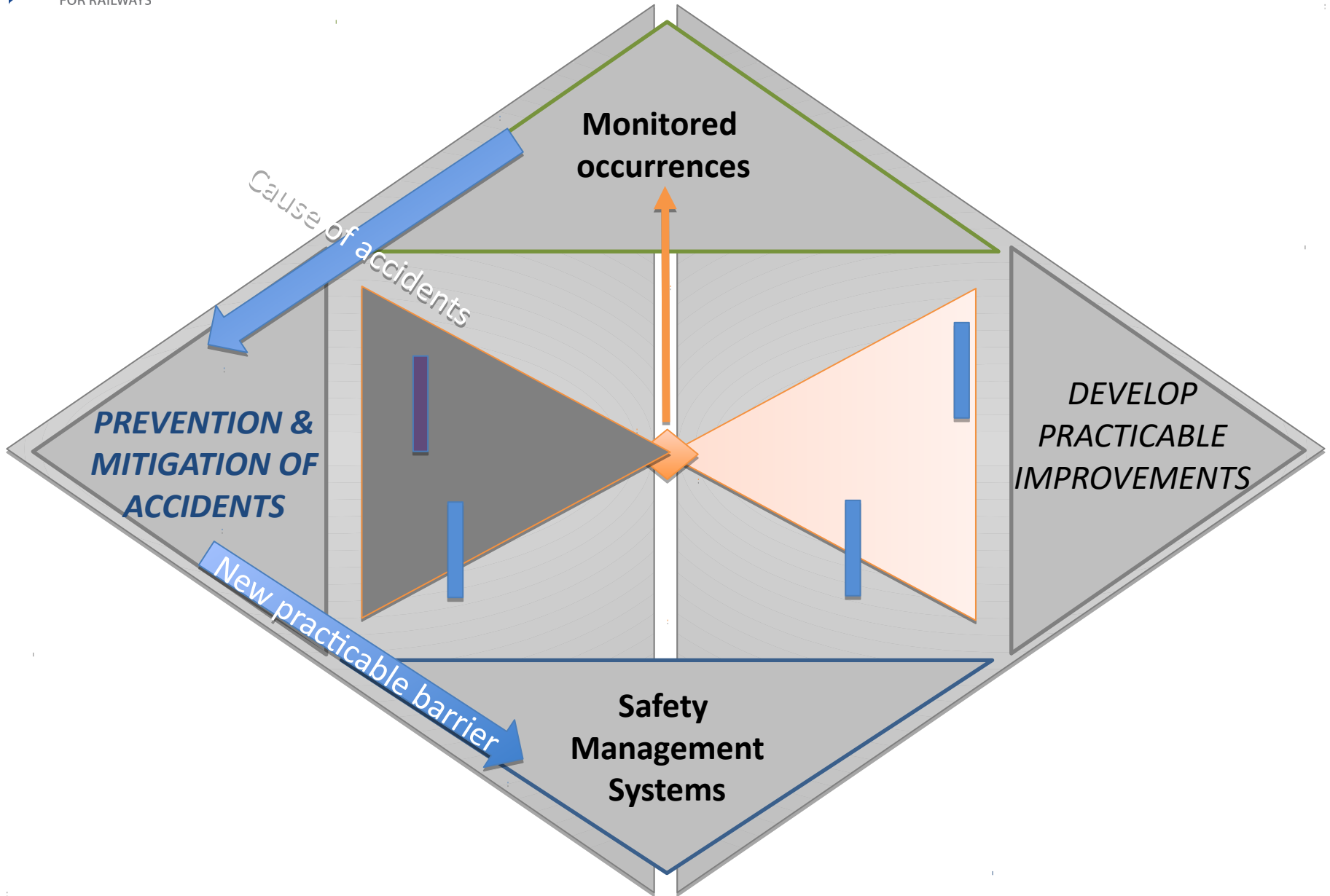


Safety barrier improvement

