

Railway Group Standard

GE/RT8047

Issue Six

December 2013

Reporting of Safety Related Information

Synopsis

This document mandates the requirements for reporting safety related information by means of the Safety Management Information System (SMIS), so that reliable safety data is collected, analysed and made available for use by rail industry parties in the management of risk.

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Issue	Date	Comments
One	June 2001	Original document (rapid response).
Two	February 2003	Superseded issue one by expanding the scope, and reviewing and revising the existing controls.
Three	October 2007	Reissued to take account of introduction of ROGS 2006 and changes in responsibility for system safety and reporting. Superseded issue two with revision of content in line with Strategy for Standards Management, expansion of Tables A and B to provide additional detail, and inclusion of hazard ranking instructions in Table C for dangerous goods incidents (transferred from GO/RT3425).
Four	December 2009	Small scale amendment. Reissued to include minor changes to Table A, including new sections on ERTMS, with consequential changes to the Definitions section.
Five	05 March 2011	Small scale amendment. Addition of non-mandatory Appendices A and B, detailing suggested SMIS reportable events for yards, depots and sidings to support enhanced reporting to the Safety Risk Model. Consequential changes to clauses 1.2.1.2, 1.2.2.1 a) ii), 3.1.1.4, 3.2.1.3 and Definitions section. In Table C, there was the addition of UN 9933 to column 4 alongside UN 8989 and the deletion of the reference to tanks of reportable "non-dangerous" petroleum products and gas oil from locomotive fuel tanks from column 3.
Six	07 December 2013	Document amended following changes to the definition of SPAD categories within ROGS and consequential updates to GO/RT3119. This resulted in the removal of SPAD Categories B, C and D (Category A SPADs remain defined as such). The term 'irregular working' has been replaced throughout by the new term 'Operational Incidents'. There are other minor amendments throughout the document to account for the above.

Amended or additional parts and/or sections of revised pages have been marked by a vertical black line in the adjacent margin.

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Superseded documents

The following Railway Group documents are superseded, either in whole or in part as indicated:

Superseded documents	Sections superseded	Date when sections are superseded
GE/RT8047 Reporting of Safety Related Information, issue five	All	01 March 2014

GE/RT8047 issue 5 ceases to be in force and is withdrawn as of 01 March 2014.

Supply

The authoritative version of this document is available at www.rgsonline.co.uk.
Uncontrolled copies of this document can be obtained from Communications, RSSB, Block 2, Angel Square, 1 Torrens Street, London EC1V 1NY, telephone 020 3142 5400 or e-mail enquirydesk@rssb.co.uk. Other Standards and associated documents can also be viewed at www.rgsonline.co.uk.

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Reporting of Safety Related Information

Part 1 Purpose and Introduction

1.1 Purpose

- 1.1.1 This document mandates requirements for the reporting of safety related information by means of the Safety Management Information System (SMIS), so that reliable safety data is collected, analysed and made available for use by rail industry parties in the management of risk.

1.2 Introduction

1.2.1 Background

- 1.2.1.1 Issue six of this standard has been amended to take into account the changes that have been made to the definition of Signal Passed At Danger (SPAD) categories within amendments to Railways and Other Guided Transport Systems Regulations 2006 (as amended) (ROGS) and consequential updates to GO/RT3119 Accident and Incident Investigation. This resulted in the removal of SPAD Categories B, C and D (Category A SPADs remain defined as such). The events that were contained within the deleted SPAD categories have been retained and reallocated to other SMIS event descriptions in order to preserve information and data for continued use in safety analysis. In addition there has been some wording added to the Table A Events section to remind transport undertakings that the final designation and confirmation of a Category A SPAD rests with the lead organisation responsible for the investigation. The term 'irregular working' has been replaced throughout by the new term 'Operational Incidents'. It should be noted that there are no changes to any of the requirements in Part 2 of this Standard.

