

Ref:	NR/L3/INV/3001/RIM301
Issue:	1
Date:	3 December 2011
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REPORTING & INVESTIGATION MANUAL

TRACKING OF INVESTIGATIONS, RECOMMENDATIONS AND LOCAL ACTIONS

1 Purpose

To provide a consistent, comprehensive and structured process for:

- the tracking of investigations and any resulting recommendations and local actions using SMIS, and
- the input of data to SMIS.

2 Scope

This module applies to:

- local and formal investigations led by Network Rail, including those investigations undertaken by Principal Contractors on behalf of Network Rail in accordance with the arrangements shown in [NR/L3/INV/3001/RIM201](#),
- local and formal investigations led by other Railway Group members containing a recommendation or local action directed to Network Rail, and
- recommendations arising from judicial and HSE inquiries and RAIB investigations.

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/RIM201	Deciding the lead organisation and level of investigation
NR/L3/INV/3001/RIM205	Network Rail led investigations
NR/L3/INV/3001/RIM206	Investigations led by other Railway Group members

4 Definitions

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.

Formal investigation – A formally structured investigation of an accident or incident led by Network Rail or a railway undertaking.

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

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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](#).

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.

National Recommendations Review Panel (NRRP) – A Network Rail panel formed at national level which reviews reports, and associated recommendations addressed to Network Rail, arising from:

- a) Public and HSE inquiries;
- b) Rail Accident Investigation Branch (RAIB) investigations;
- c) Network Rail led formal investigations.

NRRP also reviews:

- d) recommendations referred to it by RRP with national implications or application, and
- e) Coroners' reports addressed to Network Rail.

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.

'Primary lead' organisation – The organisation, as shown in the investigation report, responsible for taking action in response to a recommendation or local action.

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 2007 (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.

Railway Group – For the purposes of this module, this includes Network Rail and other certificated transport operators operating on NRMI.

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.

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Recommendations Review Panel (RRP) – A Network Rail panel formed at a local level which:

- a) reviews reports and recommendations arising from Network Rail led local investigations and Railway Group member investigations, and
- b) reviews recommendations referred to it by NRRP or refers to NRRP recommendations with national implications or application.

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

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 Use of SMIS

5.1 SMIS shall be the system used within Network Rail for the tracking of investigations, recommendations and local actions.

5.2 With the exception of judicial and HSE inquiries and RAIB investigations, arrangements shall be in place for investigations (and any resulting recommendations or local actions) to be input to SMIS where Network Rail is identified as the SMIS event record controller in accordance with [GE/RT8047](#).

NOTE 2 Details of judicial and HSE inquiries and RAIB investigations, together with any resulting recommendations or actions, will be input to SMIS by RSSB.

NOTE 3 For category A SPADs on Network Rail controlled infrastructure, the initial SMIS input will be made by Network Rail. Where it is subsequently agreed that the train operator will be the lead organisation for the investigation, the relevant SMIS Input Point should 'offer' the SMIS event record to the train operator's SMIS Input Point.

NOTE 4 Where Network Rail remains the event owner, as shown in [GE/RT8047](#), the train operator should be asked to 'offer' the SMIS event record back to the relevant Network Rail SMIS Input Point on completion of the investigation and publication of the investigation report.

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6 Quality of SMIS input

6.1	Arrangements shall be in place for the fields in the "Investigation/Recommendations" module of SMIS to be completed in accordance with the requirements shown in the tables at Appendices A to C.	Safety Reporting Manager
6.2	Whilst only certain fields in SMIS are mandatory, for the purpose of tracking progress with investigations, arrangements shall be in place for all fields in the "Investigation/Recommendations" module of SMIS to be treated as being mandatory.	Safety Reporting Manager
<p>NOTE 5 <i>When inputting, SMIS inputters should bear in mind that SMIS will be used to directly generate management reports and that information from SMIS may also be supplied as evidence to investigations. Every effort should therefore be taken to check that:</i></p> <ul style="list-style-type: none"> <i>all available relevant information has been input;</i> <i>the data input is correct based on the information/evidence provided;</i> <i>written text is free from grammatical and spelling errors.</i> 		

7 SMIS maintenance

	Arrangements shall be in place for the SMIS code tables shown at Appendix D to be maintained on a regular basis.	Safety Reporting Manager
	<p>NOTE 6 <i>All other SMIS code tables can be updated only by the SMIS Application Controller at the RSSB. RSSB's SMIS Application Controller should be advised of any changes required to these code tables.</i></p>	

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8 Investigations and inquiries

8.1	<p>Arrangements shall be in place, in accordance with NR/L3/INV/3001/RIM205, for the relevant Safety Reporting Specialist (SRS) to be:</p> <ol style="list-style-type: none"> sent the investigation remit, advised of the progress of each investigation, and sent the completed investigation report. <p><i>NOTE 7 The DCP will determine the level of investigation in accordance with NR/L3/INV/3001/RIM201.</i></p> <p><i>NOTE 8 The DCP will advise the relevant SRS of the following information in accordance with NR/L3/INV/3001/RIM205:</i></p> <ul style="list-style-type: none"> <i>the granting of any extension to the timescale and the reason for this;</i> <i>the date of the investigation team meeting;</i> <i>the date the draft investigation report was received by the DCP for review;</i> <i>the date the draft investigation report was sent for consultation;</i> <i>the date the completed investigation report was issued (i.e. signed off by the DCP);</i> <i>any other information relevant to the status of the investigation, e.g. reasons for delay.</i> 	Designated competent person
8.2	<p>Arrangements shall be in place for details of an investigation received from a Designated competent person (DCP), in accordance with 8.1, to be input to SMIS.</p> <p><i>NOTE 9 When the investigation remit is received, the SRS should arrange for the following details to be input to SMIS:</i></p> <ul style="list-style-type: none"> <i>details of the accident/incident,</i> <i>whether a local or formal investigation is to be held, and</i> <i>the name of the lead investigator.</i> <p><i>NOTE 10 The information input to SMIS will be used to track progress of investigations by persons in other than the relevant function/business unit/route/area/delivery unit.</i></p>	Safety Reporting Specialist
8.3	<p>Arrangements shall be in place for the “Notes” field on the SMIS “Inquiry/Investigation” screen to record the current status of the investigation.</p>	Safety Reporting Specialist

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8.4

Arrangements shall be in place, once a completed investigation report is received, for the investigation report details, including any associated recommendation or local action, to be input to SMIS.

Safety Reporting Specialist

NOTE 11 See requirements shown at Appendix A for fields on the "Inquiry/Investigation" screen of SMIS.

NOTE 12 The 'primary lead' organisation for each recommendation and local action is responsible for inputting to SMIS the results of organisation review, tracking details, and action taken.

NOTE 13 Where Network Rail is the 'primary' lead organisation for a recommendation or local action, see the table at clause 10 for responsibility for input to SMIS of the results of organisation review, tracking details, and action taken.

9 The SMIS inquiry summary report

9.1

For formal investigation reports, once the investigation report is received and the investigation details and any associated recommendation or local action has been input to SMIS, arrangements shall be in place for a SMIS inquiry summary report to be completed.

Safety Reporting Specialist

NOTE 14 SMIS should retain as complete a record as possible of the event, including the conclusion of any investigation undertaken. It is with this in mind, and acknowledging that formal investigation reports will be distributed to industry members, that a SMIS inquiry summary report is required to be completed.