



Organisation intergouvernementale pour les transports internationaux ferroviaires
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr
Intergovernmental Organisation for International Carriage by Rail

INF. 6

07/09/2021

Original: English

Joint Coordinating Group of Experts
(Video conference, 7 and 8 September 2021)

Agenda item 3: Review of and report on the list of priority items agreed at the previous meeting

5 b – Coordination process between RID and general Railway legislation for reporting accidents/incidents and statistics

ITEM 9: New Joint Meeting working group identifying interfaces with ERA tasks

Transmitted by European Union Agency for Railways

Item 9 – TDG occurrence reporting in accordance with CSM ASLP

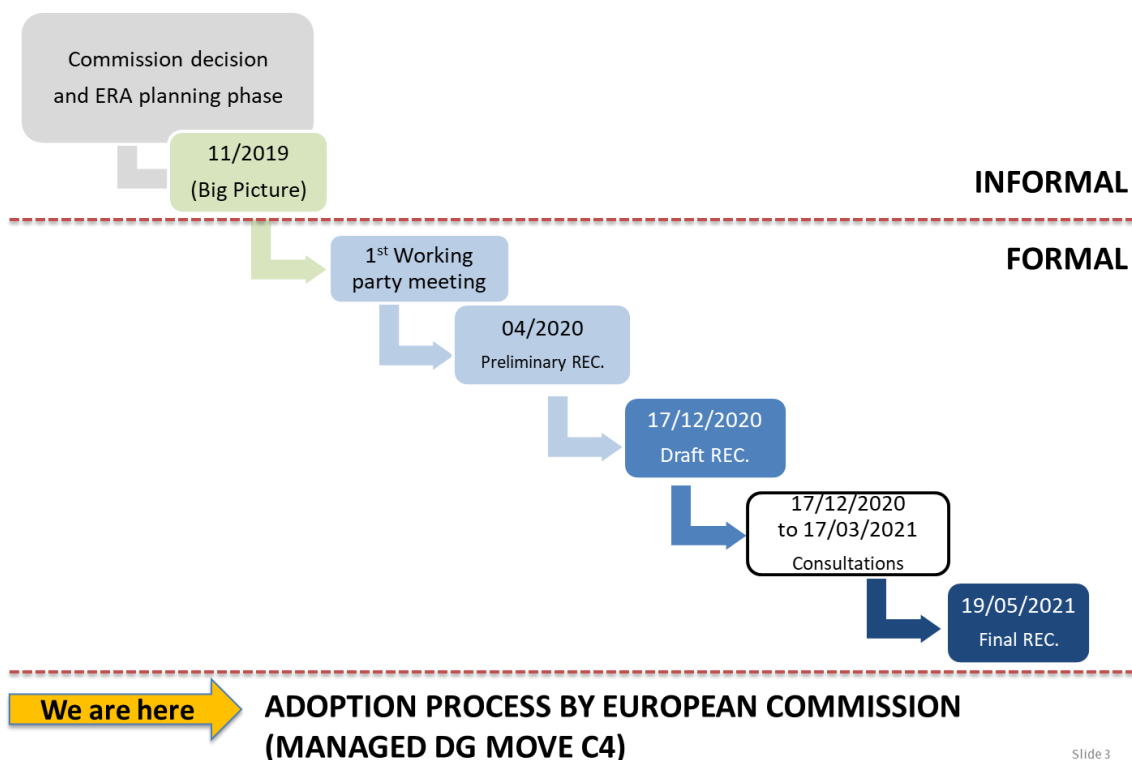
Joint Coordinating Group of Experts
(remote meeting) 7 September 2021



Outline

- CSM ASLP state of play
- Reporting requirements
- Practical implementation
- Planning of implementation (as foreseeable today)

CSM ASLP State of Play



Slide 3

CSM ASLP Recommendation State of Play

- ERA addressed its final recommendation to the European Commission

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Corporate publications +	<p>Recommendation ERA1219</p> <p>26/05/2021</p> <p>RECOMMENDATION ERA1219 OF THE EUROPEAN UNION AGENCY FOR RAILWAYS on Common Safety Methods for assessing the safety level and the safety performance of railway operators at national and Union level</p> <p>Recommendation adopted by ERA Executive Director (151.27 KB)</p> <p>CSM Regulation recommended for adoption (1.46 MB)</p> <p>Impact Assessment (674.97 KB)</p> <p>Accompanying report (632.78 KB)</p>					
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Slide 4

CSM ASLP requirements (also applicable to TDG railway service)

- Reporting by operators (RU/IM) in accordance with predefined taxonomy:
 1. Occurrences
 2. Scenario of occurrence (sequence of events and underlying factors)
 3. Risk control measures (RCMs)
 4. Continuous maintenance and development of RCMs (Performance of SMS application / PDCA cycle)
 5. Volume of transport operations

- Harmonised assessments of operators (RU/IM) processed by ERA
 - Safety level assessment (based on previous points 1 and 5)
 - Safety performance assessment (based on previous points 3 and 4)
 - Aggregation of national and Union level indicators

- Group of Analysts
 - Working on collective learning
 - Prevention of re-occurrence
 - Support continuous improvement of safety management (at operator/national/EU levels)
 - Support continuous improvement of the CSM itself (for example, taxonomy revisions...)

