Reporting of Safety Related Information

Synopsis
This document sets out requirements for entering information into the industry’s Safety Management Intelligence System (SMIS), and for how that information should be used. SMIS is designed to help the industry to carry out its responsibilities for health, safety and environment management.
Reporting of Safety Related Information

Issue Record

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<td>Two</td>
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<td>Replaces issue one to align with the new Safety Management Intelligence System (SMIS).</td>
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This document will be updated when necessary by distribution of a complete replacement.

Superseded Documents

The following Rail Industry Standard is superseded, either in whole or in part as indicated:

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Supply

The authoritative version of this document is available at [www.rssb.co.uk/railway-group-standards](http://www.rssb.co.uk/railway-group-standards). Enquiries on this document can be submitted through the RSSB Customer Self-Service Portal [https://customer-portal.rssb.co.uk/](https://customer-portal.rssb.co.uk/)
Reporting of Safety Related Information

Rail Industry Standard
RIS-8047-TOM
Issue: Two
Date: March 2018

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Part 1  Purpose and Introduction

1.1  Purpose

1.1.1  This document sets out requirements for reporting information into the industry’s Safety Management Intelligence System (SMIS) and for how that information should be used. The SMIS is designed to help the industry to carry out its responsibilities for health, safety and environment management.

1.1.2  Compliance with the requirements of this document is a condition of SMIS access and use.

1.2  Introduction

1.2.1  GERT8047 mandated the reporting of safety-related information into the SMIS. However, the requirements in it were not deemed to be National Safety Rules because either:

a)  They duplicated legislative requirements, or
b)  They were not necessary to ensure technical compatibility.

1.2.2  GERT8047 was therefore replaced by RIS-8047-TOM issue one ‘Reporting of Safety Related Information’, which reproduced the content of GERT8047 in its entirety as Annex A of the document.

1.2.3  RIS-8047-TOM issue two has been developed to be consistent with the updated and extended SMIS, which was implemented in March 2017, and covers the high-level principles of SMIS usage. Detailed guidance on how to enter events into the SMIS is provided separately.

1.2.4  The SMIS Application Matrix is a supplementary document, whereby SMIS organisations will confirm the extent of their application against the SMIS reporting scope.

1.2.5  The SMIS helps SMIS organisations comply with legal obligations and manage health, safety and environment data in line with industry-established good practice.

1.2.6  The SMIS is an industry-supported system that was designed by, and for, SMIS organisations and is managed by RSSB on behalf of its members.

1.2.7  The information within the SMIS underpins the evidence- and risk-based approach to safety management that is well established in the GB rail industry.

1.2.8  The use of a common reporting system brings consistency to health and safety reporting and facilitates co-operation and collaboration in the management of health, safety and environment risk. The SMIS data also form the basis for national safety performance reporting and the industry’s Safety Risk Model.

1.3  Application of this document

1.3.1  An RSSB member who has been granted SMIS access shall, in order to use the system:

a)  Sign and adhere to the End User Licence relating to the SMIS software suite.
b)  Specify their reporting scope within the SMIS Application Matrix (see 2.1.1).
c) Through internal procedures or contract conditions:
   i) Adopt Part 2 of this document for their specified reporting scope.
   ii) Adopt Part 3 of this document in its entirety.

1.3.2 Non-compliance with any of the requirements in this document may result in SMIS access rights being affected.

1.3.3 The Railway Group Standards Code and the Standards Manual do not currently provide a formal process for deviating from RISs. However, a member of RSSB, having adopted a RIS and wishing to deviate from its requirements, may request a Standards Committee to provide observations and comments on their proposed alternative to the requirement in the RIS. Requests for opinions and comments should be submitted to RSSB by e-mail to proposals.deviation@rssb.co.uk. When formulating a request, consideration should be given to the advice set out in the ‘Guidance to applicants and members of Standards Committee on deviation applications’, available from RSSB’s website.

1.4 Data protection responsibilities

1.4.1 Users of this document are reminded of the need to comply with data protection responsibilities, including those set out in the General Data Protection Regulation (GDPR) 2018. RSSB does not warrant that compliance with this RIS and other documents published by RSSB is sufficient in itself to satisfy such responsibilities.

