

Intergovernmental Commission for the Channel Tunnel

as

National Safety Authority for the Channel Tunnel

Supervision Strategy¹

1. Goal

The goal of the IGC is that the Channel Tunnel is safe.

The goal will be achieved by Channel Tunnel businesses effectively managing risk themselves using their own safety management systems and the IGC fulfilling its role as National Safety Authority.

2. Principles

IGC oversight of Channel Tunnel businesses safety management systems will be:

- **Proportionate** to the risks those businesses manage, and not their profitability, availability of resources or how long any contract they hold has left to run;
- **Consistent** with the strategy adopted by the French and British National Safety Authorities, based on regular communication with them so that:
 - the IGC will not duplicate supervision that is already done by the French or British authorities,
 - the IGC is aware of the safety performance of Channel Tunnel businesses in neighbouring countries.
- **Targeted** at the effectiveness of the safety management system of businesses, checking that the people in each business use their management system to achieve safe outcomes;
- **Transparent** and open about policy, practices and approach, whilst respecting the need for Channel Tunnel businesses to keep certain matters confidential between themselves and the IGC;
- **Fair** and **accountable** under the law for activities, particularly enforcement, which will be in line with the enforcement policies of the French and British National Safety Authorities;
- **Informed by** intelligence from many sources, such as the assessment of safety certificates, and the findings of any investigations by National Investigation Bodies;
- **Consistent** with this strategy.

¹ Drawn up to comply with Article 3 of the Common Safety Method on Supervision, No 1077/2012.

- In the knowledge that **Channel Tunnel businesses may complain** about decisions taken during the IGC's supervision activities (without prejudice to a judicial review of those decisions).

3. Arrangements for supervision.

3.1 Governance

The IGC is a National Safety Authority that involves two Sovereign States.

The IGC operates jointly and decisions on its behalf are made jointly by the Heads of the French and British delegations to the IGC.

The IGC is advised on its safety responsibilities, including this supervision strategy, by the Channel Tunnel Safety Authority (CTSA) which operates jointly and includes delegations from each State.

The CTSA is responsible for routine oversight of supervision activity carried out on behalf of the IGC in line with the strategy, whilst the IGC is responsible for agreeing the supervision strategy overall and for reviewing it periodically, with advice from the CTSA.

The IGC is responsible for reviewing the regulatory framework periodically, with advice from the CTSA.

The IGC is responsible, acting on advice from the CTSA, for allocating sufficient resources, in people, time and money, for supervision activities. If people with specialist skills are needed, then the IGC will procure their services. The plan for supervision [[LINK 1](#) to plan, at Annex 1] will give details of the resources available and how they will be used over several years ahead.

3.2 People

Each government appoints half the members of the Intergovernmental Commission, which consists of at most 16 members. At least two of these are CTSA representatives. The delegation heads alternately serve as chair for a one-year term of office.

The two governments mutually agree the composition of the CTSA. Each government appoints half its members. The delegation heads alternately serve as chair for a one-year term of office.

Under Article 2 of Decree 86-342 of 11 March 1986, the members of the French Delegation to the CTSA, including the delegation head, are appointed by decree of the Minister of Transport, with the agreement of the other ministers involved. The Minister of Transport's departments provide French secretarial facilities to the CTSA. The British delegation is appointed by the Secretary of State for Transport, with British secretarial facilities provided by the British National Safety Authority.

For the purposes of its remit, the Safety Authority can request the co-operation of the departments of each government and of any expert or body of its choice.

The two governments grant the Safety Authority and its members and agents the powers of investigation, inspection and examination necessary to the fulfilment of their tasks.

Joint working and joint decision making is expected by the IGC during supervision activity. This means, for example, that supervision on the French part of the site can be carried out by British staff and discussed and agreed with their French counterparts and vice versa.

Such joint working is facilitated by sub-groups of the CTSA which meet regularly to consider outcomes from supervision and other activities, such as inspection report outcomes, interoperability authorisations or safety certificate assessments. The co-Chairs from the sub-groups are delegation members of the CTSA. The co-chairs oversee and guide the work of the warranted IGC Inspectors from their respective countries. They will monitor delivery of the supervision plan, alerting the CTSA and IGC to any major changes in resource or activity that may be necessary over time, perhaps as a result of investigations that need to be done. They will make sure that decisions are taken in a timely manner and reports of supervision agreed jointly without undue delay. They will ensure that IGC has an effective overall view of the safety performance of Channel tunnel businesses.