- Information Sharing System
 - Supporting sharing of information between all parties, inc TDG Competent Authorities
 - Possible link with pre-existing systems with a Common Digital Interface

CSM ASLP requirements versus RID provisions

Topic	CSM ASLP	RID	Comment
Reporting of Occurrence (RU and IM)	Yes, EU harmonised requirements (see Article 4.2)	Yes, RID harmonized (section 1.8.5.3)	On-going alignment of taxonomies by UNECE/OTIF WG on improvement of accident report Reporting criteria not fully aligned. Both text applicable to operators.
Reporting of occurrence Scenario	Yes, EU harmonized requirements (see Article 4.2b)	Not required, but possible.	Possibly shared between RID Contracting States (section 1.8.5.2) in case an accident report contains this type of information. Experience has indicated a low level of detail, in general.
Reporting of Risk Control Measures applied by RU and IM	Yes, EU harmonized requirements	Not required	CSM ASLP focusses on the prevention of transport accidents and incidents
Reporting of Volume of transport	Yes, EU harmonized requirements	Not required	Volume per type of railway service, including TDG service.
Assessment of operators (RU and IM)	Yes, EU harmonized assessment	Not required	
Continuous improvement (RU and IM)	Yes, EU harmonized CSM on SMS (Regulation)	Yes, RID/ADR/ADN duties of the safety advisors (1.8.3.3 RID)	Broadly equivalent in terms of topics covered, but different legal approach and scope. Both texts are applicable to operators.
Prevention of re-occurrence	Yes, Group of Analysts (see Article 6)	Safety Advisor duty (section 1.8.3.3)	RID: <i>“Implementation of appropriate measures to avoid the recurrence of accidents, incidents or serious infringements”</i> CSM ASLP: Collective improvements by Group of Analysts
Harmonised sharing of information	Yes, Information Sharing System (see Article 7)	Possibly shared between RID Contracting States (section 1.8.5.2)	CSM ASLP – Appendix D, <u>defines the rules for sharing</u> information reported by RU and IM with each railway actors, including TDG Competent Authorities.

CSM ASLP practical implementation

Article 4

.../...

2. Each railway operator involved in an occurrence shall report in accordance with Appendix A:

- (a) a ‘Simple Reporting’
 - i. of any accidents with a serious or significant consequence, within 72h,
 - ii. of any accidents with a consequence above 5000 euros and of any category B event types, at the latest 72h after the end of the applicable reporting period;
- (b) a ‘Detailed Reporting’ and a ‘Reporting of the Occurrence Scenario’ of any accidents with serious or significant consequence, within 2 months.

Reports in accordance with Article 4(2)(b) concerning level crossing accidents and accidents to persons involving rolling stock in motion shall only be applied on request from the Agency, according to the process described in Appendix A – Part A, section 4.

CSM ASLP practical implementation

see Appendix A

.../...

Dataset for 'Simple Reporting'		
Data items	Applicable parameter/values	Comment
Reporting entity	Entity name	(specific interest data)
Reporting entity category	Entity category code	In accordance with the coding defined in Appendix D – Part B
Reporting entity identifier	Entity ID Number	(specific interest data) (when not defined yet, a unique identifier will be allocated in accordance with Appendix D – Part B)
Reporter contact name	Contact name	(personal data)
Reporter contact e-mail	Contact e-mail	(personal data)
Reporter contact identifier	Contact ID number	(personal data)
Reporting reason	'OPERATOR INVOLVED' Or 'INTERESTED PARTY'	(specific interest data). (personal or specific interest data, as applicable)
Type of operation(s) performed	Operation code	Operation code in accordance with Appendix D – Part B - section 1.
Occurrence identifier	Occurrence ID or 'NEW'	In accordance with ISS identification process (Country code, Reference number)
Occurrence event type	Event type code	(Code as per Appendix A) (if not yet included in the up-to-date version of Appendix A, the reporting of a new event types shall be provided in accordance with Appendix A – Part C section 3.3 - new event type name, - corresponding definition.

	- category/sub-category of event types it would belong too, or proposed new category) Is it a Dangerous Goods occurrence in accordance with applicable legislation? Yes / No	If Yes, please complement your report in accordance with applicable Transport of Dangerous Goods legislation.
Occurrence location	Country Location name Location code Geographical coordinates - Latitude - Longitude (optional): Other location reference	(Station name or Line name) (RINF location code) (Norm EP5G:3557) (free text)
Date of occurrence	dd.mm.yyyy	/
Time of occurrence	hh:mm:ss	/
Estimation of fatalities, injuries and damages (Not applicable to simple reporting of category B events)	Fatalities: Total number of persons for the occurrence Serious injuries: Total number of persons for the occurrence Light injuries: Total number of persons for the occurrence Damages: Estimated total in euros for the reported occurrence Damages: Total in euros for the reporting entity	(In the context of the Simple Reporting those elements shall be considered as first estimations)
Deemed cause of the reported occurrence	List of event type code(s) considered as causal factor(s)	(Coding as per Appendix A)
(Optional for the simple reporting of category B events)	(if not yet included in the up-to-date version of Appendix A, the reporting of applicable event types shall be provided in accordance with Appendix A – Part C section 3.3. - new event type name, - corresponding definition, - category/sub-category of event types it would belong too, or proposed new category)	(in this case the Group of Analyst is informed of the proposed new event type name and of the proposed definition in accordance with Appendix A – Part C section 4)
Free text (optional)	Content of reported free text shall be in accordance with Appendix D – General Part, section 3.2.	(only to be used if needed for better understanding of the reported dataset)

