

Railway Group Standard

GO/RT3119

Issue 3

December 2012

Accident and Incident Investigation

Synopsis

This document mandates requirements for the investigation of accidents and incidents involving more than one duty holder so that system improvements necessary to prevent or reduce the likelihood of recurrence, or mitigate the consequences, are identified and implemented.

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Issue 3
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Issue record

Issue	Date	Comments
One	04 October 2008	Original document
Two	04 September 2010	Contains new and reworded SPAD categories and some additional requirements for lead organisation investigations.
Three	01 December 2012	Contains revised definition of a SPAD and some additional requirements when reporting local investigations.

Amended or additional parts of revised pages have been marked by a vertical black line in the adjacent margin.

Superseded documents

The following Railway Group documents are superseded, either in whole or in part as indicated:

Superseded documents	Sections superseded	Date when sections are superseded
GO/RT3119 Accident and Incident Investigation, Issue One	All	04 December 2010
GO/RT3119 Accident and Incident Investigation, Issue Two	All	02 March 2013

GO/RT3119 Issue Two ceases to be in force and is withdrawn as of 02 March 2013.

Supply

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Uncontrolled copies of this document can be obtained from Communications, RSSB, Block 2, Angel Square, 1 Torrens Street, London EC1V 1NY, telephone 020 3142 5400 or e-mail enquirydesk@rssb.co.uk. Other Standards and associated documents can also be viewed at www.rgsonline.co.uk.

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Part 1 Purpose and Introduction

1.1 Purpose

- 1.1.1 This document mandates requirements for the investigation of accidents and incidents involving more than one infrastructure manager and railway undertaking, so that system improvements (including changes to European and national standards, national operating rules and company systems and procedures) necessary to prevent or reduce the likelihood of recurrence, or mitigate the consequences, are identified and implemented.
- 1.1.2 The entitlements and role in the investigation process of railway industry parties and others not directly involved in the event subject to investigation are defined.

1.2 Introduction

1.2.1 Background

- 1.2.1.1 The requirements in Part 2 of this document define a procedural framework and common processes for the investigation of accidents and incidents to enable:
 - a) Infrastructure managers, railway undertakings and other railway industry parties cooperate to investigate immediate and underlying causes, identify measures and make recommendations to eliminate or prevent recurrence and to mitigate consequences of accidents and incidents.
 - b) The results of investigations and recommendations to be reported in a structured way.
 - c) Investigations to be completed and the findings made known in a timely way so that lessons are learned (including the need to review risk controls) at the earliest opportunity.
 - d) An awareness of safety lessons relevant to infrastructure managers' and railway undertakings' operations and the recommended actions to apply them.
 - e) Information necessary to support the development of the industry's safety strategies and safety risk models to be produced and reported.
 - f) Changes to Railway Group or European standards or working instructions to be progressed promptly.
- 1.2.1.2 The requirements in Part 2 of this document permit infrastructure managers and railway undertakings to appoint a person independent of either party involved to lead or participate in a formal investigation if required.

1.2.2 Principles

- 1.2.2.1 The requirements of this document are based on the following principles:
 - a) Investigations determine the facts of an accident or incident, its immediate and underlying causes, and make recommendations to eliminate or minimise the risk from such events by addressing the frequency of occurrence and the consequences of the event.
 - b) The investigation processes mandated in this document are not intended as a process for allocating blame or liability.

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- c) The information included in a report of an investigation carried out in compliance with this document is not intended to create any presumption of blame or liability.
- d) No degree of severity or importance is implied either by the use of the provisional collective term or between any of the post-investigation SPAD categories described in this standard.

1.2.3 Related requirements in other documents

1.2.3.1 The following Railway Group Standards contain requirements that are relevant to the scope of this document:

- a) GO/RT3118 Incident Response Planning and Management.
- b) Guidance on SPAD incident categorisation and risk ranking referred to in this document, together with associated Provisional SPAD Data Collection Forms RT/3119/A, B, C and D, can be found on the RSSB website www.rssb.co.uk.

1.2.4 Supporting documents

1.2.4.1 This Railway Group Standard is supported by GO/GN3519 Guidance on Accident and Incident Investigation.

1.3 Approval and authorisation of this document

- 1.3.1 The content of this document was approved by Traffic Operation and Management Standards Committee on 18 September 2012.
- 1.3.2 This document was authorised by RSSB on 29 October 2012.