The warranted IGC Inspectors are expected to:

- Maintain their competence by participation in the competence management system of their home National Safety Authority, company or professional institution;
- Exercise their powers and responsibilities in line with the policies of the IGC, and taking account of the policies and approaches of their home National Safety Authority, company or professional institution;
- Carry out supervision activity in line with this strategy;
- Conduct their supervision activities attentive to the **Principles** given in this strategy;
- Make timely decisions and reports; in line with the IGC's decision-making principles on enforcement;
- Be alert to any issues of evident concern that (if found) they will not walk past without intervening to secure safety
- Periodically, link the outcomes from assessment of authorisations or certificates with the outcomes from supervision activities and vice versa;
- Maintain an overall assessment of the safety performance of Channel Tunnel businesses;

- Participate in any review of the regulatory framework² for supervision of the Channel Tunnel that the IGC may institute from time to time.

4. Strategic priorities for supervision: a management system focus.

4.1 Safety management systems

IGC supervision will focus on the effectiveness of the safety management systems being operated by Channel Tunnel businesses.

There are two aspects to this which will be undertaken by staff on behalf of the IGC:

- Checking that Channel Tunnel businesses have sufficient understanding of the risks, and safety management capability to control those risks. This will be achieved by assessing written submissions for a safety authorisation from the Infrastructure Manager for the Tunnel; and for safety certificates from any railway undertaking operating in the Tunnel; and any submissions for significant changes and regular reviews.
- Checking that Channel Tunnel businesses are operating the safety management systems that they have described in their authorisations or certificates, and that they have proper day-to-day management control of risks.

4.2 Co-operation with other National Safety Authorities

For some businesses that operate through the Channel Tunnel, and have more extensive facilities and operations in neighbouring States, the IGC will communicate routinely with the National Safety Authorities for those States and rely on their supervision to determine that such businesses have proper day-to-day management control of risks. The focus of the IGC supervision activity will be on proper day-to-day management control of risks that are relevant to the Channel Tunnel environment, such as fire prevention and emergency response.

4.3 Top priorities for supervision

In terms of management systems, the IGC intends to supervise those parts of the system that it considers most important to deliver control of the risks that could give rise to multiple fatalities. This means a focus on the following important areas:

- Management of a sample of the Class 1 risk areas arising from the “Tableaux du bord” analysis (**LINK 2** to a list of these). In particular:
 - Infrastructure integrity
 - Competence
 - Emergency response
 - Rolling stock integrity.

² CSM Supervision, article xxx

- Management of:
 - fire prevention
 - railway operations for shuttles.

- Management of ageing equipment and infrastructure. In particular:
 - Management of modifications and changes, particularly decisions on which up-to-date standard to use;
 - Renewal of older equipment and arrangements to cope with obsolescence;
 - Focus on civil engineering and fixed equipment.

- Management of major projects and the control of contractors and sub-contractors for projects and (generally) in the supply chain. Supervision will be of the *system* for project management and contractor control rather than focused on any particular project itself.

The IGC will inquire into incidents reported by Channel Tunnel businesses that relate to the areas listed above. It should not systematically investigate all anomalies reported to it. These will of course be reviewed and analysed, and, if appropriate, examined by the infrastructure manager.

The IGC will consider what information it requires routinely from Channel Tunnel businesses over and above information that must be reported by law (such as certain accidents or incidents). The IGC will focus on information related to the list of important areas (above) on which it will be focusing its supervision and endeavour to keep routine reporting to a minimum.

4.4 Second priorities for supervision

As resources allow, the IGC will supervise those parts of the management system that deliver control of risks that are not likely to give rise to multiple fatalities but could give rise to significant harm. The management of the following will be targeted:

- Eurotunnel's own internal monitoring and controls. Its system for audit and review, focusing on how lessons are learned from incidents, repeat events and analysis of data. Its system for change management and approach to design specification and mid-life design reviews.

- Terminal operations, especially all activities which may have a safety impact, such as loading operations.

4.5 Protecting the workforce from harm

The health and safety management systems being operated by Channel Tunnel businesses must effectively protect their workers from harm.

