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Issue 7 Management of Operational Risk and
Date May 2014 SPAD Avoidance Strategy
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Document revision history

Issue	Date	Reason for change
5	Mar 2009	Inclusion of Operational Risk
6	May 2011	Periodic review
7	Mar 2014	Periodic review

Background

The OTM Operations sub-group on behalf of the M&EE Networking Group have looked at an Operational Risk and SPAD Awareness Strategy. The M&EE Networking Group recommend this COP as good practice for the industry.

M&EE COPs are produced for the benefit of any industry partner who wishes to follow the good practice on any railway infrastructure. Where an infrastructure manager has mandated their own comparable requirements, the more onerous requirements should be followed as a minimum for work on their managed infrastructure.

The M&EE Networking Group makes no warranties, express or implied, that compliance with this document is sufficient on its own to ensure safe systems of work or operation. Users are reminded of their own duties under health and safety legislation.

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Sign off

The M&EE Networking Group agreed and signed off this Code of Practice on 14 May 2014 and published on 6 September 2014

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Purpose

This operational risk strategy sets out the focal points for directors, managers and front line operations staff. It also describes a raft of measures that can be implemented to assist with avoidance of category "A" SPAD and operational incidents associated with On Track Machine (OTM)/Train movements.

Scope

This code of practise covers the OTM/Train operational risk and SPAD awareness strategy and will be reviewed through regular M&EE meetings.

Definitions

SPAD Signal Passed at Danger

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1 Reporting Timescale

1.1 The M&EE reporting year will be January to December.

2 OTM Operational Risk and SPAD Avoidance Strategy

2.1 Each M&EE Group member will deliver and further develop this Operational Risk and SPAD Avoidance Strategy so that the profile of all operational risk is communicated throughout their respective company.

2.2 The key priorities:

- Promote awareness of operational risk and co-operation between all functions of the business.
- Oversee the delivery of the operational risk and SPAD.
- Awareness strategy.
- Constantly improve the communication of key messages to staff.
- Support all operational safety groups.
- Assimilate and cascade industry good practice.
- Promote understanding between their company culture and the link to human error.
- Liaise with Operations Managers for appropriate investigations into SPADs and operational incidents.
- Monitor operational incidents regularly to identify any trends or new factors.
- Contribute to the development of the Operational Risk and SPAD Awareness Strategy.
- Develop operational briefing material.
- Ensure that industry recommendations, in so far as they are relevant and applicable to OTM/Train operations, are acted upon and implemented.

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- 2.3 M&EE Group members will work with industry partners to deliver their contribution towards the avoidance of operational risks and Category A1 SPADs by:
- Reviewing of incidents at M&EE meetings to provide consistency and clarity of understanding of causes.
 - Implementing actions learnt from incident investigations and industry good practice initiatives.
 - Ensuring that those lessons are communicated promptly to all working levels.
 - Sharing good practice to promote continuous improvement in competence of staff involved with the operation of OTMs.
 - Ensuring that OTMs are adequately maintained.
 - Participating in industry initiatives to improve safety critical communications.
 - Consulting staff regarding the ergonomics of driving cab design.
 - Actively supporting and contributing to joint industry initiatives aimed at the reduction and awareness of operational risks and Category A1 SPADs.
- 2.4 SPADs can be a high profile cause of, or precursor to, collisions and derailments which may result in death and major injury to employees, train passengers, damage to rolling stock, infrastructure and the environment. SPADs usually cause significant disruption to the safe operation of the rail network and increase the cost of operations.
- 2.5 The group members are determined to work to identify and reduce those causes that can lead to a SPAD, and to work with other industry partners to continue the reduction in the risks from the consequences of SPADs.

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3 Objectives

3.1 The M&EE group is committed to the progressive improvement of operational safety. This will be achieved by:

- Monitoring industry performance in relation to operational incidents and recommending changes to priorities and strategies.
- Identifying and initiating activities to improve management of operational safety risk, including the sharing of good practice across the industry.
- Agreeing priorities and strategies to be implemented to reduce the risk and mitigate the consequences of operational safety incidents.

