

RECOMMENDATION

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

on the monitoring of risk of hazards which may lead to railway incidents

Date of issue

5 June 2013, version 1

The Recommendation is addressed to

Proposers within the meaning of Article 3(11) of Regulation 402/2013¹, infrastructure managers and undertakings.

Content of the Recommendation

Infrastructure managers, undertakings and other proposers (e.g. entities in charge of maintenance) are obliged to monitor the actual level of risk generated by identified hazards. Effective implementation of this process requires ensuring a uniform method of presenting data and information in various processes within the organisation's own scale as well as statistical analysis of railway incidents that have occurred.

Related regulations

Point 4.1.1 of Annex I to Regulation 402/2013, Point 3.1.1 of Annex I and Annex II to Regulation 2018/762².

Issue description

Point 4.1.1 of Annex I to Regulation 402/2013 requires the hazard record to track the progress in monitoring risks associated with the identified hazards.

¹ 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).

² Commission Delegated Regulation (EU) 2018/762 of 8 March 2018 establishing common safety methods on safety management system requirements pursuant to Directive (EU) 2016/798 of the European Parliament and of the Council and repealing Commission Regulations (EU) No 1158/2010 and (EU) No 1169/2010 (O.J. EU L 129 of 25.05.2018, pp. 26-48)

In order to determine the actual level of risk for a specific hazard, data on the materialisation of hazards, i.e., on the occurrence of railway incidents, must be collected.

Railway committees are obliged to qualify railway incidents according to Annex 5 to the Regulation of the Minister of Infrastructure and Construction of 16 March 2016 on serious accidents, accidents and incidents in rail transport (Journal of Laws of 2016, item 369). The catalogue provided for in Annex 5 describes incidents not only in terms of hazards (runaway vehicle, incorrect train arrangement), but also in terms of their consequences (fire, explosion). For the purpose of monitoring the risk caused by the hazards provided for in the record, in practice it will be necessary to develop a reflection (link) between the hazards specified in the record and the catalogue provided for in the Regulation. This way, it will be possible to collect data on actual incidents and, on their basis, monitor the risk of specific hazards specified in the record.

Under Article 3(1) of Regulation 402/2013, “risk” means the frequency of occurrence of accidents and incidents resulting in harm (caused by a hazard) and the degree of severity of that harm. Risk monitoring should, therefore, include the processing of information on both the frequency of incidents and their consequences. It should allow the study of trends (progress) in the level of risk of each specific risk specified in the record.

It is also necessary to determine (process) information on the actual causes of incidents in order to (possibly) supplement the hazard record which, according to the requirements, must also include the sources of hazards. At the same time, the members of railway committees should be required to formulate the causes of accidents when investigating accidents and incidents in accordance (consistently) with the nomenclature used in the hazard record of the entity proper for the established root cause.

Based on the analysis of the risk level, decision should be made on risk re-evaluation. If the level of risk exceeds the assumptions made in the estimation of explicit risk, then it is necessary to implement additional safety measures in order to reduce the risk to an acceptable level.

In order for risk monitoring to be comprehensive (taking into account all incidents and all hazards), it may be necessary to oblige other entities (subcontractors, suppliers) to provide appropriate information on the causes or consequences of incidents.

In order to effectively fulfil the obligations set out in Point 4.1.1 of Annex I to Regulation 402/2013, it is recommended to implement IT applications.

Information collected as part of monitoring of the risk level of identified hazards can be used to monitor the effectiveness of risk control measures in accordance with Regulation 1078/2012³.

³ 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)

In addition to monitoring the risk level, undertakings, managers and entities in charge of maintenance must bear in mind the obligation to monitor the effectiveness of risk control measures, which requires establishment of separate indicators⁴.

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⁴ According to the 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).