1.2.2 Principles

- 1.2.2.1 The requirements of this document are based on the following principles:
- a) Safety related information should be reported in a timely and consistent manner (also satisfying statutory reporting requirements such as RIDDOR 1995) where relevant:
 - i) To assist the assessment of the severity, frequency and origins of hazards arising from the running of trains on Network Rail Managed Infrastructure (NRMI).
 - ii) To assist the assessment of the severity, frequency and origins of hazards arising from train movements within yards, depots and sidings managed by other infrastructure managers and which are not part of NRMI. Reporting of this information to SMIS is non-mandatory.
 - iii) To assist the monitoring of industry safety performance against objectives.
 - iv) To assist the monitoring of compliance with infrastructure managers' and railway undertakings' safety certificates.
 - v) To support the accident investigation, recommendation tracking and risk management processes.
 - b) Infrastructure managers and railway undertakings should have arrangements in place to receive and process reports of events from:
 - i) Their employees.
 - ii) Their contractors that do not have direct access to SMIS.

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- iii) Other parties using premises for which the infrastructure manager or railway undertaking is responsible (including tenants and licensees of parts of stations).
- c) Infrastructure managers and railway undertakings should have robust systems in place to input in SMIS details of accidents and incidents, where necessary having formal arrangements in place for another industry party to undertake this on their behalf.
- d) Where an accident or incident is investigated and for any reason the event owner does not fulfil the role of lead organisation (as defined in GO/RT3119 Accident and Incident Investigation), arrangements should be made for information arising from the investigation to be transmitted to the event owner for input to SMIS.

1.2.3 Supporting documents

- 1.2.3.1 Further information on definitions used in categorising safety information and supplementary guidance on RIDDOR 1995 statutory reporting can be found on the report section of the RSSB website, www.rssb.co.uk. This information is maintained currently by the Safety Knowledge & Planning team.

1.3 Approval and authorisation of this document

- 1.3.1 The content of this document was approved by Traffic Operation and Management Standards Committee on 17 September 2013.
- 1.3.2 This document will be authorised by RSSB on 01 November 2013.

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Part 2 Requirements for Reporting of Safety Related Information

2.1 Responsibilities of infrastructure managers and railway undertakings

2.1.1 Reporting accidents and incidents to SMIS

- 2.1.1.1 Infrastructure managers and railway undertakings (as event owners) shall utilise the Safety Management Information System (SMIS) to report events categorised in Tables A, B and C.
- 2.1.1.2 Infrastructure managers and railway undertakings (as event owners) shall be responsible for inputting data accurately and correcting errors in event records for which they are responsible.
- 2.1.1.3 Infrastructure managers and railway undertakings shall provide relevant reports and information to the event owner.

2.1.2 Investigations – reporting causation and tracking implementation of recommendations

- 2.1.2.1 Infrastructure managers and railway undertakings (as event owner) shall be responsible for reporting to SMIS the immediate and underlying causes determined by an investigation.
- 2.1.2.2 Infrastructure managers and railway undertakings (as event owner) shall input to SMIS a summary report of an investigation and any recommendations, and manage the tracking of implementing recommendations.
- 2.1.2.3 Infrastructure managers and railway undertakings shall report to SMIS their progress made towards implementing recommendations accepted from investigations.

2.1.3 Timescales for reporting

- 2.1.3.1 Infrastructure managers and railway undertakings shall make an initial report to SMIS within five working days of an event occurring, except for events reportable to Rail Accident Investigation Branch (RAIB) under schedule 1 or 2, where they shall be reported within three working days.
- 2.1.3.2 Infrastructure managers and railway undertakings shall finalise and formally close the SMIS event record (including details of causation) within twenty working days of the event.
- 2.1.3.3 Infrastructure managers and railway undertakings (as event owner) shall finalise the record in SMIS of causation details, completed summary report and recommendations arising from an investigation within twenty working days of publication of the investigation report.

2.2 Responsibilities of the infrastructure manager (Network Rail)

2.2.1 Maintenance of SMIS asset registers

- 2.2.1.1 The infrastructure manager (Network Rail) shall maintain the SMIS asset registers with current information.

2.2.2 Hazard ranking of dangerous goods incidents

- 2.2.2.1 The infrastructure manager (Network Rail) shall allocate a unique reference number and hazard rank dangerous goods incidents according to the instructions and matrix in Table C, and distribute the information to the railway undertaking(s) concerned.