Enforcement of this aspect and investigation of associated accidents and incidents will be undertaken by the Labour Inspector in France and by ORR Inspectors in the United Kingdom.

To help ensure that Channel Tunnel businesses have proper day-to-day management control of risks to their workers, the IGC will routinely monitor data about the performance of Channel Tunnel businesses and will regularly communicate with the people undertaking enforcement and investigation work.

4.6 Techniques

The IGC's warranted inspectors will conduct supervision using techniques that include an appropriate mixture of:

- Interviews with people in Channel Tunnel businesses;
- Reviewing documents and records relevant to the area of risk they are overseeing; and
- Examining the safety outcomes from management systems.

5. Role of the IGC

The IGC will **review** this supervision strategy regularly, and at least annually when the outcomes of supervision activity are known. The review may (or may not) lead to revision of the strategy.

At least once every 5 years, the IGC will review the regulatory framework³ for supervision of the Channel Tunnel.

Signed:

Heads of the French and UK delegations to the IGC

³ CSM Supervision, article 1 (3).

**CHANNEL TUNNEL SAFETY AUTHORITY
WORK PLAN – 2014
(Draft 2 April 2014)**

SUPERVISION (INSPECTION AND AUDIT)

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
RESCUE & PUBLIC SAFETY WORKING GROUP						
French Operational Command Post (PCO)	Management of emergency response	Functioning of the French PCO	RPSWG (French lead)		inspection	1 planned inspection. 1 inspector day to plan 4 inspector days to conduct inspection 2 inspector days to compile/audit report. Expected time = 8 days (Total hours to be included in final report)

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
<p>Platform Checks</p> <p>Operation of controls on the terminals during loading by Agent de Feu. (ADF)</p>	<p>Management of fire prevention</p> <p>Competence management.</p>	<p>Progress of work to improve platform checks on LGV shuttles.</p> <p>Check controls of tarpaulin, gauges, functioning of detectors, weighing, antennas, hot axles, number of truck drivers on board.</p> <p>Check also training records and competence of the ADF's and any trainee employees</p> <p>To review the roles and responsibilities of the ADF's and to review the training of such and any technical/electrical advancements in equipment.</p>	RPSWG	RST WG	Inspection	<p><u>Annually</u></p> <p>1 planned inspection. 1 inspector day to plan 4 inspector days to conduct inspection 2 inspector days to compile/audit report. Expected time = 8 days (Total hours to be included in final report)</p>
French FLOR	Management of emergency response	Follow up of the four 2013 French ONET FLOR inspection Recommendations.	RPSWG		Inspection	<p>1 planned inspection. 1 inspector day to plan 4 inspector</p>

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
						<p>days to conduct inspection 2 inspector days to compile/audit report. Expected time = 8 days (Total hours to be included in final report)</p>
<p>Project Salamander</p> <p>1. Manual intervention procedures.</p> <p>2. SAFE</p>	<p>Management of emergency response</p>	<p>Full compliance with the ORE 0006 Salamander procedure document.</p> <p>To ensure FLOR crews are competent in taking local control of the SAFE system.</p>	<p>RPSWG</p>		<p>Inspection</p>	<p>1 planned inspection. 1 inspector day to plan 4 inspector days to conduct inspection 2 inspector days to compile/audit report. Expected time = 8 days (Total hours to be included in final report)</p>

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
STTS CC	Management of emergency response and competence management.	Inspection of STTS CC, equipment and training activities	RPSWG		Inspection	1 planned inspection. 1 inspector day to plan 4 inspector days to conduct inspection 2 inspector days to compile/audit report. Expected time = 8 days (Total hours to be included in final report)
Eurostar Competence management	Competence management Management of emergency response	Eurostar management of tunnel specific aspects of Evacuation procedures Communication with RCC Use of safety kit and equipment	RPS WG	RST WG	Inspection	December 2014

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
RAIL SAFETY & TRANSPORT WORKING GROUP						
Eurotunnel: Capability & management of shuttle drivers and Chef de Train.	Competence Management. Shuttle operations	Shuttle drivers and Chef de Train: <ul style="list-style-type: none"> • Training / authorisation, • SPAD Management • Exploitation of Ateess • take into account REX Controls (follow up of Euro-tunnel's own internal inspections) 	RST WG (French lead)		Audit (Team from EPSF on behalf of IGC). The designated Inspectors from UK and French delegations will be involved at kick-off and close-out meetings.	December 2014 2 days each from designated UK & French Inspectors, plus resources from EPSF audit team.
Eurotunnel Management of Railway Traffic Management (RTM) staff.	Competence Management. Shuttle Operations	RTM Staff training. Management of emergency situations Fires	RSTWG (French lead)		Inspection	May 2014 5 – 10 days each from designated UK and French Inspectors.

