

# NATIONAL CONTROL INSTRUCTIONS

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## INCIDENTS

### 1 INCIDENT MANAGEMENT

#### 1.1 National Control Instructions

This Section details the Incident Management Instructions for Network Rail Control Managers and Controllers. It includes appointment of Rail Incident Officer (RIO), Manager In Charge process, implementation of the Major Incident Command structure, Gold command, and actions of the lead Train Operators Control Team.

The incident command structure (GOLD / SILVER / BRONZE) shall be found within NR/L2/OCS/250 – Network Rail National Emergency Plan.

#### 1.2 Incident Management Principles

Network Rail Route Control staff are responsible for the off site management of all incidents on the Routes running lines. This extends from the initial report and incident response to any subsequent statutory reporting where appropriate.

In all cases, the final authority for incident management and any associated train arrangements shall remain with the Network Rail Route Control.

The instructions contained within this NCI, set out the minimum that is required. Each Control will have Local Arrangements in place that will outline local actions to supplement and conform to the instructions below when it is required to do so.

The Passenger Train Operator will define Mandatory Service Disruption Thresholds which may be route / service group specific.

Above these thresholds certain actions will be triggered, in particular enhanced passenger information provision. This enhanced level of mobilisation is to be designated as Customer Service Level 2 (CSL2).

Controllers must be aware of the CSL2 thresholds for operators in their geographic area of control and will support the provision of enhanced information for passengers.

Where local media approach any Control staff seeking information, they shall be referred to the appropriate Network Rail Corporate Affairs Manager or the equivalent organisation for the Train Operator.

On no account shall Control staff offer any comments on possible causes of mishaps.

### 2 CONTROL INSTRUCTIONS FOR INCIDENT MANAGEMENT (GENERAL)

#### 2.1 Actions of All Control staff

- a) Arrange for any URGENT actions (calling of emergency services including the BTP, stopping of trains, isolation of traction current, evacuation of premises, etc.) to take place or confirm it is underway.
- b) The points below outline what must be done by each of the roles within the Control during the management of an incident.

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### 2.2 Actions of the Route Control Manager

- Lead the management of incidents that occur on the Route.
  - Where an incident spans a route boundary, the Route Control Managers of the Routes affected must quickly reach a clear understanding of who will take the lead – this should apply for incident management, service management and the logging of such incidents which includes the capture of CSL2 requirements.
- Review and authorise the Prioritised Plan.
- Make arrangements for the Manager In Charge process to be implemented.
- Lead implementation and management of Service Recovery.
- Authorise the relevant contingency plans and actions in relation to service recovery.
- Take appropriate action so that Control team is aware of what is required.
- Route Control Managers are responsible for co-ordinating attendees for telephone conferences when required. A conference will require to be convened for the following:
  - Service Recovery (Train Running Controller);
  - Major incident;
  - In preparation for a significant disruptive event;
  - National conferences.

### 2.3 Actions of Incident Controller (or Incident Support Controller, where applicable)

- Gather details of the incident, including the extent to which the incident affects the railway infrastructure.
- Effectively communicate details of the incident in line with local arrangements for messaging.
- Advise relevant key stakeholders immediately of any safety concerns and the effect of the incident on the railway network.
- Co-ordinate response and manage incidents by utilising all resources available
- Lead the setup of an effective communication plan between site and route control immediately after response teams arrive on site.
- Lead the production of the prioritised plan in co-ordination with all response teams on site.
- Effectively communicate the Prioritised Plan to TOC Lead Information Controller(s).
- Make contact with the response teams on site at the times milestones are to be achieved, capture reasons if milestones are not achieved and communicate information immediately to relevant stakeholders.
- Make arrangements for additional resources and escalate the incident as necessary.
- Record the events of the incident in accordance with local instructions in the Control Centre Incident Log and fault details in FMS.
- Agree and implement operational methods of working when required.