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2.2.3 Availability of information held in the Fault Management System (FMS)

2.2.3.1 The infrastructure manager (Network Rail) shall make information held in FMS available to railway undertakings and other infrastructure managers.

2.2.4 Availability of daily incident log

2.2.4.1 The infrastructure manager (Network Rail) shall make the daily incident log available to railway undertakings and other infrastructure managers.

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Part 3 Application of this document

3.1 Application - infrastructure managers

3.1.1 Scope

- 3.1.1.1 The requirements of this standard apply to reporting the categories of events listed in Tables A, B and C.
- 3.1.1.2 This standard applies to:
- a) Events occurring on NRMI and at stations.
 - b) Events that do not occur on NRMI or at stations but which cause, or have the potential to cause, an increase in risk on NRMI or at stations.
 - c) Events that do not occur on NRMI or at stations, but about which information is needed for monitoring trends and assessing the risk of events reported in accordance with a) and b).
 - d) Enforcement action taken by any enforcing authority concerning issues relating to:
 - i) Operations and activities on or affecting NRMI.
 - ii) Operations and activities on or affecting stations.
 - iii) Operations of trains and rail vehicles on or affecting NRMI.
- 3.1.1.3 The use within Tables A and B of the suffix letters 'SO' (station operator), bracketed after 'infrastructure manager', is intended to clarify reporting roles for incidents occurring at stations, and to distinguish this role from the management of the operating infrastructure as carried out by Network Rail.
- 3.1.1.4 The events listed in non-mandatory Appendices A and B, relate to the reporting to SMIS of incidents occurring in yards, depots and sidings that do not form part of the NRMI. Reporting of this information to SMIS is non-mandatory.
- 3.1.1.5 Data held in SMIS is intended for use by infrastructure managers and railway undertakings in carrying out their responsibilities for the management of risk. Information must be provided in a way that protects anonymity and commercial confidentiality.
- 3.1.1.6 Release of SMIS data to parties outside the SMIS scope is only permitted to meet statutory requirements or when any person or organisation is authorised to receive it by a rail industry party. As anonymity and commercial confidentiality is to be preserved, in any case where it may be possible to identify an organisation or individual, data must not be released without the consent of that organisation.

3.1.2 Exclusions from scope

- 3.1.2.1 The only exclusion from the scope specified in clause 3.1.1 for infrastructure managers is that this document does not apply to the initial advice of an event (for example, information given by a train driver or signaller), the requirements for which are detailed in GE/RT8000 Rule Book or GO/RT3053 Working Manual for Rail Staff, Handling and Carriage of Dangerous Goods.

3.1.3 General compliance date for infrastructure managers

- 3.1.3.1 This Railway Group Standard comes into force and is to be complied with from 01 March 2014, except as specified in section 3.1.4.

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- 3.1.3.2 After the compliance dates or the date by which compliance is achieved if earlier, infrastructure managers are to maintain compliance with the requirements set out in this Railway Group Standard. Where it is considered not reasonably practicable to comply with the requirements, authorisation not to comply should be sought in accordance with the Railway Group Standards Code.

3.1.4 Exceptions to general compliance date

- 3.1.4.1 There are no exceptions to the general compliance date specified in clause 3.1.3 for infrastructure managers.

3.2 Application - railway undertakings**3.2.1 Scope**

- 3.2.1.1 The requirements of this standard apply to reporting the categories of incidents listed in Tables A, B and C.
- 3.2.1.2 This standard applies to:
- a) Events occurring on NRMI and at stations.
 - b) Events that do not occur on NRMI or at stations but which cause, or have the potential to cause, an increase in risk on NRMI or at stations.
 - c) Events that do not occur on NRMI or at stations, but about which information is needed for monitoring trends and assessing the risk of events reported in accordance with a) and b).
 - d) Enforcement action taken by any enforcing authority concerning issues relating to:
 - i) Operations and activities on or affecting NRMI.
 - ii) Operations and activities on or affecting stations.
 - iii) Operations of trains and rail vehicles on or affecting NRMI.
- 3.2.1.3 The events listed in non-mandatory Appendices A and B, relate to the reporting to SMIS of incidents occurring in yards, depots and sidings that do not form part of the NRMI. Reporting of this information to SMIS is non-mandatory.
- 3.2.1.4 Data held in SMIS is intended for use by infrastructure managers and railway undertakings in carrying out their responsibilities for the management of risk. Information must be provided in a way that protects anonymity and commercial confidentiality.
- 3.2.1.5 Release of SMIS data to parties outside the SMIS scope is only permitted to meet statutory requirements or when any person or organisation is authorised to receive it by a rail industry party. As anonymity and commercial confidentiality is to be preserved, in any case where it may be possible to identify an organisation or individual, data must not be released without the consent of that organisation.