Inspection Subject	Link to the Supervision strategy of the IGC	Objective	Lead Working Group	Joint Working Group	Methodology	Frequency and Resources
Eurotunnel Management of rare occurrences.	Competence Management Shuttle Operations	Check management of rare occurrences. Check on people, procedures, training, etc. Identification by every department involved. Check what practical exercises may be used to rehearse response to rare occurrences.	RSTWG (French lead)		Inspection	May 2014 5 – 10 days from each of UK and French designated Inspectors.
Eurotunnel Track relaying programme	Management of ageing equipment and infrastructure	Check progress with the track relaying programme and how this affects the management of maintenance for track in situ.	RST WG (UK lead)		Inspection	Dec 2014 5- 10 days for each UK and French designated Inspector.
Eurostar Management of change arising from introduction of new trains	Management of modifications and changes	Check how Eurostar has approached management of the changes associated with the introduction of new trains.	RST WG (UK lead)		Inspection	Sept 2014 5-10 days each for UK and French designated Inspectors

SAFETY CERTIFICATION & SAFETY AUTHORISATION AND AUTHORISATION TO PLACE INTO SERVICE

Task	Objective	Lead	Advice	Methodology	Timing and Resources
Cross-audit of IGC as national safety authority (certification and authorisation)	To provide an effective and robust response to the requirements of the audit	SEC	RSTWG; CTSA	The secretariat will continue to provide the auditors with the requested documentation and to facilitate the interactions of the audit team with key safety authority personnel.	May 2014; 4 days (preparatory work by Sec); 2 days (SA meetings with auditors)
	To update, and where necessary develop new, guidance and procedural documents to reflect audit recommendations	SEC	RSTWG	The secretariat will examine whether the audit recommendations require any changes to CTSA's processes and guidance and will develop proposals for implementing the changes.	From October 2014; 10 days (Sec review and drafting work – dependent on audit findings)
Consideration of Eurotunnel's application for renewed safety authorisation	To ensure timely and robust consideration by IGC of Eurotunnel's application to renew their safety authorisation as infrastructure manager for the Channel Tunnel.	RSTWG	CTSA	Eurotunnel's authorisation expires in April 2014. Their application was received in December 2013. Assessment to be carried out in line with Regulation 1169/2010/EC in advance of IGC decision by deadline.	April 2014; 6 days (reassessment); 2 days (review by WG); 2 days (consideration by CTSA and advice to IGC)
Consideration of applications for authorisation to place vehicles into service	To ensure timely and robust consideration by IGC of any applications for authorisation to place new vehicles into service in the Channel Tunnel.	RSTWG	CTSA	Applications will be dealt with in accordance with Chapter 5 of Directive 2008/57/EC. A submission from one railway undertaking/manufacturer in respect of passenger trains is anticipated in 2014.	On-going as required. For each application: 4 days (assessment); 2 days (review by WG); 2 days (consideration by

Task	Objective	Lead	Advice	Methodology	Timing and Resources
				At least one freight wagon-related submission is anticipated during 2014.	CTSA and advice to IGC)
Consideration of applications for Part B safety certificates	To ensure timely and robust consideration by IGC of any applications for Part B certification to operate in the Channel Tunnel.	RSTWG	CTSA	Applications will be dealt with in accordance with Chapter 3 of Directive 2004/49/EC and Regulation 1158/2010/EC (the CSM Conformity Assessment). An application from one freight railway undertaking is anticipated during 2014.	On-going as required. For each application: 6 days (assessment); 2 days (review by WG); 2 days (consideration by CTSA and advice to IGC)
Consideration of Eurotunnel applications for authorisation of infrastructure projects	To ensure timely and robust consideration by IGC of any applications from Eurotunnel to place into service non-vehicle projects in accordance with Directive 2008/57/EC. To ensure timely and robust consideration by IGC of safety issues arising any applications from Eurotunnel for infrastructure projects in accordance with the Concession Agreement.	RSTWG RSTWG,	CTSA RPSWG, JSC, CTSA	Applications will be dealt with in accordance with Chapter IV of Directive 2008/57/EC. Eurotunnel's application to install GSM-R is anticipated during 2014. Applications will be dealt with in accordance with the relevant provisions of the Concession Agreement. CTSA will monitor Eurotunnel's compliance with the conditions of its consent to install the ElecLink during 2014.	On-going as required. For each application: 6 days (assessment); 2 days (review by WG); 2 days (consideration by CTSA and advice to IGC)

