

Ref:	NR/L3/INV/3001/RIM110
Issue:	1
Date:	3 December 2011
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REPORTING & INVESTIGATION MANUAL

IRREGULAR WORKING – REPORTING AND RISK RANKING

1 Purpose

To provide a consistent, comprehensive and structured process within Network Rail for the reporting and risk ranking of events involving irregular working.

2 Scope

2.1 This module applies to events involving irregular working:

- a) occurring on Network Rail managed infrastructure (NRMI);
- b) occurring on Network Rail managed stations;
- c) involving Network Rail employees whilst on duty and not occurring on NRMI, including whilst travelling in road vehicles (whether owned, hired or leased by Network Rail);
- d) involving employees of contractors whilst undertaking work for Network Rail.

2.2 This module does not apply to the events shown in Appendix A. These events will be separately listed in the Route Control Log under the relevant category heading.

2.3 This module does not affect or amend a line manager's responsibility for taking appropriate action to maintain safety of the operation of a location.

3 Reference documentation

GE/RT8047	Reporting of Safety Related Information
NR/L3/INV/3001/RIM101	General requirements for reporting accidents, incidents and occupational ill health
NR/L3/INV/3001/RIM102	Reporting of accidents, incidents and occupational ill health to SMIS
NR/L3/INV/3001/RIM201	Deciding the lead organisation and level of investigation
NR/L3/INV/3001/RIM205	Network Rail led investigations
	SMIS Event Matrix
	Irregular Working Risk Ranking Handbook
3.1 Forms	
NR2072W	Irregular Working Initial Investigation form

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4 Definitions

Accident – An unwanted or unintended sudden event or a specific chain of such events which have harmful consequences; for example, accidents include the following: collisions, derailments, vehicles struck at level-crossings, persons struck by trains, fires and others.

Close call – A close call is an incident that has occurred due to an unsafe condition or act that in other circumstances could have resulted in personal injury or damage to plant, machinery, infrastructure or the environment. It should not be confused with a 'Near miss' (see definition below).

Control office – This includes the Control Office that:

- a) controls the day-to-day running of the railway (i.e. Route Operations Controls) or
- b) is relevant to a particular activity (e.g. Asset Management Control Centre).

Designated competent person (DCP) – The person identified by the lead organisation as responsible for supervising/managing the investigation process.

Event – Where this term is used, it means occurrences resulting in an accident or incident.

Incident – An unplanned, uncontrolled event that under different circumstances may have resulted in an accident (includes, and may also be referred to as, a 'Near miss' or 'Close call').

Irregular working – An act by a person that has a direct potential for safety loss; such an act may occur when a rule, process or procedure is not followed or is not correctly followed. This includes any 'Near Miss' or 'Close Call' that may be the result of such an act by a person.

NOTE 1 *Examples of such rules, processes and procedures are:*

- *safe systems of work for maintenance and construction activities;*
- *signalling instructions or block regulations;*
- *instructions relating to work undertaken on or near the line;*
- *instructions relating to possessions or protection of the line;*
- *instructions relating to train operation and marshalling;*
- *electric traction current isolation instructions.*

Irregular working risk ranking methodology – The methodology developed by Network Rail for the risk ranking of events involving irregular working that:

- a) provides a measure of the 'level of risk' associated with such events,
- b) enables the company's safety performance to be measured in terms of risk, leading to more structured targets and focussed initiatives and
- c) can be used to inform the investigation and post-incident management processes.

Lead investigator – A competent person appointed to lead and manage the investigation.

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Line manager or project manager – For the purposes of this module, this includes:

- a) Persons with the competence and responsibility within their function for:
 - the safe operation of the railway and organisation of train services;
 - briefing the reporting or investigation process to employees;
 - managing or supporting the reporting or investigation process.
- b) Persons responsible for managing, administering and delivering contracts either for major or minor works schemes, e.g. Project Managers.

Near miss – A 'Near miss' is an incident involving a train or rail mounted plant that has occurred due to an unsafe condition or act and which in other circumstances could have resulted in personal injury.

Network Rail managed infrastructure (NRMI) – Network Rail Managed Infrastructure is the infrastructure that falls within the geographic boundaries of Network Rail's operational railway, including the permanent way and land within the lineside fence, and plant used for signalling or exclusively for supplying electricity for traction purposes to Network Rail's operational railway.

It does not include stations (whether or not these are managed by Network Rail), nor does it include depots, yards or sidings owned by, or leased to, other parties. However, it does include permanent way at stations and plant within these locations used for signalling Network Rail's operational railway or exclusively for supplying electricity for operational purposes to the operational railway.