1.5 Health and safety responsibilities

1.5.1 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.

1.6 Structure of this document

1.6.1 This document sets out a series of requirements that are sequentially numbered.
1.6.2 This document also sets out the rationale for the requirement. The rationale explains why the requirement is needed and its purpose. Rationale clauses are prefixed by the letter ‘G’.
1.6.3 Where relevant, guidance supporting the requirement is also set out in this document by a series of sequentially numbered clauses and is identified by the letter ‘G’.

1.7 Approval and Authorisation

1.7.1 The content of this document was approved by Traffic Operation and Management Standards Committee on 05 December 2017.
1.7.2 This document was authorised by RSSB on 26 January 2018.
Part 2  Requirements for Entering Safety Related Information

2.1 Responsibilities of SMIS organisations

2.1.1 Completing the SMIS Application Matrix

2.1.1.1 Every SMIS organisation shall confirm the extent of their reporting into the SMIS by completing the SMIS Application Matrix and providing it to RSSB.

Rationale

G 2.1.1.2 It is important to understand the completeness of data so that informed safety management decisions can be made. Identifying the completeness of the data being entered into the SMIS is necessary to assess the completeness of any analysis based on SMIS data.

Guidance

G 2.1.1.3 The SMIS Application Matrix identifies the ‘expected’ and ‘optional’ reporting areas for different types of SMIS organisation.

G 2.1.1.4 The SMIS Application Matrix and supporting guidance is available from the RSSB Extranet.

G 2.1.1.5 The areas of the SMIS Application Matrix classified as ‘expected’ include the relevant requirements within the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) and are within the reporting scope of RSSB’s national safety performance reporting and risk modelling.

G 2.1.1.6 The SMIS supports reporting of Common Safety Indicators to the Office of Rail and Road (ORR). Each calendar year, RSSB uses the SMIS to collate data on events within scope, supplies the data to SMIS organisations for review, then onward reporting to the ORR.

G 2.1.1.7 RSSB will provide SMIS organisations with a data quality assessment for each financial year. For consistency and fairness, the data quality assessment will be based on reporting against the ‘expected’ areas for each type of SMIS organisation, independent of individual confirmed reporting intentions and based on a set of industry-agreed measures. The overall results of the data quality assessment will be presented to the RSSB Board.

2.1.2 Accuracy of data entered into the SMIS

2.1.2.1 SMIS organisations shall enter accurate data into the SMIS.

Rationale

G 2.1.2.2 It is important to maintain good quality information to inform safety management decisions.
Guidance

G 2.1.2.3 RSSB continually monitors data quality in the SMIS to promote continuous improvement of the data contained within it. When a potential data quality issue is identified, RSSB will notify the SMIS event owner, who is responsible for ensuring it is rectified in a timely manner.

G 2.1.2.4 When multiple SMIS organisations are involved in an event, they are expected to work together to reach a consensus position on how the event should be recorded. The SMIS event owner has responsibility for ensuring the event is recorded accurately. If the organisations involved cannot agree who owns a SMIS event, RSSB will act as arbiter.

2.1.3 Sharing event information

2.1.3.1 When multiple SMIS organisations are involved in an event, they shall share with the SMIS event owner all information required to ensure the completeness of the event.

Rationale

G 2.1.3.2 Regulation 22 in the Railways and Other Guided Transport Systems (Safety) Regulations (ROGS) 2006 places ‘a duty on transport operators to cooperate insofar as is reasonable, with any other transport operator who operates on the same transport system […] to achieve the safe operation of that transport system’.

Guidance

G 2.1.3.3 Information held in daily incident logs and other systems is the type of information that is shared between SMIS organisations.

G 2.1.3.4 When an accident or incident is investigated and for any reason the SMIS event owner does not fulfil the role of lead organisation (as defined in RIS-3119-TOM), arrangements should be made for information arising from the investigation to be transferred to the SMIS event owner.

