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REPORTING & INVESTIGATION MANUAL

MANAGEMENT OF RECOMMENDATIONS AND LOCAL ACTIONS

1 Purpose

To provide a consistent, comprehensive and structured process for the management of recommendations and local actions arising from inquiries and investigations.

2 Scope

2.1 This module applies to all recommendations and local actions directed to Network Rail arising from:

a) local and formal investigations led by Network Rail,

b) local and formal investigations led by other Railway Group members, and

c) judicial and HSE inquiries and RAIB investigations.

2.2 This module also applies to Coroners' reports directed to Network Rail.

3 Reference documentation

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/RIM301	Tracking of investigations, recommendations and local actions
NR/L2/RSK/00001	Integrated Risk Management Process
	Guide to Network Rail key meeting structures – Internal meetings

4 Definitions

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

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

Lead manager – For the purposes of this module, the person allocated a recommendation by the RRP or NRRP and with responsibility for implementing the recommendation. The Lead manager may delegate the work associated with implementing the recommendation to a Progress manager.

Local action – A local action is a response directed at line management due to an existing control measure not being followed or applied.

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.

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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.

Progress Manager – The person delegated by the lead manager to undertake work associated with implementing a recommendation.

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

Recommendation – A recommendation is a proposal to:

a) change an existing control measure (e.g. a rule, instruction, standard or process), or

b) define a new control measure.

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.

Report owner – For the purposes of this module, the person assigned an investigation report by the Head of Corporate Assurance and Accident Investigation (HoCAAI).

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.

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5 Review Panels

5.1 Recommendations Review Panel

5.1.1	Arrangements shall be made within each route for a Recommendations Review Panel (RRP) to be established to review the following: a) local actions arising from all Network Rail led investigations; b) reports and associated recommendations arising from Network Rail led local investigations (including those undertaken on Network Rail's behalf by Principal Contractors in accordance with module NR/L3./INV/3001/RIM201); c) recommendations and local actions arising from local or formal investigations led by other Railway Group members; d) recommendations arising from Network Rail led formal investigations that have been referred to route level by the National Recommendations Review Panel (NRRP) in accordance with clause **6.3**. *NOTE 1 The purpose, remit and structure of the route RRP are shown in the 'Guide to Network Rail key meeting structures – Internal meetings' which is available on the 'Applications' page of the Network Rail portal under National/General – References.* *NOTE 2 In the case of (b) and (c), only recommendations addressed to Network Rail need to be reviewed.* *NOTE 3 In the case of (a), only Network Rail related local actions need be reviewed, including any that may relate to its contractors that are not Railway Group members.*	Operations Risk Advisor
5.2	In addition, the RRP shall review the following: a) the progress by a lead manager in response to assigned recommendations; b) a request from a lead manager for an extension to timescales for completing a recommendation; c) a lead manager's confirmation of closure of a recommendation. *NOTE 4 See clause **8** for RRP's handling of local actions.* *NOTE 5 The RRPs have no executive powers with regard to their decisions and do not relieve line managers or any other employee of the company of their respective responsibilities for all safety, health and environment matters.*	Operations Risk Advisor

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5.1.3	Where the RRP considers a recommendation, addressed to Network Rail, arising from: a) a Network Rail led local investigation, or b) a local or formal investigation led by other Railway Group members has a national implication or application, the Recommendations Programme Co-ordinator (RPC), Safety & Sustainable Development, shall be requested to arrange for the recommendation to be reviewed by the NRRP.	Safety Reporting Specialist
5.1.4	Where the RPC is requested, in accordance with **5.1.3,** to arrange for a recommendation to be reviewed by the NRRP, the RPC shall be provided with: a) details of the recommendation, b) the RRP's explanation of its national implications or application and c) the investigation report. *NOTE 6 The Safety Reporting Specialist (SRS) should also notify the Head of Corporate Assurance & Accident Investigation (HoCAAI) of any investigation reports reviewed by the RRP where the RRP considered there were issues or lessons to be learnt nationally.*	Safety Reporting Specialist

5.2 National Recommendations Review Panel (NRRP)

5.2.1	A National Recommendations Review Panel (NRRP) shall be established to review the following: a) recommendations arising from a judicial or HSE inquiry; b) recommendations arising from a RAIB investigation; c) the report and any recommendation arising from a Network Rail led formal investigation (including those undertaken on Network Rail's behalf by Principal Contractors in accordance with module NR/L3./INV/3001/RIM201); d) any recommendation arising from a Network Rail led local investigations where the route RRP considers it has national implications or application; e) any recommendation arising from an investigation led by another Railway Group member where the route RRP considers it has national implications or application; f) reports arising from Coroners' inquests. *NOTE 7 The purpose, remit and structure of the NRRP are shown in the 'Guide to Network Rail key meeting structures – Internal meetings' which is available on the 'Applications' page of the Network Rail portal under National/General – References.*	Head of Corporate Assurance & Accident Investigation