3.2.2 Exclusions from scope

- 3.2.2.1 The only exclusion from the scope specified in clause 3.2.1 for railway undertakings is that this document does not apply to the initial advice of an event (for example, information given by a train driver or signaller), the requirements for which are detailed in GE/RT8000 Rule Book or GO/RT3053 Working Manual for Rail Staff, Handling and Carriage of Dangerous Goods.

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3.2.3 General compliance date for railway undertakings

- 3.2.3.1 This Railway Group Standard comes into force and is to be complied with from 01 March 2014, except as specified in section 3.2.4.
- 3.2.3.2 After the compliance dates or the date by which compliance is achieved if earlier, railway undertakings are to maintain compliance with the requirements set out in this Railway Group Standard. Where it is considered not reasonably practicable to comply with the requirements, authorisation not to comply should be sought in accordance with the Railway Group Standards Code.

3.2.4 Exceptions to general compliance date

- 3.2.4.1 There are no exceptions to the general compliance date specified in clause 3.2.3 for railway undertakings.

3.3 Health and safety responsibilities

- 3.3.1 Users of documents published by RSSB are reminded of the need to consider their own responsibilities to ensure health and safety at work and their own duties under health and safety legislation. RSSB does not warrant that compliance with all or any documents published by RSSB is sufficient in itself to ensure safe systems of work or operation or to satisfy such responsibilities or duties.

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Table A Events to be reported

The contents of this table are mandatory.

Event category	SMIS component	SMIS event owner	Usage
Animals on the line Any case of: a) Cattle or a horse or other large animal b) A flock of smaller animals on a running line or in a siding that is NRMI.	Animals – on the line	Infrastructure manager	Safety Risk Model (SRM) Safety performance reporting
Animals struck by trains Any case of a train striking: a) Cattle or a horse or other large animal. b) Any other animal where damage is caused to the train necessitating immediate temporary or permanent repair and while the train is on a running line or in a siding that is NRMI.	Train – striking animal	Infrastructure manager	Legislation SRM Safety performance reporting
Breathing apparatus malfunction Any case involving the malfunction of breathing apparatus during testing immediately prior to use or while in use.	Breathing apparatus – malfunction	Infrastructure manager – where work is associated with NRMI Infrastructure manager (SO) – where work is associated with station and NRMI not affected	Legislation
Bridge strikes Any case of a bridge being struck by a vessel or by a road vehicle or its load and the bridge either carries or traverses a running line or a siding that is NRMI.	Bridge – strike	Infrastructure manager	Legislation SRM Safety performance reporting
Buffer stop collisions Any case of a train or rail vehicle striking buffer stops on a running line or in a siding that is NRMI.	Train – striking buffer stop	Railway undertaking	Legislation SRM Safety performance reporting
Buffer-locking of vehicles Any case involving the locking of the buffers of two or more vehicles while on a running line or a siding that is NRMI, except where a derailment occurs (which is separately reported under this standard).	Train – buffer locking	Railway undertaking	SRM Safety performance reporting