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Part 2 Requirements for accident and incident investigation

2.1 Responsibilities common to infrastructure managers and railway undertakings

2.1.1 Requirement to investigate accidents or incidents

2.1.1.1 Infrastructure managers and railway undertakings shall investigate accidents or incidents to establish:

- a) The events leading up to the accident or incident.
- b) The immediate cause(s).
- c) The underlying cause(s).

2.1.1.2 Infrastructure managers and railway undertakings shall identify system improvements necessary to eliminate or minimise the risk from such accidents or incidents by addressing the likelihood of recurrence and the consequences.

2.1.2 Decision criteria for when to carry out a formal or local investigation

2.1.2.1 Infrastructure managers and railway undertakings shall use the criteria in Appendices A and B to identify when a formal or local investigation is required.

2.1.2.2 Infrastructure managers and railway undertakings responsible for employees or contractors involved in an operating incident shall provide the necessary information to the infrastructure manager for the purposes of incident risk ranking.

2.1.3 Lead organisation for formal and local investigations

2.1.3.1 Infrastructure managers and railway undertakings shall use the criteria shown in Appendices A and B to decide who the lead organisation will be for the purposes of both formal and local investigations.

2.1.3.2 Infrastructure managers and railway undertakings shall appoint a person who is independent of either organisation to lead the investigation if it is jointly decided that this is the most appropriate action.

2.1.4 Designation of responsible persons

2.1.4.1 Infrastructure managers and railway undertakings shall designate persons to be responsible for managing their processes for leading or contributing to investigations of accidents and incidents.

Appendix C contains mandatory requirements for persons designated to be responsible for managing investigation processes.

2.1.4.2 Infrastructure managers and railway undertakings shall designate persons to be responsible for leading investigations.

Appendix D contains mandatory requirements for persons appointed to lead an investigation.

2.1.5 Physical and witness evidence

2.1.5.1 Infrastructure managers and railway undertakings shall record physical and witness evidence of:

- a) The events leading up to the accident or incident.

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- b) The immediate cause(s) of the accident or incident.
- c) The consequences of the accident or incident.
- d) Any identifiable underlying causes of the accident or incident.

2.1.5.2 Infrastructure managers and railway undertakings shall use the 'RT/3119' designated Provisional SPAD Data Collection forms when investigating signals passed at danger incidents. The RT/3119/A or C forms are for infrastructure managers, and the RT/3119/B or D forms are for railway undertakings. The forms are located on the RSSB website.

2.1.5.3 Infrastructure managers and railway undertakings shall prioritise the collection of evidence according to the following list of subjects:

- a) Perishable evidence.
- b) Interviewing of personnel.
- c) Site visits.
- d) Records of previous related events.

2.1.5.4 Infrastructure managers and railway undertakings shall make the evidence they have gathered available to the person appointed to lead an investigation.

2.1.6 Action in response to an investigation

2.1.6.1 Infrastructure managers and railway undertakings shall evaluate reports of urgent safety problems found during an investigation for relevance to their operations, to identify any need for an immediate response before the completed investigation report and recommendations are published.

2.1.6.2 Infrastructure managers and railway undertakings shall evaluate recommendations made in reports of formal investigations for relevance to their operations.

2.1.6.3 Infrastructure managers and railway undertakings shall document reasons for rejecting any recommendations together with alternative measures for controlling risks identified.

2.1.6.4 Infrastructure managers and railway undertakings shall report to the Safety Management Information System (SMIS) their progress towards implementing recommendations from industry and Rail Accident Investigation Branch (RAIB) investigations that they have accepted.

Appendix E contains non-mandatory information for the reporting of progress towards implementing recommendations.

2.1.6.5 Infrastructure managers or railway undertakings acting as the lead organisation for an incident investigation shall not, if a Signal Sighting Committee (SSC) has been convened, conclude the detailed analysis of the wider evidence until they are in receipt of the SSC report.

2.1.7 Release of information to third parties

2.1.7.1 Infrastructure managers and railway undertakings shall not make public statements or release information to third parties about the progress, evidence or conclusions of an investigation, without the permission of the lead organisation and other railway industry parties involved in the accident or incident being investigated.