G 2.1.3.5 SMIS sub-event reporting forms contain mandatory fields and the SMIS event owner completes these to close the SMIS event. When multiple SMIS organisations are involved in a SMIS event, they share information pertaining to mandatory fields, to enable the SMIS event owner to formally close the SMIS event.

G 2.1.3.6 The SMIS incorporates workflow functionality. Using the task, transfer and information management stage, a SMIS event owner can assign tasks for completion, reassign the overall ownership of the event, and allow access to other individuals or organisations to complete sections of the associated event.

G 2.1.3.7 The search functionality in the SMIS enables SMIS users to search for SMIS events using specific filters. This functionality provides visibility for all SMIS organisations, regardless of SMIS event ownership, of all SMIS events entered in the system. Personal information that may identify an individual, entered within the person section in any SMIS event, will not be visible to SMIS organisations who are not involved in the SMIS event.
2.1.4 Entering data relating to investigations

2.1.4.1 Entering causes determined by an investigation

2.1.4.1.1 The SMIS event owner shall enter in the SMIS event the causes determined by an investigation, when one has been held.

Rationale

G 2.1.4.1.2 Capturing the immediate and underlying causes determined by investigations will contribute to a better understanding of accidents and how to prevent them.

G 2.1.4.1.3 Carrying out investigations for accidents and incidents is an effective way to determine more accurately the causes of an event.

Guidance

G 2.1.4.1.4 There is no guidance associated with this requirement.

2.1.4.2 Investigation reports and recommendations

2.1.4.2.1 The SMIS event owner shall enter into the SMIS any formal and local investigation reports, including any recommendations, that meet the criteria set out in RIS-3119-TOM.

2.1.4.2.2 SMIS organisations shall input their responses to recommendations directed to them.

Rationale

G 2.1.4.2.3 The tracking of recommendations is a vital part of the investigation output. Failure to implement recommendations can be a precursor to reoccurrence.

G 2.1.4.2.4 It is equally important to record justifications for any inaction, or when a recommendation has been rejected, so it can be reviewed if circumstances change at a later date.

Guidance

G 2.1.4.2.5 When SMIS organisations have accepted recommendations from investigations, they enter into the SMIS their progress towards implementation. When the SMIS organisations have rejected any recommendations, they enter into SMIS their reasons for doing so.

G 2.1.4.2.6 For further information on entering data from investigations, please refer to guidance on the RSSB Extranet.

G 2.1.4.2.7 Information on the decision criteria for formal and local investigations, including determining the lead organisation for an investigation, is set out in RIS-3119-TOM.

G 2.1.4.2.8 All Rail Accident Investigation Branch (RAIB) investigations and their recommendations relevant to the mainline railway are entered into the SMIS by RSSB on the industry’s behalf.
2.1.5 Timescales for entering data

2.1.5.1 Creating a SMIS event

2.1.5.1.1 The SMIS event owner shall make an initial entry into the SMIS within five working days of becoming aware of an event occurring, unless the event meets the criteria of a ‘non-serious incident’ (defined in RIDDOR 2013) which shall be entered within three calendar days.

Rationale

G 2.1.5.1.2 The timescales for creating SMIS events ensure that SMIS organisations meet the expected notification requirements for reporting ‘non-serious incidents’ (defined in RIDDOR 2013) to the ORR.

G 2.1.5.1.3 Entering information promptly helps to ensure that industry has up-to-date monitoring information that supports timely decision-making.

Guidance

G 2.1.5.1.4 It is recognised that SMIS organisations, in some instances, may not become aware of the occurrence of an event until sometime after it takes place. Considering this, the timescales for creating the initial event in the SMIS is determined from the point at which a SMIS organisation first becomes aware of an event.

G 2.1.5.1.5 The reporting of ‘non-serious incidents’, including the follow-up notification of ‘serious incidents’ to the ORR is automated within the SMIS. Further information on RIDDOR notification requirements to the ORR is detailed in the ‘Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013’, on the ORR website.

G 2.1.5.1.6 The following reporting requirements are not automated in the SMIS:

   a) The immediate notification requirements of ‘serious incidents’ (defined in RIDDOR 2013).
   b) The notification to the RAIB of events covered by Schedules 1, 2 and 3 of ‘The Railways (Accident Investigation and Reporting) Regulations 2005’.
   c) The notification to the Health and Safety Executive (HSE) of RIDDOR events.