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Event category	SMIS component	SMIS event owner	Usage
Collapse of a building or structure Any case involving the unintended collapse or partial collapse of: a) A building or structure (whether above or below ground). b) Any floor or wall of any building (whether above or below ground) used as a place of work. c) Any false work.	Building – unintended collapse etc.	Infrastructure manager – where NRMI affected Infrastructure manager (SO) – if at a station and NRMI not affected	Legislation SRM Safety performance reporting
Collisions Any collision: a) Between trains or rail vehicles on a running line, including a collision: i) With an open door or other projection from another train, for example a displaced load on a freight rail vehicle. ii) While the line is blocked, due to a previous accident or emergency. iii) Occurring within a possession, including work sites within a possession. iv) Occurring during a shunting operation. b) In a siding that results in a running line being physically obstructed. c) In a siding that is NRMI.	Train – collision	<i>If as a consequence of a category A SPAD see 'Signal Passed at Danger' section</i> Infrastructure manager, unless collision in station and no category A SPAD involved, in which case railway undertaking responsible	Legislation SRM Safety performance reporting
Congestion at stations Any case where planned procedures or arrangements have been activated in order to control risks arising from an incident of undue passenger congestion at a station, unless that congestion has been relieved within a period of time allowed for by those procedures or arrangements.	Station or on-board train – congestion	Infrastructure manager (SO)	Legislation SRM Safety performance reporting

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Event category	SMIS component	SMIS event owner	Usage
Dangerous goods incidents and irregularities Any case of: a) A dangerous goods incident or irregularity involving a train or rail vehicle and reportable in accordance with Section F of GO/RT3053, except those cases where the train or rail vehicle is involved in a collision or derailment or is on fire, which are separately reported under this standard.	Dangerous goods/substances – rail borne	If no other event is involved – railway undertaking. <i>The infrastructure manager allocates a unique reference number and hazard ranks dangerous goods incidents according to the instructions and matrix in Table C. Event responsibility is then passed to the relevant railway undertaking.</i>	Legislation SRM Safety performance reporting
b) An event that causes the release, or has the potential to do so, of a biological agent or other substance hazardous to health. c) An uncontrolled or sudden release of a flammable liquid or gas.	Dangerous goods/substances – other	Infrastructure manager – for NRMI only. Infrastructure manager (SO) – for events at stations, but not affecting NRMI. <i>The infrastructure manager allocates a unique reference number and hazard ranks dangerous goods incidents according to the instructions and matrix in Table C. Event responsibility is then passed to the relevant infrastructure manager.</i>	Legislation SRM Safety performance reporting
Derailments Any derailment a) Of a train or rail vehicle on a running line, including a derailment that occurs: i) While the line is blocked due to a previous accident or emergency. ii) Occurring within a possession, including work sites within a possession. iii) Occurring during a shunting operation. b) In a siding that results in a running line being physically obstructed. c) In a siding that is NRMI.	Train – derailment	Infrastructure manager	Legislation SRM Safety performance reporting

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Event category	SMIS component	SMIS event owner	Usage
Displaced and insecure loads on, or excessive or improper loading on, trains or rail vehicles a) Any case of: i) A load, fastening, or sheet, etc or ii) Equipment on a train or rail vehicle becoming insecure or displaced, irrespective of the loading gauge being infringed, while on a running line or siding that is NRMI. b) Any case of a train or rail vehicle, while on a running line or a siding that is NRMI, being: i) Excessively loaded (such as load width, height, length or weight) or ii) Improperly loaded.	Train – displaced/insecure load	Railway undertaking	Legislation SRM Safety performance reporting
Diving operations Any case in relation to diving operations involving the: a) Failure or endangerment of any associated equipment. b) Damage to or failure of the dive platform. c) Trapping of or explosion near a diver. d) Uncontrolled ascent or omitted decompression likely to put the diver at risk.	Diving operations	Infrastructure manager – where work is associated with NRMI	Legislation
Door failures, doors open or on catch on trains a) Any case of: i) An open door or ii) A door not properly secured (such as on the catch) while the train or rail vehicle is on a running line or in a siding that is NRMI. b) Any case involving the external doors of power operated door or central door lock fitted stock, where risk to persons (such as passengers and staff) arises, while the train or rail vehicle is on a running line or in a siding that is NRMI.	Train – door failure/open/on catch	Railway undertaking	Legislation SRM Safety performance reporting
Electrical short circuits Any case of electrical short circuit or overload attended by fire or explosion which results in the stoppage of the plant involved for more than 24 hours or which has the potential to cause the death of any person.	Electrical short circuit/overload	Infrastructure manager – where NRMI affected Infrastructure manager (SO) – if at a station and NRMI not affected	Legislation