DEVELOPMENT OF THE SAFETY REGULATORY FRAMEWORK

Task	Objective	Lead	Advice	Methodology	Timing and Resources
Conclusion of IGC's review of unified safety rules	To ensure that the agreed unified safety rules are finalised, published and notified in accordance with the EU legal framework for rules.	SEC	CTSA	<p>Eurotunnel to consider CTSA analysis of existing notification of unified safety rules with recommended changes.</p> <p>Eurotunnel review of notified volumes of safety arrangements to ensure current, up to date and suitable for notification.</p> <p>Recommendation for revised notification agreed by CTSA and IGC; made by Member States and published on IGC website.</p>	<p>April 2014 (1 day meeting with ET)</p> <p>May 2014 (2 days review of ET documentation)</p> <p>July 2014 (2 days preparation of notification)</p>
Updated notification of Channel Tunnel non-vehicle technical rules	To produce a notification of technical rules (which formally form part of the unified safety rules) that aligns with the revised TSIs relating to non-vehicle subsystems (infrastructure, trackside CCS, energy, operations, safety in railway tunnels, telematics).	SEC	CTSA	<p>Eurotunnel to repeat analysis of ET standards against TSIs once new TSIs are published in Official Journal of the EU.</p> <p>Recommendation for revised notification agreed by CTSA and IGC; made by Member States and published on IGC website.</p>	<p>July 2014 (1 day meeting with ET)</p> <p>September 2014 (2 days preparation of notification)</p>
CTSA involvement in cross-acceptance and corridors	<p>To maintain the reference document of Channel Tunnel vehicle authorisation rules.</p> <p>To participate in the UK-FR geographical interest group considering equivalence of rules and mutual recognition</p>	SEC	CTSA	<p>SEC to ensure reference document remains up to date and reflects any changes to national rules.</p> <p>CTSA to seek involvement in this work once ORR and EPSF have concluded their initial consideration of other UK and French rules.</p>	<p>Ongoing (2 days)</p> <p>From September 2014 (6 days for meetings and preparation)</p>

Task	Objective	Lead	Advice	Methodology	Timing and Resources
	<p>of authorisations.</p> <p>To participate in Freight Corridor 2 executive board activity on co-operation (including cross-acceptance)</p>			<p>SEC to engage with Corridor 2 Secretariat and arrange CTSA representation, through either direct participation or UK/FR NSA representatives as appropriate</p>	<p>To be decided</p>

RPSWG PROGRAMME OF EXERCISES FOR 2014

1. **11 February 2014 – VALEX FR**

Theme: to test the deployment of teams in various sectors based on a medical scenario.

2. **13 March 2014 – COMEX FR**

Theme: to test liaison between PCO and STTS CC during an HGV fire in the tunnel

3. **17 June 2014 – COMEX UK**

Theme: to test the setting up of communications using the STTS CC to enable all UK ERO's to prepare for BINAT 24.

4. **17 July 2014 – VALEX FR**

Theme: to test fighting a fire on the emergency siding

5. **16 October 2014 – COMEX/VALEX BINATIONAL under UK leadership**

Theme: to test the joint work of the FR/UK rescue teams and the FR/UK levels of command based on a medical scenario in preparation for BINAT 24.

6. **27 November 2014 – VALEX FR**

Theme: to test mobilisation of the STTS CC, of the STTS CC in degraded mode and of the PCA

7. **23 October 2014 – TABLEX**

Theme: to test all elements of the BINAT 24 exercise – [UK led major medical exercise] which is the same exercise scenario as defined in the Eurotunnel BINAT 23 planning document.