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### 2.4 Actions of Incident Support Controller (where applicable)

- To assist the Incident Controller as outlined within 2.3 above.
- Collate details of incidents and record in FMS.
- Any duty as directed by Incident Controller.

### 2.5 Actions of Train Running Controllers

- Working closely with Train Operating Companies (TOCs) and Freight Operating Companies (FOCs), monitor planned train service in steady state and intervene when required to optimise PPM.
- Monitor planned moves to and from depots ensuring robust service start up.
- Record events of train running activities in accordance with Local Arrangements in the Control Centre Incident Log.
- Act as the single point of contact for signallers requiring advice on regulating decisions that overlap signal box areas and / Route boundaries.
- Implement Service Recovery as and when required.
- Application of SRCT.
- Proactively manage the regulation of train service.
- Implementation of Contingency plans.
- Managing freight services during disruption (per NCI 9.1).
- Management of early / late running freight.
- Management of connectional policy (if applicable).
- Application of the ROC (control arrangements).
- Record any local performance improvement initiatives and communicate to relevant stakeholders so that best practice can be shared and learned.

### 2.6 Actions of Train Operator's Control Team

- a) Give advice as required to the TOLO and Incident Controller.
- b) Arrange for TOC staff to be directed to the site as necessary.
- c) Provide appropriate train crew resources to assist with recovery and subsequent movement of vehicles.
- d) If requested, call out additional resources from the TOC.
- e) In conjunction with the respective Fleet Controller arrange for Track Call Fitters / on call Fleet Manager to attend the site when requested.
- f) Assist in the formulation of any Contingency and / or Prioritised Planning with the Network Rail Controller for a TOC failure / incident.
- g) Provide support to the Network Rail Control team during the management of all incidents.

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### 3 **CONTROL INSTRUCTIONS FOLLOWING TOC REQUEST FOR SERVICE RECOVERY (SRCT)**

These arrangements are mandatory once one (or more) TOC(s), request service recovery for an incident which has occurred within the confines of the Route concerned.

The Route Control Manager is responsible for instigating service recovery, and for encouraging as speedy a return to normal working as is consistent with the parties' safety obligations.

#### 3.1 **Role of the Train Running Controller**

- Organise and lead a conference / meeting with the TOCs that have requested SRCT or will be effected by the incident and agree the following as a minimum:
  - a) immediate actions that can be taken to limit delays to train services;
  - b) determination of the most expeditious and effective industry Service Recovery response;
  - c) the nature, scope and contingency plan to be implemented;
  - d) an estimate of normal service restoration.
- Communicate details of the actions agreed at the conference / meeting to the TOC lead information controller(s) and all key stakeholders.
- Review progress against the agreed service recovery plan.
- Organise and lead additional conferences / meetings as necessary to align service recovery with the estimated normal service restoration time.
- Enter details of the Service Recovery onto the relevant pages in CCIL in accordance with section 8.5.

### 4 **CONTROL INSTRUCTIONS FOLLOWING DECLARATION OF CUSTOMER SERVICE LEVEL 2 (CSL2)**

These arrangements are mandatory once one (or more) TOC(s), operating within the confines of the Route concerned, reach defined service disruption thresholds and Customer Service Level 2 (CSL2) has been declared.

These arrangements must also be applied when major delay or disruption is expected to occur.

#### 4.1 **Role of the Incident Controller**

In conjunction with the lead member of Site Staff (normally the Rail Incident Officer, Mobile Operations Manager, Operations Manager, Asset Recovery Manager, Maintenance Manager In Charge or Operations Manager In Charge) and / or other relevant controllers / managers, the Incident Controller should be able to break the problem into key parts and agree prioritised actions.

This will be termed a Prioritised Plan.

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The Prioritised Plan shall be authorised and owned by the nominated Route Control Manager.

When CSL2 is declared by the TOC(s) an Incident Controller shall be nominated within the Control Office to liaise with site staff concerned and act as a focal point for developing the Prioritised Plan.