G 2.1.5.1.7 More information on the reporting requirements set out in G 2.1.5.1.6 can be found on the ORR, HSE and RAIB websites.

2.1.5.2 Finalising a SMIS event

2.1.5.2.1 The SMIS event owner shall finalise and formally close the SMIS event within 20 working days from the creation of the event, unless the finalisation is dependent either on the outcome of an investigation, or when an event involves a worker who remains away from work or unable to do the full range of normal activities as a result of an accident arising out of or in connection with work. In these cases the SMIS event owner shall finalise and formally close the SMIS event within 20 days of either publication of the investigation report, or once the date of return to full duties is known.
Rationale
G 2.1.5.2.2 Data entered in the SMIS as soon after an event as possible, and as completely as possible, can inform good and timely safety management decisions.

Guidance
G 2.1.5.2.3 The completeness of data in the SMIS is specified using mandatory fields that are embedded in all SMIS sub-event reporting forms. The SMIS event owner ensures that all mandatory event fields are completed prior to being able to formally close the SMIS event.

G 2.1.5.2.4 In instances when the finalisation of a SMIS event is dependent on the outcome of an on-going investigation, the event can be provisionally finalised providing all mandatory event fields have been completed. As soon as the investigation has been published, the event is reopened and any additional or conflicting data from the investigation updated in the SMIS event. This includes adding the cause details.

G 2.1.5.2.5 Coroner’s investigations, internal investigations and internal inquiries are also types of investigations.

G 2.1.5.2.6 Finalising SMIS events regularly and within 20 working days after an event is created, facilitate the completeness and currency of data included in any period end reporting.

2.2 Responsibilities of infrastructure managers

2.2.1 Infrastructure managers shall provide RSSB with asset data.

Rationale
G 2.2.2 Ensuring that asset data available in the SMIS incorporate up-to-date asset information improves the accuracy and reliability of safety related information associated with those assets, and supports an aligned industry approach to the recording of asset information.

Guidance
G 2.2.3 There is no guidance associated with this requirement.
Part 3 Requirements for SMIS Data Usage

3.1 Usage of SMIS data

3.1.1 The only purpose for which SMIS organisations shall use SMIS data is to support them in carrying out their responsibilities for health, safety and environment management.

3.1.2 Release of SMIS data that reveal sensitive information about an individual or organisation shall only be permitted:
   a) To meet statutory requirements, or
   b) When it is explicitly permitted within associated memoranda of understanding, or
   c) When named individuals and organisations have given their consent.

3.1.3 A SMIS organisation providing another organisation working under contract to it with temporary access to SMIS data shall ensure that:
   a) The data are used only for a specific purpose defined by the SMIS organisation.
   b) Use and release of data comply with other requirements in this document.
   c) On completion of the work, the organisation working under contract does not retain and cannot access SMIS records or unpublished information that has been derived from it.

3.1.4 SMIS organisations shall be responsible for ensuring organisations working under contract to them adhere to 3.1.3.

Rationale

G 3.1.5 SMIS data is not intended to be used for the purposes of gaining commercial advantage over market competitors.

G 3.1.6 SMIS organisations are responsible for complying with data protection legislation.

Guidance

G 3.1.7 A culture of mutual trust and respect is a good foundation for data sharing.

G 3.1.8 Release of SMIS data includes, but is not limited to, publication. It potentially covers any transfer of information outside the SMIS system; for example, in e-mails or verbal communication.

G 3.1.9 For the purposes of this document, sensitive information is that which:
   a) Refers to information that relates to a natural person, or SMIS organisation, that can be directly or indirectly used to identify them.
   b) Is not already in the public domain.
   c) Might cause damage, harm or distress if disclosed.

G 3.1.10 RSSB maintains the set of memoranda of understanding, which is accessible via RSSB’s website.

