

Ref:	NR/L3/INV/3001/RIM201
Issue:	2
Date:	6 December 2014
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REPORTING & INVESTIGATION MANUAL

DECIDING THE LEAD ORGANISATION AND LEVEL OF INVESTIGATION

1 Purpose

To provide a structured and consistent process for deciding the level of investigation for all Network Rail led investigations.

2 Scope

This module applies to all events that might be the subject of a Network Rail led investigation.

3 Reference documentation

GO/RT3119	Accident and Incident Investigation
GO/GN3518	Guidance on Incident Response Planning & Management
GO/GN3519	Guidance for Accident and Incident Investigation
NR/L1/OPS/010	Signals passed at danger and signal reversions
NR/L3/INV/3001/RIM205	Network Rail led investigations
NR/L3/INV/3001/RIM206	Investigations led by other Railway Group members
NR/L3/INV/3001/RIM302	Management of recommendations and local actions
NR/L3/MTC/SG0054	Corrective Maintenance of Signalling Assets
NR/SP/CTM/032	Training, competence and assessment in Accident and Incident Investigation
	Investigations Matrix
	Investigations Handbook

4 Definitions

Accident – An unplanned, uncontrolled event that resulted in personal injury or damage to plant, machinery or infrastructure.

Close call – 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 or infrastructure. It should not be confused with a 'near miss' (see definition below).

Contractor – A person undertaking work under contract for Network Rail. This includes:

- a) a person subcontracted to undertake work for Network Rail; and
- b) a self-employed person and staff of agencies used by Network Rail or its contractors.

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

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Event – An occurrence resulting in an accident or incident.

Formal investigation – A formally structured investigation of an accident or incident led by Network Rail or a railway undertaking. Also known as a level 3 investigation.

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').

Lead investigator – A competent person appointed to lead and manage a level 2 or 3 investigation.

Lead organisation – Network Rail or the railway undertaking responsible for managing the investigation process in accordance with the criteria contained in GO/RT3119.

NOTE 1 *The Network Rail processes and criteria for an investigation are contained with the modules of the Reporting and Investigation Manual.*

Level 1 investigation – A preliminary investigation to establish the facts and preliminary causes of an accident or incident, and whether there is a need for further investigation. Also known as a preliminary investigation.

Level 2 investigation – An investigation led by Network Rail or a railway undertaking of an accident or incident for which a formal investigation is not required. Also known as a local investigation.

Level 3 investigation – A formally structured investigation of an accident or incident led by Network Rail or a railway undertaking. Also known as a formal investigation.

Local investigation – An investigation led by Network Rail or a railway undertaking of an accident or incident for which a formal investigation is not required. Also known as a level 2 investigation.

Member of the public – Applies to persons who are not:

- a) employees of Network Rail and its contractors whilst on duty;
- b) the employees of other Railway Group members and their contractors whilst on duty.

The definition includes:

- c) passengers;
- d) railway neighbours, i.e. persons who may be affected by Network Rail activities, including users of level crossing;
- e) persons on business or with legitimate reasons for being on Network Rail property (e.g. HM Railway Inspectors and others with statutory powers to enter onto Network Rail property);
- f) trespassers.

Near miss – 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.

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Network Rail managed infrastructure (NRMi) – 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.

Preliminary investigation – An initial investigation to establish the facts and preliminary causes of an accident or incident, and whether there is a need for further investigation. Also known as a level 1 investigation.

Principal contractor – A corporate entity licensed by Network Rail as capable to operate as a Principal Contractor under regulation 14(2) of the Construction (Design and Management) Regulations (the CDM Regulations), i.e., the main or managing contractor for a construction project appointed by the client to assume the duties of Principal Contractor, the contractor responsible for the overall health and safety management of a site or sites.

RAIB investigation – An investigation conducted by the Rail Accident Investigation Branch (RAIB) in accordance with the Railway (Accident Investigation and Reporting) Regulations (RAIR) 2005.

Railway undertaking – A transport undertaking, as defined in the Railways and other Guided Transport Systems (Safety) Regulations 2006, whose safety certification covers the operation of trains on NRMi.

Reporting and Investigation Manual – A Network Rail produced manual comprising the company's processes, and supporting guidance, for accident and incident reporting and investigation.

Responsible manager – For the purposes of this module, this includes:

- a) Persons with the competence and responsibility within their function for:
 - the safe and sustainable operation, maintenance or renewal of the railway;
 - 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.

Safety Management Information System (SMIS) – The system owned by RSSB and used by Railway Group members for the retention of data applicable to safety, environment and occupational ill health events.

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5 Determining the level of investigation and lead organisation

5.1 Identifying events that require investigation

5.1.1	Events that require investigation shall be identified using the route control log, staff reports, and reports from external agencies or members of the public. <i>NOTE 2 The Investigations Matrix identifies types of events that typically fall within the scope of this module.</i>	Designated competent person
5.1.2	The S&SD Reporting Team shall record events that require investigation in SMIS using the Investigations Matrix.	S&SD reporting team

5.2 Identifying the lead organisation for the investigation

5.2.1	The following shall be consulted to agree the lead organisation for the investigation of an event: a) the designated competent persons (DCPs) of the other organisations directly involved with the event; and b) the DCPs of other Network Rail functions/business units directly involved with the event.	Designated competent person
5.2.2	Where, based on the known circumstances of the event, the lead Network Rail function/business unit cannot be readily established, the relevant Network Operations (Operations) DCP shall take the lead in establishing the lead organisation for the investigation. <i>NOTE 3 Where an event involves more than one organisation or Network Rail function/business unit, the relevant organisation/function/business unit DCPs will need to liaise in order to determine which should lead the investigation.</i> <i>NOTE 4 The other relevant organisation/function/business unit DCPs should continue to collect evidence and information which should be provided to the lead investigator for the investigation.</i>	Designated competent person
5.2.3	If it is not possible to reach agreement with the other organisations directly involved as to which should be the lead organisation, the Corporate Investigation Manager shall be consulted.	Designated competent person