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2.2 Responsibilities of the lead organisation for formal investigations

2.2.1 Appointment of a person to lead the formal investigation

- 2.2.1.1 The lead organisation shall appoint a suitable person to lead the formal investigation according to the mandatory requirements contained in Appendix D.

2.2.2 Remit for person appointed to lead the formal investigation

- 2.2.2.1 The lead organisation shall, at the earliest opportunity after the accident or incident has occurred, consult affected parties on an appropriate remit for the person appointed to lead the formal investigation. The remit shall require:
- a) Determination of events leading up to the accident or incident, the immediate and underlying cause(s).
 - b) Identification of recommendations that could mitigate or eliminate the risk from such accidents or incidents in future.
 - c) Reporting of urgent problems found during the investigation to the lead organisation and which justify remedial action before the investigation report is completed.
 - d) Completion of the investigation within a defined time limit.
 - e) A written report of the investigation containing any recommendations, and in the case of investigations involving a SPAD, specific and final confirmation of its category as specified in Table 2 of Appendix D, or its alternative conclusion (together with the reasons for such a change).
- 2.2.2.2 The lead organisation shall be responsible for communicating the agreed remit to the person appointed to lead the formal investigation.

2.2.3 Participation in formal investigation proceedings

- 2.2.3.1 The lead organisation shall invite the following to cooperate in formal investigation proceedings:
- a) Organisations whose employees are directly involved in the accident or incident being investigated, and its cause(s).
 - b) Trades unions, recognised by the employer, who represent employees:
 - i) Directly involved in the accident or incident being investigated or its causes.
- Or
- ii) Who are called upon to give evidence.
 - c) Organisations who own or operate rolling stock or infrastructure involved in the accident or incident being investigated.
 - d) Organisations whose personnel or products have been directly involved in the accident or incident.
- 2.2.3.2 The lead organisation shall not permit the following to attend a formal investigation:
- a) Officers of the British Transport Police or inspectors of the Office of Rail Regulation (ORR), other than as direct witnesses of the accident or incident being investigated.

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- b) Legal representatives, including those of any witnesses or other party to the proceedings.

2.2.4 Informing others of SPAD risk ranking and formal investigation results

- 2.2.4.1 The lead organisation for a formal investigation shall input the results of SPAD risk ranking into SMIS.
- 2.2.4.2 The lead organisation shall inform infrastructure managers and railway undertakings and RSSB of system defects found during a formal investigation that justify urgent remedial action before the completed investigation report is published.
- 2.2.4.3 The lead organisation shall inform infrastructure managers and railway undertakings and RSSB of the conclusions and recommendations made as a result of a formal investigation. This requirement may be met through reporting to SMIS and may be recorded as 'inconclusive' if the incident category or underlying causes cannot be determined.
- 2.2.4.4 The lead organisation shall use Table 2 of Appendix D for confirming the categorisation of an incident that has been initially identified as a SPAD once the full causes are established following SPAD incident (formal) investigation.
- 2.2.4.5 The lead organisation shall communicate the conclusions of each SPAD incident (formal) investigation and recommendations arising from them to:
 - a) The parties whose employees or contractors were involved in the SPAD incident.
 - b) All railway undertakings using the route on which the signal concerned is located or where the in-cab signalled movement authority was exceeded.

2.2.5 Report of the formal investigation

- 2.2.5.1 The lead organisation shall provide a written report of the formal investigation to all infrastructure managers and railway undertakings, other railway industry parties involved in the accident or incident and RSSB. The report of a formal investigation shall include:
 - a) The remit.
 - b) Details of the event under investigation.
 - c) A description of the sequence of events.
 - d) A summary of the deliberations of the investigation team which relates the evidence to their conclusions.
 - e) The immediate and underlying causes of the accident or incident.
 - f) Recommendations, cross-referenced to the part of the report which justify them and clear as to their purpose of eliminating or minimising the risk from future accidents or incidents by preventing or reducing the likelihood of recurrence or mitigating the consequences.
 - g) In the case of investigations involving a SPAD, final confirmation of the SPAD category allocation according to the requirements of Appendix D.3 Alleged SPAD category confirmation.
- 2.2.5.2 The lead organisation shall specifically address each report recommendation to an infrastructure manager or railway undertaking.