G 3.1.11 Non-compliance in relation to the agreed terms of data use may result in SMIS access rights being affected.
Acronyms and Abbreviations

GDPR General Data Protection Regulation 2018.
HSE Health and Safety Executive.
ORR Office of Rail and Road.
RAIB Rail Accident Investigation Branch.
RIDDOR Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
SMIS Safety Management Intelligence System.
### Definitions

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<tr>
<td><strong>Common Safety Indicators (CSI)</strong></td>
<td>The European Union collect Common Safety Indicators (CSIs) across Member States. CSIs are a common set of rail safety data, gathered to facilitate the assessment of achievement of Common Safety Targets (CSTs) and monitor the development of safety in Member States. CSIs are laid down and defined in Annex 1 of the Safety Directive.</td>
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<td><strong>Infrastructure Manager (IM)</strong></td>
<td>Any ‘body’ or undertaking that is responsible in particular for establishing and maintaining railway infrastructure, or part thereof, as defined in article 3 of Directive 91/440/EEC, which may also include the management of infrastructure control and safety systems. The functions of the infrastructure manager on a network or part of a network may be allocated to different bodies or undertakings. <em>Source: Article 3 (b) of Directive 2004/49/EC.</em></td>
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<td><strong>Office of Rail and Road (ORR)</strong></td>
<td>The independent safety and economic regulator for Britain’s railways.</td>
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<td><strong>RAIB Investigation</strong></td>
<td>A formally structured investigation that is supervised by the Railway Accident Investigation Branch (RAIB), usually into the circumstances of accidents and incidents.</td>
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<td><strong>Railway Undertaking (RU)</strong></td>
<td>Any private or public undertaking the principal business of which is to provide rail transport services for goods and/or passengers, with a requirement that the undertaking must ensure traction; this also includes undertakings which provide traction only. <em>Source: Article 3 (a) of Directive 2004/49/EC.</em></td>
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<tr>
<td><strong>Safety Management Intelligence System (SMIS)</strong></td>
<td>Safety Management Intelligence System is a system for supporting rail industry parties in carrying out their responsibilities for health, safety and environment management.</td>
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<tr>
<td><strong>SMIS Application Matrix</strong></td>
<td>A document that identifies areas of expected and optional reporting scope, based on an organisation’s SMIS reporting role.</td>
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<td><strong>SMIS Event</strong></td>
<td>An event that has been reported into SMIS. The event report may comprise one or multiple sub-event reporting forms.</td>
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<tr>
<td><strong>SMIS Event Owner</strong></td>
<td>The SMIS Event Owner is the SMIS Organisation that has overall responsibility for the entry and quality of the SMIS Event. In instances when multiple sub-event reporting form owners exist within a SMIS event, overall ownership will be detailed in the SMIS Event Entry Guidance.</td>
</tr>
<tr>
<td><strong>SMIS Organisation</strong></td>
<td>Organisations that have been granted access to SMIS, which could include RSSB members who have Safety Authorisations &amp; Safety Certificates.</td>
</tr>
<tr>
<td><strong>SMIS Sub-Event Reporting Form</strong></td>
<td>There are multiple sub-event reporting forms, each representing the types of incidents experienced across the rail industry. There are also reporting forms for Investigations and Recommendations.</td>
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Each reporting form contains questions and answers relevant to the sub-event.

SMIS User

A member of a SMIS Organisation with a defined role, or roles, in relation to SMIS. User roles include Local Organisational Administrator, Safety Team/ Data Inputter, Viewer/Browser and Data Analyst.
**References**

The Standards Catalogue gives the current issue number and status of documents published by RSSB. This information is available from [http://www.rssb.co.uk/railway-group-standards.co.uk](http://www.rssb.co.uk/railway-group-standards.co.uk).

**RGSC 01**  
Railway Group Standards Code

**RGSC 02**  
Standards Manual

**Documents referenced in the text**

**Railway Group Standards**

GERT8047 (withdrawn)  
Reporting of Safety Related Information

**RSSB Documents**

RIS-3119-TOM  
Accident and Incident Investigation

**Other References**

ROGS (2006)  
Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended)

RIDDOR (2013)  
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

The Railways (Accident Investigation and Reporting) Regulations 2005  
The Railways (Accident Investigation and Reporting) Regulations 2005