

RECOMMENDATION

of the Team for implementation of the action plan for improvement of the approach to risk-based safety management

on how to monitor the effectiveness of risk control measures (safety measures)

Date of issue

20 September 2022, version I

The Recommendation is addressed to

Managers, carriers and entities in charge of maintenance

Content of the Recommendation

The indicators referred to in Point 2.4 of Regulation 1078/2012¹ must allow for assessment of effectiveness of specific risk control measures.

Related regulations

Point 2.4 of the Annex to Regulation 1078/2012.

Issue description

The experience of the members of the Team shows that the actors obliged to apply Regulation 1078/2012 adopt the monitoring measures referred to in this Regulation that are too general in nature to ensure effective monitoring of risk control measures (safety measures).

Under Article 1(2)(a) of Regulation 1078/2012, the subject Regulation applies, *inter alia*, in the area of checking of correct application and the effectiveness of all the processes and procedures in the management system, including the technical, operational and organisational risk control measures, and in the area of checking of correct application of the management system as a whole and achievement by the system of expected outcomes.

¹ Commission Regulation (EU) No 1078/2012 of 16 November 2012 on a common safety method for monitoring to be applied by railway undertakings, infrastructure managers after receiving a safety certificate or safety authorisation and by entities in charge of maintenance (O.J. EU L 320, 17.11.2012, pp. 8-13)

Under Article 3(1)(a) of Regulation 1078/2012, every railway undertaking, infrastructure manager and entity in charge of maintenance shall be responsible for conducting the monitoring process.

Under Point 2.4 of Regulation 1078/2012, the monitoring strategy and plan(s) shall define either quantitative or qualitative indicators or a mixture of both that can:

- a) give early warnings of any deviation from the expected outcome, or assurance that the expected outcome is achieved as planned;
- b) give information about unwanted outcomes;
- c) support decision making.

It follows from the above provisions that the indicators to be adopted in implementation of the Regulation cannot be limited to the issue of the general performance of a given actor in terms of safety (e.g. to determine the accident rate, understood as a reference of the total number of accidents involving the carrier to the operational work performed by this carrier). Such general indicators can only be used to assess the effectiveness of the management system as a whole and achievement of the expected results by it.

Proper implementation of the requirements of Regulation 1078/2012 regarding monitoring of effectiveness of risk control measures consists in defining indicators that enable the assessment of specific, individual risk control measures. For example, if the risk management measure is staff training, the metric should allow to assess the effectiveness of the training (e.g. by specifying the desired average scores in the knowledge-testing exams).

The source of information for building the measure are the sources of hazard. In the above example, if the source of the hazard is incorrect interpretation of instructions and regulations, the measure should enable assessment of effectiveness of training on the instructions and regulations in force in the relevant organization.

Regulation 1078/2012 does not require that every risk control measure implemented by the manager, carrier or entity in charge of maintenance be continuously monitored. Monitoring strategies and plans are used to select the risk management measures to be monitored at any given time.

It should also be noted that monitoring the effectiveness of risk control measures is a different process than recording progress in monitoring the risk associated with identified hazards referred to in point 4 of Regulation 402/2013². The process referred to in point 4 of Regulation 402/2013 consists in monitoring the (level of) risk, and thus measuring the frequency of accidents and incidents leading to damage (caused by the hazard) and the severity of this damage. Data from this process can be used to prioritize monitoring under Regulation 1078/2012, but risk (level) monitoring cannot be assumed to meet the requirements of Regulation 1078/2012

² Commission Implementing Regulation (EU) No 402/2013 of 30 April 2013 on the common safety method for risk evaluation and assessment and repealing Regulation (EC) No 352/2009 (O.J. EU L 121 of 03.05.2013, p. 8, as amended).

for monitoring risk management measures as it does not allow the assessment of effectiveness of individual measures.

It should also be emphasized that inspections or audits are not a tool for monitoring risk control measures referred to in Regulation 1078/2012. Therefore, it cannot be assumed that the manager, carrier or ECM, by carrying out internal controls or audits, meets the requirements of Regulation 1078/2012 regarding risk control measures this way. On the other hand, data from audits and internal controls can be used as a source of data for monitoring with indicators or for defining monitoring strategies and plans.

Team Leader

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signature./*

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