

Ref:	NR/L3/INV/3001/RIM117
Issue:	1
Date:	3 December 2011
Compliance date:	1 April 2012

REPORTING & INVESTIGATION MANUAL

MANAGEMENT OF RECOMMENDATIONS FROM ORR INSPECTION PLAN REPORTS

1 Purpose

To provide a structured process for the management of National Safety Authority's (the Office of the Rail Regulator (ORR)) inspection plan reports, and any recommendations, provided to Network Rail.

2 Scope

This module applies to the inspection plan reports, and any recommendations associated with them, provided to Network Rail by the ORR.

3 Reference documentation

NR/L3/INV/3001/RIM115	Network Rail and National Safety Authority (ORR) interface and liaison arrangements
NR/L3/INV/3001/RIM116	Reporting of and responding to enforcement action
NR/L2/RSK/00001	Integrated Risk Management Process
	ORR Interface Matrix

4 Definitions

Assurance co-ordinator – The member of Network Rail staff nominated to co-ordinate assurance activities (including the ORR inspection plan and their associated reports):

- a) at the function/business unit level, and
- b) at a local (i.e. route) level.

Report owner – The Network Rail manager identified by the Function/Business unit to liaise with the ORR on a proposed ORR inspection topic and to progress the ORR's Inspection Plan report. This manager may also be the assurance co-ordinator.

Lead manager – The Network Rail manager nominated to implement a recommendation within an ORR inspector plan report. The Lead manager may delegate the work associated with implementing the recommendation to a Progress Manager.

ORR Interface Matrix – The framework for routine liaison arrangements between Network Rail and the ORR.

ORR interface and liaison meeting – a meeting between Network Rail and the ORR as identified in the [ORR Interface Matrix](#).

ORR lead inspector – The inspector that led the ORR inspection concerned.

Recommendation – For the purposes of this module this is a recommendation or an action addressed to Network Rail contained within an ORR inspection plan report.

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5 Introduction

- 5.1 The ORR's duties as the National Safety Authority will bring them into contact with many people in the company; Network Rail is committed to a professional and positive relationship with the ORR.
- 5.2 The ORR will advise Network Rail its inspection plan for the forthcoming year. The plan will include details of the type of inspection to be undertaken and an outline description of the inspection.
- 5.3 The Head of Corporate Assurance & Accident Investigation (HoCAAI) will normally receive the proposed inspection plan from the ORR.
- 5.4 On completion of an inspection, the ORR will provide Network Rail with a report of its inspection. The ORR inspection plan reports may be provided at both a national level and a local level within Network Rail and may be provided by a number of means, for example:
- a) by letter to the relevant Network Rail manager/director,
 - b) by e-mail to the relevant Network Rail manager/director, or
 - c) provided at a liaison meeting between Network Rail and the ORR as identified in the [ORR Interface Matrix](#).
- NOTE 1** The [ORR Interface Matrix](#) is available on Network Rail's Portal ([click here](#)). Module [NR/L3/INV/3001/RIM115](#) also contains the arrangements for the management of the interface and liaison arrangements between Network Rail and the ORR.
- NOTE 2** Module [NR/L3/INV/3001/RIM116](#) details the process for dealing with enforcement action initiated by the ORR on Network Rail.
- 5.5 At a local level, ORR reports may be received by Route Managing Directors, General Managers, Route Asset Managers, Route Infrastructure Maintenance Directors, Infrastructure Maintenance Delivery Managers and Route Safety Improvement Managers (RSIMs).
- 5.6 The ORR reports may contain recommendations.
- 5.7 In some cases, the ORR's reports, and any associated recommendations, may be reported to more than one level but, generally, reports provided at a national level will contain only national recommendations.
- 5.8 The following addresses the management of the ORR's annual inspection plan and provides a process for the review and implementation of any recommendations contained within the ORR's reports.

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- 5.9 Until the implementation of the CMO Compliance application, which will provide facilities to record ORR reports and associated recommendation(s), alternative arrangements should be made to record the details/information associated with such reports and recommendations where required by this module.

NOTE 3 *An Excel spreadsheet may be used to record the details/information.*

6 Assurance co-ordinator

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| 6.1 | A manager shall be nominated to undertake the role of assurance co-ordinator for the purposes of this module. | Functional/Business unit Director |
| 6.2 | An assurance co-ordinator shall be nominated at both a national and a local (i.e. route) level. | Functional/Business unit Director |
| 6.3 | The HoCAAI shall be advised details of the nominated assurance co-ordinators. | Functional/Business unit Director |

7 ORR's annual inspection plan

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| 7.1 | Once received, the ORR's proposed annual inspection plan shall be forwarded to each Function's/Business unit's national assurance co-ordinator who shall be requested to nominate a national Report owner for each of the proposed inspections. | Head of Corporate Assurance & Accident Investigation |
| 7.2 | The HoCAAI shall be advised the nominated national Report owner for each of the proposed inspections. | Assurance co-ordinator |
| 7.3 | For each of the proposed inspections, the ORR shall be advised the name and contact details of: <ul style="list-style-type: none"> a) the nominated national Report owner and b) the national assurance co-ordinator. | Head of Corporate Assurance & Accident Investigation |

8 ORR reports received at national level

8.1 General

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| 8.1.1 | Upon receipt of the completed ORR report, the report shall be reviewed to determine whether it contains a recommendation(s) addressed to Network Rail. | Report owner |
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NOTE 4 *Where it is not clear from the ORR report whether it contains a recommendation(s) or what a recommendation requires, the ORR lead inspector should be contacted for clarification.*

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8.1.2	Where the report contains a recommendation(s) of a local nature, the local assurance co-ordinator shall be contacted to: a) ascertain what action, if any, has been taken locally and b) arrange for the recommendation(s) to be reviewed at a local level. <i>NOTE 5 In some cases, a recommendation made at a local level may be included within a national level report where the ORR considers it has 'national implications/application'. The Report owner should communicate with the local assurance co-ordinator to ascertain what action, if any, has been taken locally. See also Note 8.</i>	Report owner
8.1.3	Where the completed ORR report contains a recommendation(s) addressed to Network Rail, it shall be progressed in accordance with clause 10.	Report owner
8.1.4	Where the completed ORR report contains a recommendation(s) addressed to Network Rail that relates to the operations/activities of, or affects another Function/Business unit the national assurance co-ordinator of the affected Function(s)/Business unit(s) shall be informed.	Report owner
8.1.5	Details of the completed ORR report and recommendation(s) shall be recorded. <i>NOTE 6 The details associated with each recommendation should include the following to enable them to be readily identifiable:</i> <ul style="list-style-type: none"> the year (e.g. 2011-12) the ORR report title; an indication of whether the recommendation is of a national or a local nature (e.g. 'N' = national, 'L' = local); a unique number for the recommendation (the ORR report may not provide a unique number). <i>For example:</i> 2011-12 – ORR – Track Safety – N – 4.	Assurance co-ordinator

9 ORR reports received at local level

9.1 General

9.1.1	Upon receipt of the completed ORR report, it shall be forwarded to the nominated local assurance co-ordinator.	Relevant manager/director
9.1.2	The completed ORR report shall be reviewed to determine whether the report contains a recommendation(s) addressed to Network Rail.	Local assurance co-ordinator