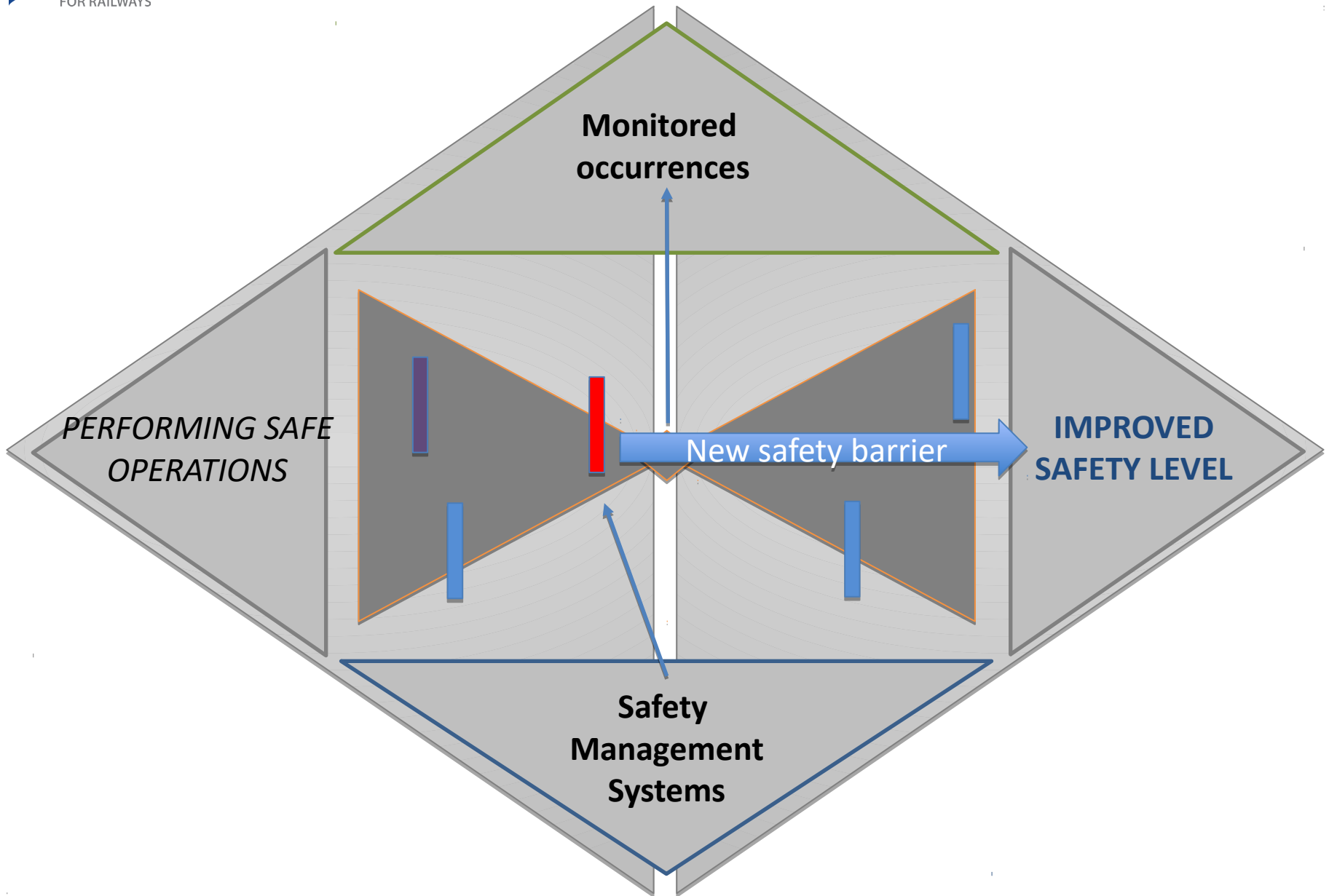


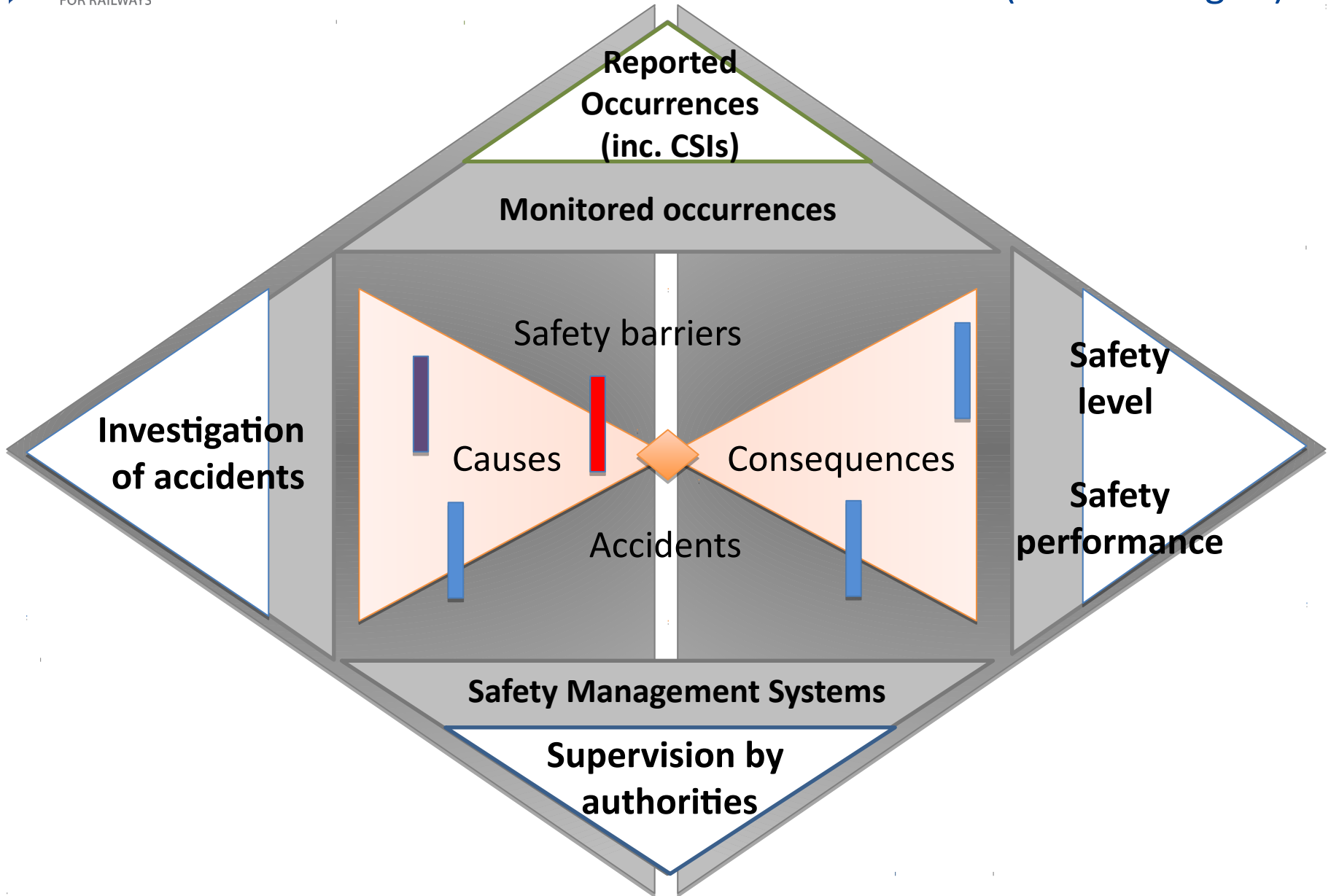