The Prioritised Plan is to be devised using input from site, contingency plans and other relevant sources / information.

It shall contain appropriate intermediate milestones and agreed review points.

The Prioritised Plan shall be available to those with a part to play in delivering the plan and communicated to the TOCs so that the passenger can remain accurately informed.

The Incident Controller and other staff within the Control Office must provide the TOC Lead Information Controller with all relevant information, including estimates and progress against the Prioritised Plan.

Estimates are to be given for all of the milestones in the agreed Prioritised Plan.

The Control Office will capture the following information in order to measure the effectiveness of the information flow within the Control Office decision making processes:

- Time CSL2 declared & advised;
- Time Prioritised Plan formulated and issued;
- Accuracy of milestones within the prioritised plan, against estimates;
- Reasons for variance of the accuracy of times against milestone actual times

### 4.2 Site Situation and Assessment

Site Staff (normally the RIO, MOM, SIO, ARM or MMIC) must provide a prompt initial assessment to the relevant Network Rail Control Office as soon as it is practicable to do so.

Site staff are to break the problem into key parts and agree prioritised actions with the Incident Controller.

Site Staff are to provide robust estimates for the site-specific key milestones within the Prioritised Plan.

Site Staff are to give regular updates at intervals agreed with the Incident Controller.

### 4.3 DOO Services

Consideration shall be given to the use of the 'General Call Facility' for DOO services affected by the incident but should be used only when the operational situation permits.

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### 5 CONTROL INSTRUCTIONS FOR MAJOR INCIDENTS

On site management shall normally be required in the following circumstances:

- running line derailments;
- major Over Head Line Equipment (OHLE) incidents;
- serious level crossing incidents;
- bridge damage;
- serious weather related incidents;
- serious train failure;
- major media involvement;
- fatalities / serious injuries;
- serious operating irregularities;
- major infrastructure failures or delays;
- serious fires;
- serious wrong side signalling equipment failure.

#### 5.1 Appointment of Rail Incident Officer

Appointment of the RIO shall be arranged by the Route Control Manager, depending on the type and severity of the incident.

If it is a major incident / accident, then the Route Control Manager shall arrange for the appointment of a Rail Incident Commander (RIC) and setting up the Major Incident Command Structure.

#### 5.2 Major Incident Command structure Arrangements – Setting up Gold Command

The Route Control Manager is to:

- Liaise with the relevant parties so that the following roles are appointed:
  - o Silver command;
  - o Bronze;
- Make Incident command arrangements;
- Appoint Train Operations Liaison Officer (TOLO).

The Route Control Manager will then arrange for advice to other employees as per the Management Response Matrix and Evidence Gathering Matrix.

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### 5.3 Major Incident Command structure Arrangements – Handover of Gold Command

The Route Control Manager is to:

- To arrange the appointment of a Rail Incident Commander to assume Gold and arrange a handover meeting – this meeting shall include:
  - o The Handover Gold Command Log;
  - o discussion of relevant detail contained within;
  - o present command structure (who, what role, where, contact details etc);
  - o any arrangements or agreements made with other Network Rail staff, Network Rail Asset Response Maintainers and TOCs / FOCs.
- Advise all members of staff following the handover meeting, who the new gold command personnel are (verbally or via pager messages as appropriate).
- Initiate chain of care debriefing and welfare arrangements.
- Keep relevant people informed.

### 5.4 Major Incident Command Structure Arrangements – Senior On Call Manager Advice

Senior on call managers are to be advised of the following:

- all derailments on running lines;
- all collisions on running lines;
- incidents resulting in the introduction of unplanned SLW or Temporary Block Working;
- any major power failures causing severe disruption to services;
- any reported wrong side failures;
- any incidents resulting in death or serious injury to staff or members of the public;
- serious operating irregularities;
- serious fires.

The above list details the minimum circumstances for Route On-Call advice. This list may be enhanced locally and outlined within the local arrangements for that Route Control.