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NOTE 8 *The NRRP has no executive powers with regard to its decisions and does not relieve the Network Rail Board, the executive directors, senior managers or any other employee of the company of their respective responsibilities for all safety, health and environment matters.*

NOTE 9 *In the case of (a) to (c) and (f), only recommendations addressed to Network Rail need to be reviewed.*

NOTE 10 *When reviewing formal investigation reports, the NRRP shall also consider whether there are any national issues or lessons to be learnt that require sharing with others. Where appropriate a paper should be prepared by the RPC for presentation to Tactical Safety Group (TSG).*

NOTE 11 *In the case of Coroners' inquests, recommendations take the form of reports that are made under Rule 43 of the Coroners Rules 1984.*

5.2.2 In the case of the following, and in agreement with the relevant Function/Business Unit, a report owner shall be assigned before the investigation report is submitted to NRRP for review: — Head of Corporate Assurance & Accident Investigation

a) a Network Rail led formal investigations into a 'serious accident' (as defined in NR/L3/INV/3001/RIM201), and

b) a RAIB investigation report that contains a recommendation addressed to Network Rail.

5.3 Tactical Safety Group (TSG)

5.3.1 Arrangements shall be made for TSG to review the decisions made by the NRRP in respect of recommendations arising from: — Head of Corporate Assurance & Accident Investigation

a) a judicial or HSE inquiry;

b) a RAIB investigations;

c) a Network Rail led formal investigations into a 'serious accident' (as defined in NR/L3/INV/3001/RIM201).

NOTE 12 *NRRP or the report owner will determine which formal investigations should be reviewed by TSG.*

5.3.2 Arrangements shall be made for TSG to receive updates on progress with selected recommendations at intervals agreed by TSG. — Report owner

NOTE 13 *These updates should be presented to TSG by the report owner.*

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6 Recommendations review process

6.1 Overview of process

The person shown in **Table 1** shall arrange for all recommendations to be reviewed at the RRP/NRRP meeting prior to implementation in order to:

a) determine whether the recommendation is to be accepted or rejected;

b) identify the associated risk;

c) allocate a lead manager; and

d) determine a target completion date for the recommendation.

See Table 1

Meeting	Arrangements for review of recommendations by:
NRRP	Recommendations Programme Coordinator (RPC)
RRP	Operations Risk Advisor

Table 1 – Reviewing recommendations by RRP/NRRP

NOTE 14 *See clause **6.7** for details of action to be taken in respect of recommendations arising from RAIB investigations.*

6.2 Deferred investigation reports

Where the RRP/NRRP defers reviewing a Network Rail led investigation report, the relevant DCP shall be advised of the reasons why the report has been deferred and of the action required before the report will be reviewed by the RRP/NRRP.

See Table 1

6.3 Acceptance or rejection of recommendations

6.3.1 The person shown in **Table 2** shall arrange for the minutes of the RRP/NRRP meeting to record:

a) the decisions made at the meeting;

b) confirmation of the acceptance or rejection of each recommendation tabled at the meeting;

c) in the case of rejected recommendations, the reasons for rejection.

Meeting	Recorded in minutes of meeting by
NRRP	Recommendations Programme Coordinator (RPC)
RRP	Operations Risk Advisor

Table 2 – Recording minutes of RRP/NRRP

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NOTE 15 *The RRP/NRRP may defer a decision on a recommendation in order to obtain appropriate advice or further technical input.*

NOTE 16 *Reasons for rejection may include:*

- *the recommendation is impractical or impossible to deliver;*
- *the safety benefit is poor, compared to the time and resources required to implement;*
- the *recommendation conflicts with other work activity or company objectives;*
- *the recommendation conflicts with standards (after considering whether the standard is deficient).*

NOTE 17 *Ideally, any poor drafting or inappropriateness of a recommendation should be identified during the consultation period for the investigation report.*

NOTE 18 *See clause **6.7** for details of action to be taken in respect of recommendations arising from RAIB investigations.*

6.3.2	The relevant SRS shall be notified of: a) the NRRP's decision for each recommendation, including where relevant its reason(s) for rejecting a recommendation and b) where the NRRP considers a recommendation should be implemented as a local action.	Recommendations Programme Coordinator
6.3.3	Arrangements shall be made for the NRRP's decisions advised in accordance with **6.3.2** to be reviewed by the RRP.	Safety Reporting Specialist
6.3.4	The relevant DCP shall be advised of the following: a) the RRP/NRRP discussion and decision on each recommendation and, b) where a recommendation is rejected, the reason(s) for rejecting the recommendation.	Safety Reporting Specialist
6.3.5	The relevant lead investigator shall be advised of the information received from the SRS in accordance with **6.3.4**.	Designated competent person
6.3.6	The RRP/NRRP decision to reject a recommendation may be challenged and, in such cases, the relevant SRS shall be notified of the reasons for the challenge and provided, where appropriate, with any additional information or evidence in support of the challenge.	Designated competent person
6.3.7	Arrangements shall be made for the recommendation/challenge to be discussed by the RRP/NRRP, as appropriate, at the earliest opportunity.	Safety Reporting Specialist

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