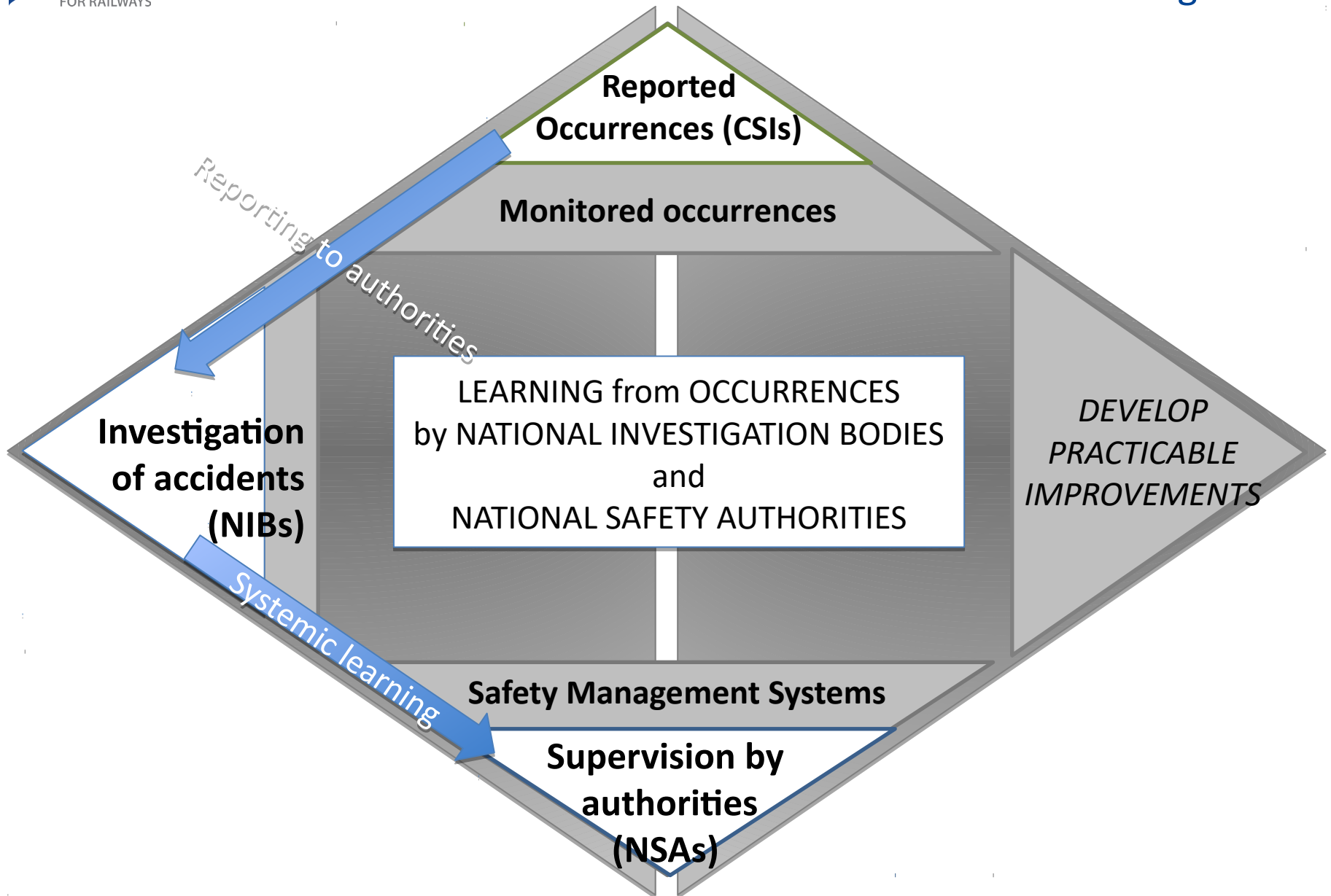
Improvement of prevention and mitigation of accidents