4 Operational risk management - key areas of focus

4.1 The following key areas of improvement are to be undertaken:

- Competency:
 - Review of processes for periodic assessment and monitoring of established drivers.
- Safety Critical Communications:
 - Participation in industry initiatives / workshops.
 - Monitoring effectiveness of spoken safety communications, (GO/GN 8516).
 - Participation in Network Rail led Communication Review Groups.
- Operational Incidents:
 - Collaboration with the M&EE Core group, e.g. to minimise points run through.
- Human Factors:
 - Root causes.
 - Training (expansion of human factors training given to management/staff).
- Formulation of generically themed briefings:
 - Review briefings for effectiveness.

5 M&EE Group Actions

5.1 Operational Risk Management

- 5.1.1 Group members will investigate Category A1 SPADs and operational incidents.
- 5.1.2 Infrastructure contractor and company specific trends will be analysed and monitored at each group meeting to ensure that precursor risks are speedily identified and mitigated so far as reasonably practicable. Where there is a wider context to the risks identified, these will be shared at the appropriate cross-industry forum.
- 5.1.3 Group members will ensure that sufficient resources are available to investigate SPADs and operational events to a depth justified by the potential consequence of the incident. Reasonably practicable recommendations will be followed to reduce the likelihood and/or consequences of future incidents.
- 5.1.4 Where group members have reviewed an operational incident investigation report any relevant details or lessons learnt will be shared with the group and briefed to the workforce.
- 5.1.5 Group members will actively participate in the Operations Safety and Risk Mitigation Groups (OPSRAM).
- 5.1.6 In addition group members individually attend meetings with local Network Rail Operations Managers and Route Directors.

5.2 SPAD Reduction and Awareness

- 5.2.1 Each group member has formulated a driving policy that takes into account the M&EE Code of Practice COP0113, which addresses generic industry issues and their company's own operational needs and risks including:
 - Human factors including life-style guidelines.
 - SPAD awareness.
 - Common SPAD traps.
 - Route risks.

- Incident and near miss reporting.
- Use of mobile telephonic equipment.

5.2.2 Professional driving will be monitored as part of the driver's competence management process.

- Group members will formulate and update as required route risk assessments applicable to their scope of operation. These risk assessments will provide specific information on route features that will support comprehensive application of the professional driving policy. Where applicable, these risk assessments will be shared with all group members.
- Group members' current understanding of human factors and ergonomic issues will be considered in the design of new OTM, signal sighting and signalling schemes.
- For new track layouts and signalling schemes, group members will use appropriate briefing material for training purposes. These may include route videos/DVDs, yellow perils, track diagrams, revised route packs, written instructions etc.

5.3 Competency

5.3.1 Each group member is committed to a high level of training, development and competence for OTM drivers.

5.3.2 To achieve this, drivers are assessed in all aspects of their job, including:

- Driving techniques.
- Traction knowledge.
- Route knowledge.
- Route conducting.
- Safety critical communications.
- Rules and regulations.

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5.3.3 Each group member is committed to transferring details of a driver's safety information when a driver transfers to another railway undertaking.

