Ref:	**NR/L3/INV/3001/RIM206**
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

REPORTING & INVESTIGATION MANUAL

INVESTIGATIONS LED BY OTHER RAILWAY GROUP MEMBERS

1 Purpose

To provide a consistent, comprehensive and structured process for local and formal investigations where the lead organisation is other than Network Rail.

2 Scope

2.1 This module applies to all local and formal investigations undertaken in accordance with GO/RT3119 where the lead organisation is other than Network Rail but where Network Rail should, in accordance with GO/RT3119, be invited to participate in the investigation or is requested to provide information or witnesses.

2.2 This module only applies to events occurring on or affecting Network Rail managed infrastructure (NRMI).

2.3 This module does not apply to events occurring on infrastructure wholly managed by organisations other than Network Rail that did not affect or have the potential to affect NRMI.

2.4 Clauses **6**, **7** and **8** of this module do not apply to investigations undertaken by Principal Contractors on behalf of Network Rail in accordance with the arrangements shown in NR/L3/INV/3001/RIM201.

3 Reference documentation

GO/RT3119	Accident and Incident Investigation
GO/GN3519	Guidance for Accident and Incident Investigation
NR/L3/INV/3001/RIM201	Deciding the lead organisation and level of investigation
NR/L3/INV/3001/RIM301	Tracking of investigations, recommendations and local actions
NR/L3/INV/3001/RIM302	Management of recommendations and local actions

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 to be confused with a 'Near miss' (see definition below).

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Contractor – A person undertaking work under contract for Network Rail; this includes a person sub-contracted to undertake work for Network Rail.

This includes 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.

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.

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 the 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.

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.

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.

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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