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### 6 INCIDENT CATEGORISATION – NATIONAL OPERATIONS CENTRE ONLY

#### 6.1 National Control Instructions

All Network Rail National Operations Centre Controllers shall follow the rules for categorisation of incidents using the detailed arrangements in this Section.

#### 6.2 Definitions

Railway Group Standard GE/RT8047 provides the following definitions:

|                 |                                                                                                                                                  |
|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Accident</b> | "An unplanned, uncontrolled event giving rise to death, ill health, injury or other loss"                                                        |
| <b>Incident</b> | "An unplanned, uncontrolled event that under different circumstances may have resulted in an accident. An incident is also known as a Near Miss" |
| <b>Assaults</b> | "Assaults include any case where a person is physically assaulted, subjected to verbal abuse or has been threatened with violence"               |

#### 6.3 Guidance

There is no standard definition of the commonly used term Mishap, but for all intents and purposes it is the same as an Accident.

**Note:** The definition of Accident includes the phrase 'or other loss'. This not only refers to damage to equipment, infrastructure etc., but also to the monetary cost of rectifying the Accident.

#### 6.4 Safety Categorisation

All incidents will be categorised as defined in the table below:

|                   |                                                                                                                                                                    |
|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Category A</b> | Serious accident / incident resulting in fatal or major injury or serious damage. Emergency Services are on site for an extended period and will play a major role |
| <b>Category B</b> | Medium scale accident / incident resulting in minor injuries or less serious damage. Emergency Services are called and play a minor role                           |
| <b>Category C</b> | Minor accidents / incident resulting in other injuries or less serious damage. Emergency services do not attend                                                    |
| <b>Category D</b> | Other incident other than those categorised A, B or C. Emergency services do not attend                                                                            |

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- 6.5 For the purpose of determining the accident category, the following definitions must be used:

|                            |                                                                                                                                                                                                  |
|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Major Injury</b>        | Fractures or loss of limbs, loss of sight                                                                                                                                                        |
| <b>Minor Injury</b>        | Minor fractures (this would be a fracture of a bone in a finger or toe; any other fracture would be 'Major Injury'), cuts, bruising, etc., or shock whether requiring hospital attendance or not |
| <b>Serious Damage</b>      | Destruction of, or serious damage to, locomotives, rolling stock or structures                                                                                                                   |
| <b>Less Serious Damage</b> | Limited damage, displaced fittings, scrapes, broken windows, etc                                                                                                                                 |

Discretion must be used when paging out incidents that involve the attendance of Emergency Services.

E.g. if the Fire Brigade are in attendance for a line side fire and no major damage is being caused, then category "D" should be used.

### 6.6 Performance Categorisation

The National Operations Centre (NOC) shall categorise all incidents for Route / National Performance implications, in accordance with the following table, including sending any pager messages:

|                   |                                                                        |
|-------------------|------------------------------------------------------------------------|
| <b>Category 1</b> | Incident likely to have a National or significant Multi Route impact   |
| <b>Category 2</b> | Route Impact only but likely to cause significant disruption and delay |
| <b>Category 3</b> | Route Impact only but likely to moderate disruption and delay          |
| <b>Category 4</b> | Other incidents – not service affecting                                |

The Safety and Performance categorisation should then be allocated e.g. a serious accident with total delay likely to have a National Impact = A1.

### 6.7 Impact on Reputation

In addition a third identifier must be used if the accident / incident may have an impact on Network Rail's corporate image. In these instances the letter 'R' must be used after the Safety and Performance coding e.g. C4R.

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### 7 INCIDENT CATEGORISATION – ROUTE CONTROLS ONLY

#### 7.1 National Control Instructions

All Route Controls shall have in place rules for categorisation of incidents detailed within their respective Local Arrangements.

#### 7.2 Safety and Performance Categorisation

Routes must clarify categories for safety and performance impact that clearly defines when they are to be used detailed within their respective local arrangements.