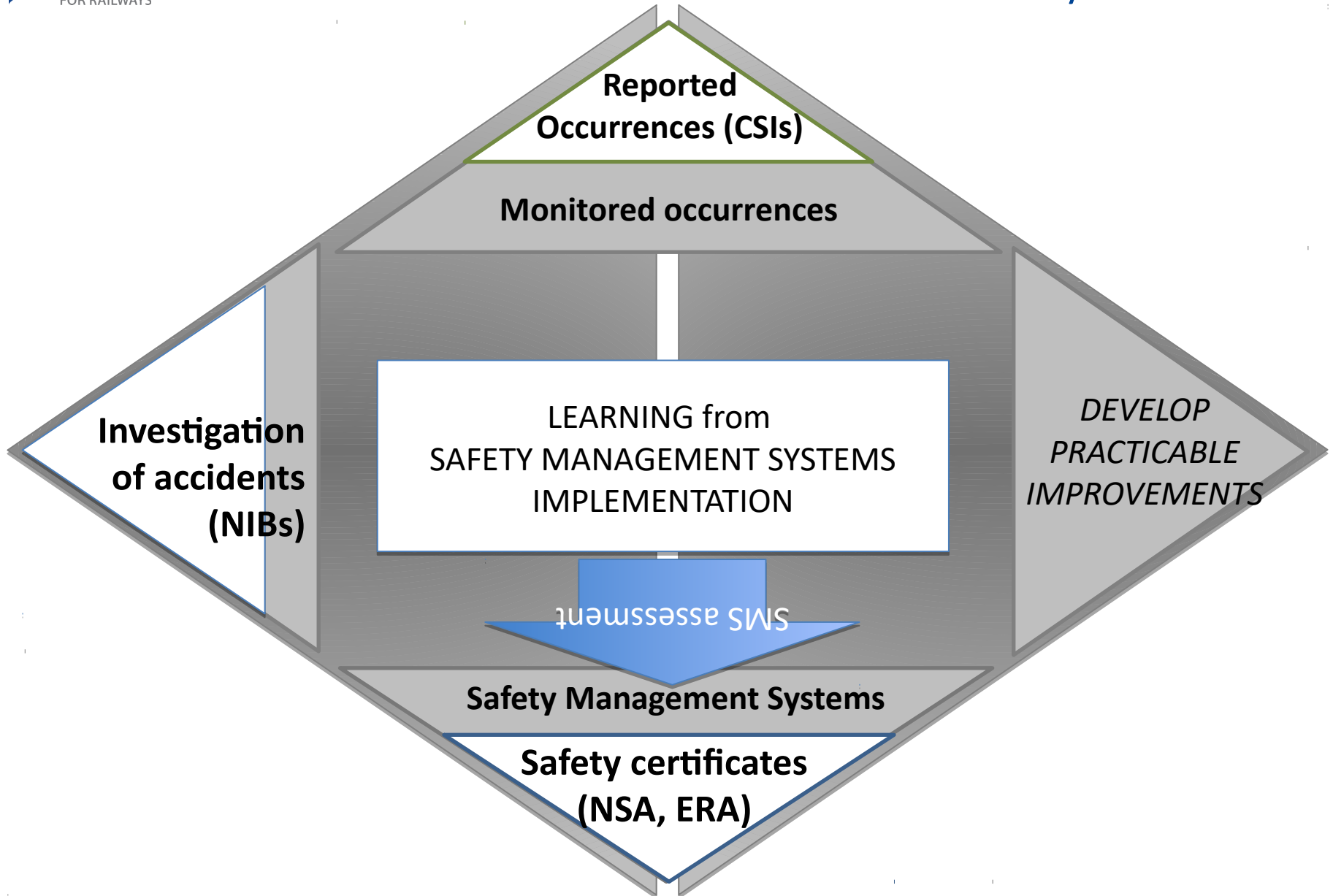


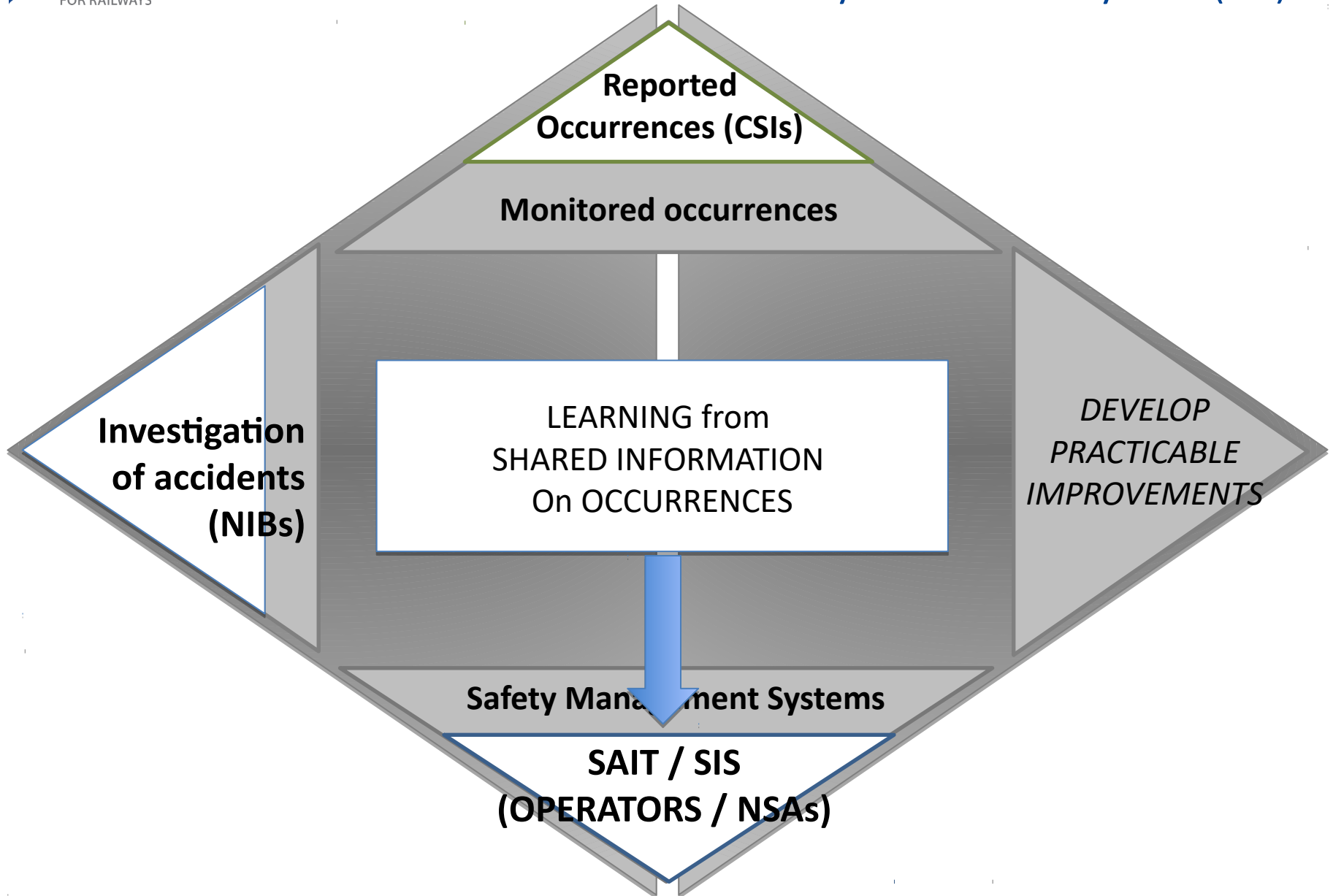
