



## Formal Inquiry

# Recommendations Annual Summary Report 2004

Rail Safety and Standards Board (RSSB) carries out formal inquiries relating to incidents on Network Rail controlled infrastructure on behalf of the UK rail industry. This is to ensure that safety lessons are learned and acted upon. The formal inquiry process provides an independent view of the causes, without apportioning blame or liability, and identifies opportunities for the industry to address specific issues or to consider changing systems to improve the management of risks.

Independence is achieved through the appointment of an independent chairman to each inquiry from a panel of respected, and experienced but independent experts. In order to assure that opportunities for improvement are acted upon, recommendations are made within inquiry reports and tracked by RSSB.

This forms part of the industry's collective approach to managing safety. The effectiveness of the process depends on each duty holder's recognition that the way to make real advances in managing identified risks is through addressing the underlying systems that are designed to control them.

This document summarises the 2004 formal inquiry recommendations annual report, showing the progress that the industry is making in using recommendations to improve safety on the rail network. It also summarises the main issues arising from formal inquiry reports issued in the period 1 January 2004 to 31 December 2004. Three months of these figures (January - March 2004) overlap with last year's report which was based on a financial year format. This year, it has been decided to publish this document on a calendar year basis, in line with European requirements and to complement the industry's annual safety performance report.

### Recommendations for 2004

In 2004 13 inquiry reports were published. Summaries of the reports and recommendations are available on RSSB's website [www.rssb.co.uk](http://www.rssb.co.uk)

From the safety issues identified in these inquiries, 97 recommendations were made.

### Formal Inquiry reports issued 2004

Formal Inquiry	Event	Event Date
Marston Green	Contractor injury (electric shock)	01/07/2003
Kings Cross	Passenger train derailment	16/09/2003
Oakley	Contractor fatality (electrocution)	07/08/2003
Earlswood	Passenger train derailment	30/06/2003
Norton Bridge	Freight train collision	16/10/2003
West London Junction	Derailment of Kirow Crane during renewals activity	04/01/2004
Hayle	Contractor injury	25/01/2004
Seven Kings	Train driver struck and injured by passenger train	28/01/2004
Tebay	Multiple track worker fatalities following collision with runaway trolley	15/02/2004
Ancaster	Contractor fatality	05/03/2004
Fareham Tunnel	Contractor fatality (fall from height)	14/03/2004
Streatham Common	Collision between empty coaching stock train and road rail vehicle	11/06/2004
Slade Lane	Contractor injury (electric shock)	29/06/2004

## Patterns in recommendations

RSSB allocates recommendations to ten categories broadly based on the management systems for operating the UK rail network. These categories allow trends to be identified in a specific area of safety management so that steps can be taken to reduce or remove the risks associated with them.

The majority of recommendations issued in 2004 (67 out of 97) fall under the same three main areas as has been the case for the last three years. This suggests that the industry should review its ways of tackling the issues relating to:

- rules, standards and instructions
- infrastructure asset assurance
- competence management

**Planning** has not been used as a separate category as it is a component of each category of the management systems identified. However, its **recurring significant influence** is a common theme across many formal inquiries in 2004.

### Summary of categorised recommendations

Category	Description	2004
Signalling system	Lineside signals passed at danger (SPAD) controls, signal sighting issues, train planning and regulation, operation of the signalling equipment	2
Competence management	Training and development, driver management, competence systems, briefing, assessment, staff selection procedures, drugs and alcohol, fitness for duty, fatigue	18
Rules, standards and instructions	Modification/development of rules and predefined standards for operation, Standards /process change management	29
Vehicle operation and integrity	Train-borne safety equipment, fire protection, vehicle maintenance, train data recorders, crash worthiness, in-cab ergonomics	9
Infrastructure asset assurance	Managing contractors, track/signalling maintenance operations, work planning, technical specifications, method statements	20
Event management/ investigation/ reporting	SPAD management, public accident investigation, site investigations, post accident management, formal investigations, formal inquiries, public inquiries [and Rail Accident Investigation Branch (RAIB) investigations], fault reporting, emergency procedures	8
Monitoring and audit	Monitoring activities, safety performance monitoring, follow-up processes	9
Research and development	Suggested research topics/specific areas of research	0
Safety communications	Defining and communicating safety responsibilities, general safety related communications, meetings, techniques, methods and equipment	2
Culture	Management commitment, organisational change	0

### Rules, standards and instructions (29 recommendations)

Recommendations in this category suggest a need for better operational level instruction, company standards, specifications and procedures. The number of recommendations in this category suggests the need for duty holders to review procedures applicable to their activities, particularly in the case of infrastructure maintenance. The majority of these recommendations relate to the **planning** framework for track maintenance and renewals work. They ask for more rigid definition of processes that duty holders operate when undertaking such activities.

The predominance of workforce accidents reported in the year meant that many recommendations in this and other categories were characterised by attempting to secure the safety of the workforce engaged in maintenance and renewal activities through standards and procedures.

### Infrastructure asset assurance (20 recommendations)

The frequency of recommendations in this category suggests that improved arrangements are needed to ensure the integrity of the infrastructure with respect to adequate planning for track maintenance activities and the management of contractors to control the risks to staff.

- Thirteen of the recommendations in this category were aimed at improving **possession planning**, an underlying cause of all of the workforce accidents in the period. Late notice changes to possessions particularly present risks to the safe delivery of works as time deficiencies hamper the ability to plan the right resources and make appropriate arrangements to ensure workers safety, often resulting in deviation from plans.

