

Ref:	NR/L2/INV/002
Issue:	13
Date:	3 December 2011
Compliance date:	3 March 2012

Level 2

Accident and Incident Reporting and Investigation

Endorsement and Authorisation

Endorsed by:



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Authorised by:



Brian Tomlinson, Steering Group Chair

Accepted for issue by:



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User information

This Network Rail standard contains colour-coding according to the following Red–Amber–Green classification.

Red requirements – *No deviations, could stop the railway*

- **Red requirements shall** always be complied with and achieved.
- Red requirements shall be presented in a red box **with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of red requirements lies with the Professional Head/Standard Owner.
- Red requirements are monitored for compliance.
- Corrective actions shall be enforced if deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Amber requirements – *Controlled deviations, approved risk analysis and mitigation*

- **Amber requirements shall** be complied with unless deviation has been approved in advance.
- Amber requirements shall be presented with an amber sidebar **and with the word “shall” or expressed as a direct instruction**.
- Accountability for the efficacy of these requirements lies with the Professional Head/Standard Owner, or their nominated Delegated Authority.
- Amber requirements are monitored for compliance.
- Deviations **may** be permitted. Deviations are approved by the Standard Owner or through existing Delegated Authority arrangements.
- Corrective actions shall be enforced if **non-approved** deviations are discovered through functional checks (e.g. engineering verification visits, audit or Operations Self-Assurance).

Green – *Guidance*

- Guidance is based on good practice. Guidance represents supporting information to help achieve **Red** and **Amber** requirements.
- Guidance shall be presented with a dotted green sidebar **and with the word “should” (usually in notes) or as a direct instruction**.
- Guidance is **not mandatory** and is not monitored for compliance.
- Alternative solutions may be used. Alternative solutions do not need to be formally approved.
- Decisions made by a competent person to use alternative solutions should be backed up by appropriate evidence or documentation.

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Issue record

Issue	Date	Comments
1	December 1996	Original Document
2	June 1998	Complete revision & re-title
3	April 2000	Revised to improve process
4 Emergency	August 2001	Emergency re-issue to address compliance with GO/RT3434/3 and update company and post titles
5 Emergency	February 2002	Complete revision to support issue of GO/RT3473 and GO/GN3673
6	February 2003	Revised to improve process and support reissue of GO/RT3473 and GO/GN3673
7	June 2004	Revised to reflect company reorganisation
8	October 2004	Transfer-in of investigation requirements for SPADs from RT/D/P/010. Scope to include environment and fire events. Revision to distribution of reports.
9	October 2006	Complete revision to reflect the requirements of ROGS Regulations and the SAF5 organisational change
10	December 2007	Complete revision to incorporate NR/SP/RSC/01701 and reissue of GO/RT3473 and GO/GN3673
11	September 2009	Revision to reflect changes in Railway Group standards
12	September 2010	Changes to definitions, including removal of preliminary investigation definition, and amendment to NRMI scope to be consistent with Health & Safety Management System (HSMS)
13	December 2011	Changes resulting from the conversion of the Reporting & Investigation Manual standards to a modular format and the transfer of some requirements to the modules

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 3 March 2012.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

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Reference documentation

GO/RT3119	Accident and Incident Investigation
GO/GN3519	Guidance on Accident and Incident Investigation
GE/RT8047	Reporting of Safety Related Information
GE/RT8250	Reporting High Risk Defects
NR/L2/EBM/STP001	Network Rail Standards Management – Process requirements
NR/L2/OPS/035	Dissemination of Urgent Operating Advice
NR/CS/FIR/100	Company Fire Safety Handbook
NR/L2/OCS/041	Operations Manual
NR/SP/CTM/032	Training, Competency and Assessment in Accident and Incident Investigation
NR/L3/INV/3001	Reporting and Investigation Manual
	SMIS Event Matrix

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