Structures such as tunnels, bridges, viaducts, underpasses, etc, are deemed to form part of NRMI only in relation to their potential to transfer risk onto, or from, the operational railway.

Nominated person – The person nominated by the designated competent person (DCP) to complete a form [NR2072W](#) in accordance with this module.

SMIS Event Matrix – The SMIS Event Matrix sets out the requirements for compliance with [GE/RT8047](#). It has been issued by the RSSB as guidance to infrastructure managers and railway undertakings but is mandatory in accordance with this module.

Safety Management Information System (SMIS) – The Safety Management Information System, owned by RSSB and used by Railway Group Members for the retention of data applicable to safety events.

SMIS Input Point – That part of the organisation or function responsible for reporting events to SMIS.

5 Recording details of irregular working

- 5.1 Events involving irregular working may be reported:
 - a) to the relevant Network Rail Route Control;
 - b) to the Asset Management Control Centre (AMCC);
 - c) by other means to the relevant SMIS Input Point and captured in SMIS.
- 5.2 Events involving irregular working shall normally be reported to the relevant Network Rail Route Control irrespective of the company, business unit/function or employer involved.

Line manager and/or project manager

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5.3	<p>Events involving irregular working recorded in the route control log shall be recorded under the following categories:</p> <ul style="list-style-type: none"> a) Irregular Working : Infrastructure Projects b) Irregular Working : Maintenance c) Irregular Working : Operations d) Irregular Working : Other e) Irregular Working : National Delivery Service <p><i>NOTE 2 Special care should be taken by route controls to capture and record all cases of irregular working under the relevant category.</i></p>	Route Control Manager
5.3	<p>In the case of an irregular working event involving a contractor, the event shall be recorded in the route control log based on the organisation on whose behalf the contractor was undertaking work when the event occurred.</p>	Route Control Manager

6 Risk ranking

6.1 General

6.1.1	<p>For any irregular working event recorded in the route control or AMCC log or in SMIS, arrangements shall be made, normally within one working day of the event occurring, to:</p> <ul style="list-style-type: none"> a) nominate a person (the 'nominated person') to complete a form NR2072W, and b) provide this person with the form. <p><i>NOTE 3 The DCP may complete the form NR2072W.</i></p> <p><i>NOTE 4 The form NR2072W is available from Connect (click on this link Report forms) as an Adobe Acrobat file, which should be printed and completed by hand, and as an Excel file, which may be completed 'electronically'.</i></p>	Designated competent person
6.1.2	<p>The following shall be undertaken, normally within 3 working days of the event occurring:</p> <ul style="list-style-type: none"> a) complete the form NR2072W and b) undertake the risk ranking of the irregular working using the Irregular Working Risk Ranking (IWRR) methodology and c) return the completed form NR2072W to the DCP. 	Nominated person

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NOTE 5 The form [NR2072W](#) may be completed by more than one person. For example, the event details may be completed by one person and the risk ranking completed by another person.

NOTE 6 The form [NR2072W](#) should be completed electronically where possible.

NOTE 7 See Appendix B for guidance of the risk ranking scoring and example scenarios.

6.1.3	The completed form NR2072W shall be reviewed and, if satisfied the results accurately reflect the circumstances of the event, it shall be completed and forwarded to the relevant SMIS Input Point.	Designated competent person
6.1.4	Where in accordance with clause 8 the event is to be the subject of a local or formal investigation (in accordance with NR/L3/INV/3001/RIM201), a copy of the completed form NR2072W shall be provided to the lead investigator.	Designated competent person
6.1.5	The completed form NR2072W shall be retained with the investigation file.	Lead investigator

6.2 Recategorisation of a previously reported event involving irregular working

6.2.1 Events not yet risk ranked

	If, following the recording in the route control or AMCC log or in SMIS, and before a form NR2072W is completed (in accordance with 6.1), the evidence subsequently indicates that the event did not involve irregular working, the relevant SMIS Input Point shall be informed.	Designated competent person
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6.2.2 Events where risk ranking has commenced

6.2.2.1	If, during the completion of the form NR2072W , the evidence subsequently indicates that the event did not involve irregular working, arrangements shall be made to: <ul style="list-style-type: none"> a) still complete the form NR2072W, b) submit the form to the DCP, and c) advise the DCP the reasons why it is believed that irregular working was not involved. 	Nominated person
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