- Deficient **method statements** were also a common factor in many accidents with a failure to properly identify the roles and responsibilities of those undertaking the work. There is an over reliance on generic method statements applicable to the type of activity but not taking into consideration the specific risks that might be encountered at a particular site. An effective method statement should be specific to the task, location and people to be involved, and should be understood by all involved.
- Seven recommendations were made regarding the use of **on-track plant**. While the introduction of new equipment is a sign of progression with the reduction of risk to individuals from manual handling hazards, workforce fatalities in 2004 resulted from a failure to properly plan the use of vehicles.

#### Competence management (18 recommendations)

These recommendations highlight a need to review competence management systems to achieve agreed track worker safety objectives in infrastructure maintenance. The figure also indicates a need to address wider cultural issues to promote behaviours

which are in line with formal procedures in place to aid safe systems of working.

Fifteen of the eighteen recommendations made in this category related to ensuring the competence of staff engaged in maintenance and renewals activities, mainly where vehicles are involved. These recommendations focused not on ensuring the safety of the railway system through an understanding of individual's delivery of responsibilities but on ensuring worker safety, through their understanding of risks to themselves and others affected by their actions or inactions. These recommendations again highlight the need to **plan** competent resources and the use of plant.

#### Progress against recommendations

Of the 97 recommendations made during 2004, 82 were accepted and of those 34 have been completed to date. 48 recommendations are yet to be completed and are being monitored by RSSB.

The table below outlines progress against the recommendations set in 2004. There are also 44 recommendations which have been carried over from formal inquiries held in 2002 and 2003, still to be completed. Further details are available in the full report.

#### Summary of progress made by the industry in 2003/04 period against recommendations issued in the same period

Formal Inquiry	Event	Event Date	Recs Issued	Total Recs	Accepted	Complete	Carried forward
Marston Green*	Contractor injury (electric shock)	01/07/2003	17/02/2004	10	7	6	1
Kings Cross*	Passenger train derailment	16/09/2003	31/01/2004	17	14	9	5
Oakley*	Contractor fatality (electrocution)	07/08/2003	08/03/2004	9	8	3	5
Earlswood*	Passenger train derailment	30/06/2003	31/03/2004	4	4	1	3
Norton Bridge	Freight train collision	16/10/2003	06/05/2004	6	4	2	2
Queenstown Road	Derailment of Kirow Crane during renewals activity	04/01/2004	02/06/2004	10	10	9	1
Hayle	Contractor injury	25/01/2004	09/07/2004	8	7	1	6
Seven Kings	Train driver struck and injured by passenger train	28/01/2004	16/07/2004	1	1	1	0
Tebay	Multiple track worker fatalities following collision with runaway trolley	15/02/2004	30/09/2004	12	9	1	8
Ancaster	Contractor fatality	05/03/2004	02/09/2004	6	5	1	4
Fareham Tunnel	Contractor fatality (fall from height)	14/03/2004	22/10/2004	9	8	0	8
Streatham Common	Collision between empty coaching stock train and road rail vehicle	11/06/2004	29/11/2004	2	2	0	2
Slade Lane	Contractor injury (electric shock)	29/06/2004	09/11/2004	3	3	0	3

\*recommendations overlap with 2003/04 report

97 82 34 48

### Allocation of recommendations to organisations

Formal inquiry panels direct recommendations to the organisations they believe are best placed to deliver changes as appropriate. Where a recommendation is directed at more than one organisation the recommendation issued is recorded against all parties. The table below outlines where the recommendations issued in 2004 have been directed. In some instances recommendations are directed to more than one party.

#### Organisations to deliver recommendations

Organisation	Signalling System	Competence management	Rules Standards & Instructions	Vehicle integrity	Infrastructure asset assurance	Monitoring	Accident investigation	Communications
Network Rail (including those at contractors)	2	16	24	8	20	8	8	2
RSSB	0	0	7	0	0	1	1	0
Jarvis	1	3	1	1	10	1	1	0
Balfour Beatty Rail Plant	0	5	2	3	8	1	1	2
Balfour Beatty Rail Infrastructure Services	0	4	2	1	10	1	1	0
Atkins	0	2	1	1	7	2	0	0
Other Infrastructure Maintenance Contractors	0	2	1	1	7	1	0	0
Freightliner	0	2	0	0	0	1	0	0
Great Eastern (One)	0	0	1	0	0	1	0	0
Virgin Trains	0	0	0	1	0	1	0	0

### Rejection of recommendations

Railway Group Members consider recommendations that are directed to them and may reject them. In this period, 84.5% of recommendations were accepted. Analysis of the responses received and discussions with duty holders suggests that reasons for rejection of recommendations include:

- Misinterpretation of the intention of the recommendations. RSSB has issued guidance on the practical implementation of recommendations.
- Where the recommendation is considered to be too prescriptive. The exact wording of the recommendations may cause the rejection.

### Tracking of recommendations

RSSB seeks to improve the recommendations management process and regularly liaises with Network Rail, the Association of Train Operating Companies, duty holders, Infrastructure Safety Liaison Group and Rail Freight Group to ensure that the approach adopted represents stakeholders' needs.

Duty holders involved are requested to respond to recommendations directed at them by formal inquiries via the Safety Management Information

System within six weeks. They are then asked to update their progress towards implementing actions by June and December so that RSSB can extract status reports at those times.

### RSSB's role in providing further information

RSSB analyses and monitors responses by duty holders to individual recommendations and produces reports of this nature to inform the inquiry process. RSSB feeds back to inquiry chairmen the industry's responses to recommendations to assist in the development of meaningful and practicable recommendations in the future and to ensure safety lessons are acted upon.

The full report and this four-page summary are available on RSSB's website: [www.rssb.co.uk/formalinquiries.asp](http://www.rssb.co.uk/formalinquiries.asp) or by contacting the **RSSB Enquiry desk** on **020 7904 7518** for a hard copy.