Each Route is to define how all recipients of any Route messages containing such categorisation fully understand the meaning of the categories used.

### 8 INCIDENT RECORDING (LOGGING OF INCIDENTS)

#### 8.1 National Control Instruction

All Network Rail Controllers shall use the Control Centre Incident Log (CCIL) to record incidents. This section details the arrangements for creating and closing incidents and includes the operational principles of the system. The detailed operational requirements are contained within the process guide to be found on the front page of the system.

#### 8.2 Control Centre Incident Log: General Requirements

Incidents shall be created using the new log in the following process:

- a) Each Control Office has defined boundaries for responsibility for the control as a whole and for incident management, train running and other functions (see 2.2 above).
- b) Individual Controller preferences shall be defined by the Route Control Manager in line with the Local Arrangements for the control office.
- c) Controllers shall create an incident in the log for all incidents that occur on Railway infrastructure to defined parameters contained within the CCIL instructions available on the system.

#### 8.3 Incident Creation and Close

- a) Within each of the Routes Local Arrangements, clear guidance is to be included that outlines the way in which incidents are created and the procedure in which they are closed within CCIL.
- b) If an incident is changed in any way and it is NOC reportable, the NOC are to be advised of the details.

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### 8.4 CSL2 Logging Requirements

If an incident occurs where CSL2 has been declared by the TOC(s), the following details must be logged in CCIL on the Route where the incident has occurred:

- Time CSL2 declared, advised and affected TOC.
- Time Prioritised Plan formulated and issued.
- Complete detail of the Prioritised Plan that has been issued.
- Times of updates in line with Prioritised Plan milestones.
- Time of prioritised plan milestone 'actual' against 'estimates'.
- Capture of information that explains slippage of any milestone issued.

### 8.5 Service Recovery Page

- Train Running Controllers are responsible for entering the details on the Service Recovery Page.
- If an incident requires the imposition of the actions contained within the approved code of practice for Service Recovery, then SRCT must be entered into the Incident title field and the remaining SRCT page fields completed as appropriate.
- Enter the details of the TOCs that have requested Service Recovery.
- Enter the time that the first conference or meeting was held regarding service recovery.
- Enter the outcomes of the conference / meeting in relation to Service Recovery, including as a minimum:
  - o the agreed actions to be taken to recover the service;
  - o the contingency plan that will be implemented.
- Enter the time that any review conferences / meetings were held and record any further agreed actions / contingency plan.
- Enter the time service recovery was concluded.

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### 9 MESSAGE PAGING

#### 9.1 National Control Instruction

Each Network Rail Control shall use the systems currently in service for messages. This section details the arrangements for standard message formats and includes information screens provide at strategic locations for information direct to Passengers.

#### 9.2 Message Paging Protocol for National Operations Centre

It is essential that HQ employees are kept informed of operations incidents and day-to-day service disruption which have an effect on the UK National Railway Network so that managers can be aware of real time product quality and are given the opportunity to respond as appropriate.

The National Operations Centre (NOC) shall disseminate group call messages between 06:00 – 23:00 hours. Additionally to those incidents categorised as significant, messaging will continue between 23:00 and 06:00 hours.

Group call message shall be sent to provide:

- initial advice;
- periodic update(s);
- notice of resolution.

Group call paging messages shall be treated as providing 'Advice only'. They shall not be used as a means to summon staff where advice or additional assistance is required.

Tyrell Messages shall normally be prefixed with an identification of the Network Rail route affected by the incident.

#### 9.3 Message Paging Protocol for Route Control

Route Controls are to have in place a messaging standard, outlined within their respective Local Arrangements which must include:

- Details on when messages should be sent.
- Performance and Safety Categorisation of incidents.
- Message structure and content.
- CSL2 requirements for messaging.
- Tyrell paging groups that have the National Operating Centre Tyrell terminal(s) added to the distribution of all pager messages.