5.4 Communications

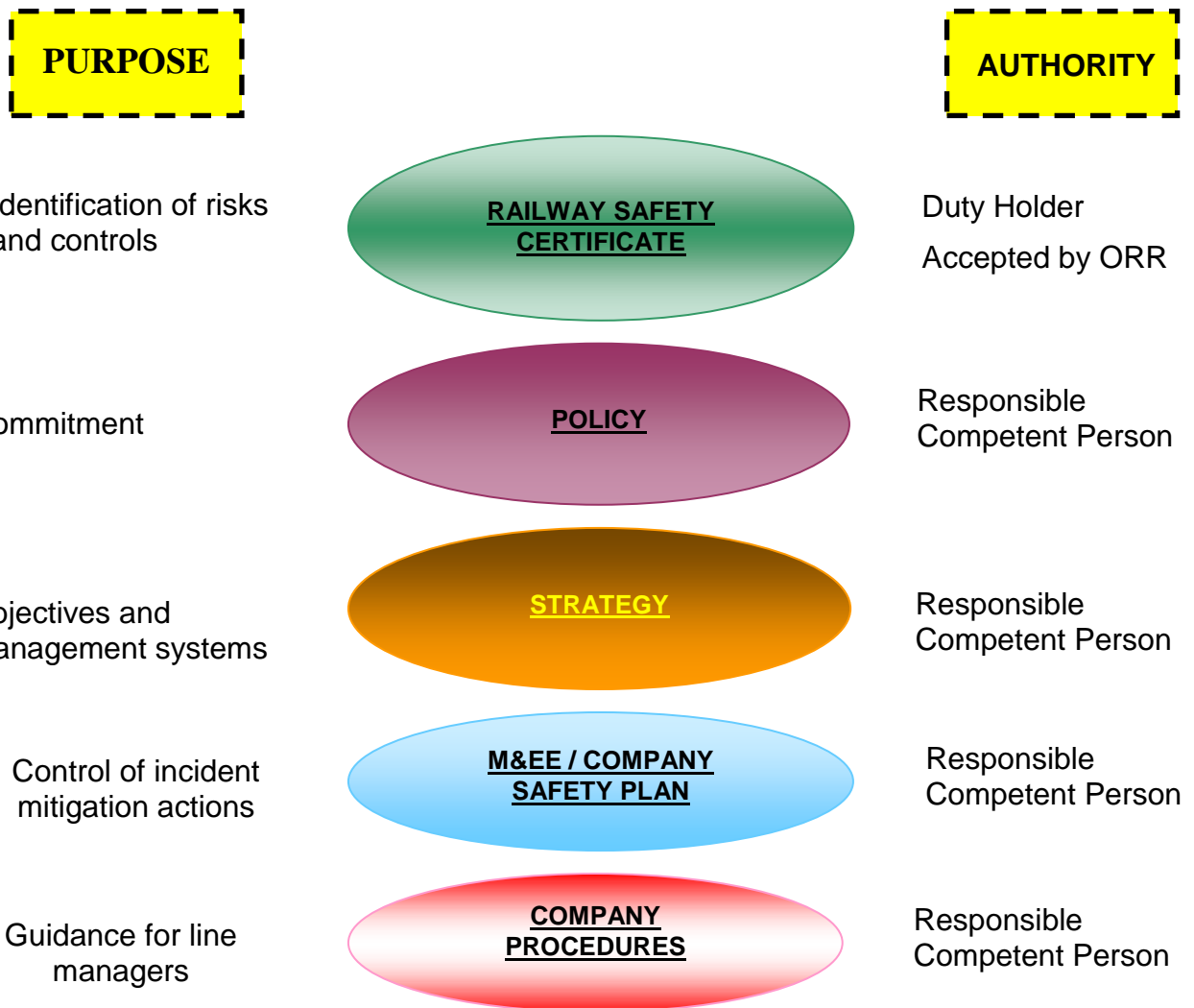
5.4.1 Each group member will ensure that drivers and other relevant staff are kept up to date with all safety related communications. This will be carried out as part of the regular safety briefings and will ensure that drivers and staff are made aware of the following:

- SPAD causation.
- Good practice.
- Lessons learned.
- Safety critical communications.;
- SPAD alerts and SPAD awareness campaigns.;
- Right Track and Red series videos / DVDs.
- Safety Net / Safety 365 series videos / DVDs.
- SPAD notification.
- Multi SPAD signals.
- Opsweb.
- Lifestyle issues.
- Industry safety notices.
- Seasonal and operational risks.

5.4.2 Group members will also attend joint industry communication review groups. Feedback will be given to drivers as appropriate.

6 Implementation

6.1 Each M&EE group member is committed to a fully integrated and proactive approach to the management of SPADs and Operational Risks. This will be implemented through each M&EE group member's safety management system.



6.2 Performance will be monitored through the regular M&EE Group meetings. The group will determine any actions required.

6.3 This document will be reviewed on an annual basis unless deemed necessary by the M&EE OTM Operations Group.

Note: see also Scope re timescale.