CSM ASLP practical implementation

see Appendix D

.../...

	Applicable rules for data and information <u>specified as mandatory</u> by the CSM ASLP			Applicable rules for data and information <u>not specified as mandatory</u> by the CSM ASLP.
	Concerning one given railway operator	Concerning one EU Member State	Concerning the SERA	Any other data or information
May be shared with				
the same given (single) railway operator	Any data and information to be shared in application of the CSM concerning the targeted railway operator			
the authority(ies) from the EU Member State(s) where the targeted railway operator operates (NSA, NIB, TDG CA)	Any data and information to be shared in application of the CSM in accordance with the scope of operations of the targeted railway operator in the concerned EU Member State(s)	Any national averages or national patterns to be shared in application of the CSM	Any EU averages or EU patterns to be shared in application of the CSM	Sharing of information based on applicable EU legislation, and where necessary, completed by a confidentiality agreement signed between the concerned parties. The sharing of data and information will be managed, when necessary under a specific fee-based regime, in agreement with the concerned entry(ies) and the Agency in order to cover the expenditures incurred by the Agency related to the design, setting, operation, and maintenance of the shared data and information.
European Union Agency for Railways (the Agency)	Any data and information to be managed in application of the CSM			
Group of analysts (GoA)	Any data and information to be shared in accordance with the Working Arrangements referred to in Article 6(1) and in accordance with the applicable EU legislation.			
Other entities and General public	Any data and information foreseen to be made public in application of the CSM ASLP, or on request in accordance with the applicable EU legislation.			

Slide 9

CSM ASLP phased implementation

see Article 11

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Entry into force and application

1. This Regulation shall enter into force on the twentieth day following its publication in the *Official Journal of the European Union*.

2. The Group of Analysts referred to in Article 6(1) shall be established by the Agency and shall start its activities before [date].

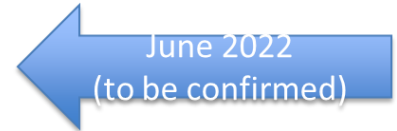
3. Before the full application of this Regulation is implemented in accordance with Article 11(4), the implementation shall be performed with a phased introduction of the Information Sharing System and of the implementation scope, as following:

(a) Phase 1 shall apply from [date] and shall be implemented with the help of an immediately available ICT solution provided by the Agency, not requiring specific developments and entities requested to share data and information in accordance with this Regulation shall register and connect with the provided solution.

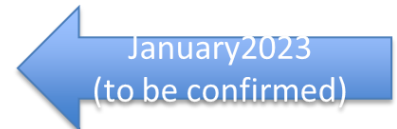
(b) Phase 2 shall apply after the Agency has addressed a recommendation in accordance with Article 10(1) to the European Commission and after the Agency has made available a first version of the Information Sharing System.

The entities requested to share data and information in accordance with this Regulation shall register and connect with the Information Sharing System not later than six months after this phase has started.

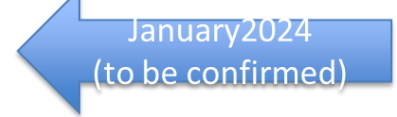
During the above mentioned phases 1 and 2 the collection of data and information shall be limited to Articles 4(2)(a)(i) and 4(2)(b) and limited to accidents with serious consequences.



June 2022
(to be confirmed)



January 2023
(to be confirmed)



January 2024
(to be confirmed)

CSM ASLP phased implementation

see Article 11

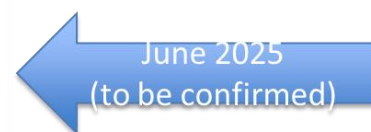
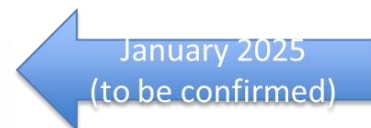
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- (c) Phase 3 shall apply after the Agency has addressed a recommendation in accordance with Article 10(1) to the European Commission and after an updated version of the Information Sharing System ensuring the full applicability of this Regulation has been made available.

Phase 3 shall implement the full scope of data and information collection defined in Article 4.

4. The Regulation shall apply in its entirety six months after the starting date of phase 3 referred to in Article 11(3)(c).

This Regulation shall be binding in its entirety and directly applicable in all Member States.



Slide 11



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