New safety control measure from accident learning



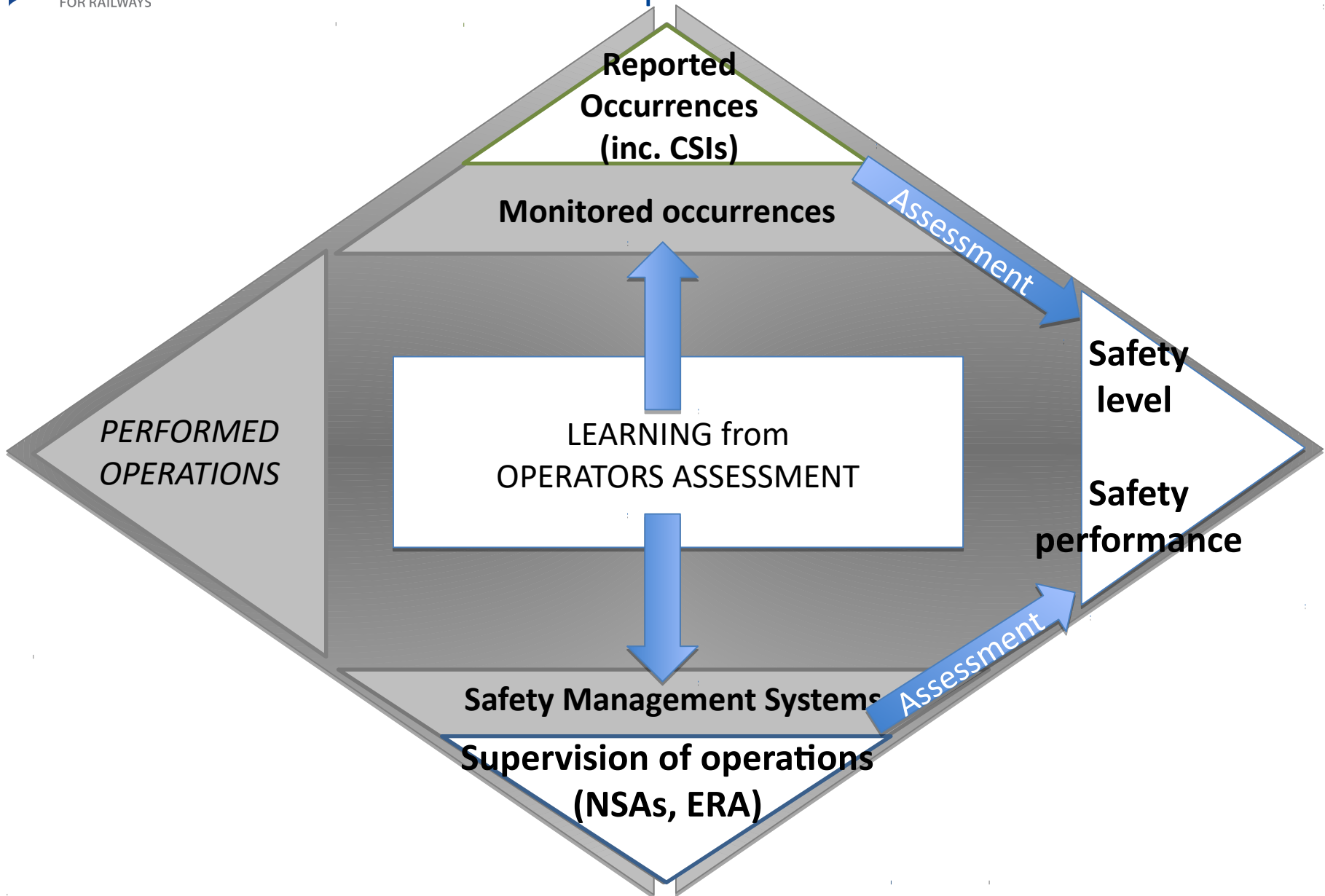








Assessment of safety level and safety performance of operators at National and Union levels





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