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:


(access to mandate documents here: http://ec.europa.eu/transparency/regdoc/index.cfm?fuseaction=list&n=10&adv=0&cotId=&year=&numbere=&dateFrom=&dateTo=&servicId=&documentType=&title=COMMISSION+IMPLEMENTING+DECISION+on+a+mandate+to+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

<table>
<thead>
<tr>
<th>UNECE/OTIF Joint Meeting WG on reporting improvement</th>
<th><strong>Point a)</strong> Clarify the purpose of reporting information on accident, and identify the use of the reported information (1.8.3.6, 1.8.5...)</th>
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<tbody>
<tr>
<td>CSM ASLP methods</td>
<td><strong>shall address</strong> &quot;the methods to be used, by railway undertaking and infrastructure managers (&quot;railway operators&quot;), national safety authorities, and, where relevant, the Agency for the assessment of safety level and safety performance of the railway operators&quot;</td>
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<td>Interactions with TDG occurrences reporting WG</td>
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<tr>
<td><strong>UNECE/OTIF Joint Meeting WG on reporting improvement</strong></td>
<td>Clarify the participants responsible for sending the report and/or complementary information</td>
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<td><strong>CSM ASLP methods</strong></td>
<td>shall address &quot;the information related to safety management system efficiency and of safety occurrences collected and shared at national and Union level.&quot;</td>
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<td>shall address &quot;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.&quot;</td>
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</table>
## Interactions with TDG occurrences reporting WG

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<tr>
<th>UNECE/OTIF Joint Meeting WG on reporting improvement</th>
<th>Point c) Examine anonymity issues</th>
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<td>CSM ASLP methods</td>
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<td>&quot;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&quot;</td>
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# Interactions with TDG occurrences reporting WG

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<th><strong>UNECE/OTIF Joint Meeting WG on reporting improvement</strong></th>
<th><strong>Point d)</strong> 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</th>
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<td><strong>CSM ASLP methods</strong></td>
<td><strong>The collection of information by operators &quot;shall be .../... consistent with the events defined in the list of the common safety indicators.&quot;</strong></td>
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<tr>
<td><strong>TDG Roadmap</strong></td>
<td><strong>F1 tables’ taxonomy and draft fault trees for Rail / Road / Inland Waterways and Multimodal Platforms</strong></td>
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<tr>
<td>UNECE/OTIF Joint Meeting WG on reporting improvement</td>
<td>Propose measures to facilitate the collection of the report by competent authorities and transmission of relevant information to UN and OTIF secretariat</td>
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<tr>
<td>CSM ASLP methods</td>
<td>The collection of information by operators &quot;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.&quot; The methods shall address &quot;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&quot;</td>
</tr>
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<td>UNECE/OTIF Joint Meeting WG on reporting improvement</td>
<td>Exchange of experience from competent authorities on methods used to ensure the accuracy of accident reporting</td>
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<td>CSM ASLP methods</td>
<td>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</td>
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<th>Point g)</th>
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<td>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</td>
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<th>Point g)</th>
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<td>The collection of information &quot;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.&quot;</td>
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Interactions with TDG occurrences reporting WG

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<th>Point h) Take into account the relevant IT tools, including the coordination with the development of 'common occurrence reporting' system (COR)</th>
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<td>CSM ASLP methods</td>
<td>If an information technology tool would be required, &quot;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&quot;</td>
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Questions ?
## Assessment of safety level and safety performance

### Point a) coordination topic

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Safe management of operations

PERFORM SAFE OPERATIONS

DEVELOP PRACTICABLE IMPROVEMENTS
Safe management of operations
(bow tie approach)
Continuous improvements

Monitored occurrences

PERFORM SAFE OPERATIONS

DEVELOP PRACTICABLE IMPROVEMENTS

Safety Management Systems
Continuous improvement

PERFORM SAFE OPERATIONS

CONTINUOUS IMPROVEMENTS by OPERATORS

DEVELOP PRACTICABLE IMPROVEMENTS

Safety Management Systems

Monitorings

Change Management
Safety barrier improvement

Monitored occurrences

PERFORM SAFE OPERATIONS

Safety Management Systems

REDUCTION OF OCCURRENCES

Statistic relevance

Perform Safe Operations

Safety Management Systems
Improvement of prevention and mitigation of accidents

Monitored occurrences

Safety Management Systems

PREVENTION & MITIGATION OF ACCIDENTS

DEVELOP PRACTICABLE IMPROVEMENTS

New practicable barrier

Cause of accidents
New safety control measure from accident learning

PERFORMING SAFE OPERATIONS

Monitored occurrences

Safety Management Systems

New safety barrier

IMPROVED SAFETY LEVEL
Investigation

Investigation of accidents (NIBs)

Supervision by authorities (NSAs)

Safety Management Systems

Monitored occurrences

Reported Occurrences (CSIs)

LEARNING from OCCURRENCES by NATIONAL INVESTIGATION BODIES and NATIONAL SAFETY AUTHORITIES

DEVELOP PRACTICABLE IMPROVEMENTS
Safety Certificates

Reported Occurrences (CSIs)

Monitored occurrences

Investigation of accidents (NIBs)

LEARNING from SAFETY MANAGEMENT SYSTEMS IMPLEMENTATION

Safety Management Systems

Safety certificates (NSA, ERA)

DEVELOP PRACTICABLE IMPROVEMENTS
Safety Alerts Information Tool (SAIT)
Safety Information System (SIS)

 Reported Occurrences (CSIs)

 Monitored occurrences

 LEARNING from
 SHARED INFORMATION
 On OCCURRENCES

 Investigation of accidents (NIBs)

 Safety Management Systems

 SAIT / SIS
 (OPERATORS / NSAs)

 DEVELOP PRACTICABLE IMPROVEMENTS
Assessment of safety level and safety performance of operators at National and Union levels

- Reported Occurrences (inc. CSIs)
- Monitored occurrences

Performed Operations

- Safety Management Systems
- Supervision of operations (NSAs, ERA)

Learning from OPERATORS ASSESSMENT

Safety level

Safety performance
Making the railway system work better for society.

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