



CRR-G-050-A

Guideline template for Annual Reporting by Railway Undertakings and Infrastructure Managers operating on the national railway network

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INTRODUCTORY NOTE

The purpose of this guide is to define, by means of a harmonized model, the structure and content of the Annual Report on the Application of the Safety Management System to be submitted by the railway undertakings, including infrastructure maintenance contractors, and infrastructure managers operating trains on the national railway network.

The report shall be submitted to the Commission for Railway Regulation (CRR) by 30 June of each year.

In this context, the reporting structure addresses the legal requirements ¹ as well as the additional information needed to characterize companies from the point of view of safety and assess how they manage safety.

The reports prepared by the railway companies are not intended for publication. However, the information contained in the reports will be used, in aggregate form, for the preparation of the Annual Report of the CRR to the ERA ².

¹ In accordance with Regulation 4(2) of SI No 444 of 2013, Article 18 of Regulation N° 402/2013/EC, and Article 5 of Regulation N° 1078/2012/EU

² The report provided for in Regulation 11(7) of SI N° 444 of 2013 which shall be sent by the national safety authority to the European Railway Agency by 30 September of each year

1. PURPOSE AND SCOPE

This introductory chapter should refer to the legal requirements behind the report, which determine its purpose and scope.

In this regard, regulation 4(2) of S.I. No. 444/2013 states that each infrastructure manager and railway undertaking shall submit to the safety authority, not later than the 30 June in each year, an annual safety report concerning the preceding year which shall contain the matters referred to in:

- 1) Article 9(4) of the Railway Safety Directive, i.e. -
 - a) information on how the organisation's corporate safety targets are met and the results of safety plans;
 - b) the development of national safety indicators, and of the CSIs laid down in Annex I, as far as it is relevant to the reporting organisation;
 - c) the results of internal safety auditing;
 - d) observations on deficiencies and malfunctions of railway operations and infrastructure management that might be relevant for the safety authority;

and

- 2) The common safety methods, i.e. -
 - a) a brief report on the organisation's experience with the application of Regulation No. 402/2013/EC, the common safety method for risk evaluation and assessment, and a synthesis of the decisions on the level of significance of the changes.
 - b) a brief report on the organisation's experience with the application of Regulation No. 1078/2012/EU, the common safety method for monitoring to be applied by railway undertakings and infrastructure managers after receiving a safety certificate or safety authorisation and by entities in charge of maintenance.

2. CHARACTERISTICS OF THE COMPANY

This chapter should identify the company and describe its internal organization, as well as the presentation of technical data.

2.1 Identification details

- A) Name
- B) Address
- C) Website / hyperlink
- D) Starting date of commercial activity
- E) License number and date (operators only)
- F) Number and date of the Safety Certificate / Safety Authorization
- G) Organizational Chart

2.2 Available technical data

A) Infrastructure Manager data

- i. Total km of operational lines
- ii. Km of operational line with single track and with each type of multiple way (double, triple, quadruple, etc.)
- iii. Total operational track-km (km of multi-track lines multiplied by number of tracks)
- iv. Km of electrified line
- v. Km and % of lines equipped with TPS system (CAWS or DART-ATP)
- vi. Km and % of lines equipped with ground-to-train communication system (UIC; Mode C; GSM-R)
- vii. Total number of level crossings on operational lines, divided into the following EU categories and subcategories:
 - a) [T14] Passive
 - b) [T15] Active with manually activated user-side protection or warning
 - c) [T07] Active with train activated user-side warning
 - d) [T081] Active with train activated user-side protection
 - e) [T10] Active with full user-side protection and lineside train protection
- viii. N° of train-km (IM)
- ix. N° of train tonne-km (all IM trains)
 - x. % train-km made using CAWS or DART-ATP
- xi. N° of train drivers (IM only)
- xii. N° of train guards
- xiii. N° of other IM staff involved in safety-critical activities ³
- xiv. Total number of hours worked in the company
- xv. N° of PRM TSI adapted stations
 - a) Full TSI compliance;
 - b) Partial TSI compliance;
 - c) Accessible stations;
 - d) Other stations.

³ Preparing or despatching trains, or authorising train movements, see Regulation 2019/773/EU

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B) Railway Undertakings ⁴ data

- i. N° of train-km, subdivided into the following categories:
 - a) passenger diesel-electric.
 - b) passenger electric,
 - c) goods and materials,
 - d) other (including light engines and special purpose vehicles),
 - e) total.
- ii. % train-km made using CAWS or DART-ATP
- iii. N° of passenger-km
- iv. N° of freight tonne-km (nett commercial goods)
- v. N° of train tonne-km (all trains)
- vi. N° of locomotives, subdivided into the following categories: diesel-electric, electric, other.
- vii. N° of multiple units, subdivided by the following categories: diesel-electric, electric, other.
- viii. N° of wagons
- ix. N° of carriages
- x. N° of train drivers
- xi. N° of train guards
- xii. N° of other staff involved in front-line safety-critical activities ⁵
- xiii. Total number of hours worked in the company

⁴ Including any contractor whose activities include the operation of trains

⁵ Preparing or despatching trains, or authorising train movements, see Regulation 2019/773/EU

3. SAFETY MANAGEMENT

For the year under review, each infrastructure manager and each railway undertaking shall report on how it managed safety ⁶, including:

1) Safety objectives

Information on how the organisation's corporate safety objectives are being met and the results of safety plans, and the plans and procedures developed to reach the safety objectives should be presented.

2) Safety indicators

Information on the development of company safety indicators, and a summary of the long-term safety performance trends (over 5 or more years).

3) Internal monitoring and audit

- A. Number of internal safety audits planned and number completed in accordance with the SMS;
- B. Results of internal safety audits.

4) Actions taken

- A. Actions following safety recommendations ⁷ issued by national investigating bodies;
- B. Actions following recommendations, improvement plans, directions or notices issued by CRR ⁸ following inspections and audits;
- C. Voluntarily measures considered as important for improving system safety performance but not required by law, (such as the removal or reclassification of level crossings, evolution of signaling technologies, and the installation of radio communication systems).

5) Observations on deficiencies

Observations on deficiencies and malfunctions of railway operations or infrastructure management which may be of importance to the safety authority.

⁶ In accordance with Article 9.4(b) of Directive 2004/49/EC (as amended)

⁷ Safety recommendations made by an investigating body in accordance with Article 25 of Directive 2004/49/EC.

⁸ In accordance with Part 7 of the Railway Safety Act 2005.

D. RISK ASSESSMENT

Each infrastructure manager and each railway undertaking shall briefly report on their experience with the application of [the CSM Regulation](#) for risk evaluation and assessment.⁹ The report shall also include a synthesis of the decisions on the level of significance of the changes:

1) Non-significant changes

- A. Description of the main non-significant change;
- B. Type of change (technical, operational and / or organizational);
- C. Application of the decision criteria ¹⁰.

2) Significant changes

- A. Description of the main changes considered significant;
- B. Type of change (technical, operational and / or organizational);
- C. Application of the decision criteria ¹¹;
- D. Participation of suppliers and service providers in the risk management process;
- E. Involvement of assessment bodies to carry out independent assessment of the correct application of the Regulation;
- F. Brief description of the effectiveness of the risk management process defined in the Regulation.

3) Audits

Brief description of the internal SMS audits carried out on the application of this Regulation ¹².

⁹ In accordance with Article 18(1) of Regulation (EU) No. 402/2013 as amended by Regulation (EU) 2015/1136.

¹⁰ As set out in Article 4(2) of the Regulation

¹¹ As set out in Article 4(2) of the Regulation

¹² In accordance with Article 17(1) of the Regulation

E. MONITORING

Each infrastructure manager and each railway undertaking shall report briefly on their experience of applying the common safety method for the monitoring activity set out in the common safety method for monitoring ¹³, in particular regard to:

1) Strategy, priorities and plans

Strategies, priorities and plans for monitoring the operation of the safety management system;

2) Information management

Procedures for collecting and analyzing information;

3) Action plans

Identifying situations of non-compliance with the requirements of the safety management system and drawing up of corrective/preventive action plans;

4) Action plan implementation

Execution of action plans;

5) Effectiveness of actions

Evaluation of the effectiveness of the corrective/preventive measures provided for in the action plans.

¹³ In accordance with Article 5.1 and 5.3 of Regulation 1078/2012/EU

F. SAFETY INDICATORS

In accordance with Article 9.4(b) of Directive 2004/49/EC, the data on safety indicators should be completed ¹⁴ in the latest version of the CSI table, insofar as they apply to the railway undertaking or infrastructure manager.

The company should perform an analysis on the indicators presented, indicating any trends found and the possible reasons for their existence.

¹⁴ In accordance with Article 9.4(b) of Directive 2004/49/EC (as amended)

G. CONCLUSIONS

Give a summary of the most relevant activities and events of the year under review, as well as the company's plans and safety priorities.