

# Incident Management and Evidence Gathering

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## Synopsis

This standard identifies requirements that ensure a safe, co-ordinated and effective response to incidents.

## Submitted by

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## Authorised by

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## Part 1 General information

### 1.1 Scope of Railway Group Standards

- 1.1.1 The overall scope of Railway Group Standards, and specifically of the controlled infrastructure (as used in this document), is set out in Appendix A of [GA/RT6001](#). The specific scope of this document is set out in Part 2.

### 1.2 General responsibilities

- 1.2.1 Railway Group Standards are mandatory on all members of the Railway Group and apply to all relevant activities that fall into the scope of each individual's Railway Safety Case. If any of those activities are performed by a contractor, the contractor's obligation in respect of Railway Group Standards is determined by the terms of the contract between the respective parties. Where a contractor is a duty holder of a Railway Safety Case then Railway Group Standards apply directly to the activities described in its Railway Safety Case.
- 1.2.2 The Railway Group comprises Railway Safety, the infrastructure controller and the train and station operators who hold Railway Safety Cases for operation on or related to the controlled infrastructure (as set out in [GA/RT6001](#)).
- 1.2.3 Under the Railways [Safety Case] Regulations 2000, the duty holder (as defined in those Regulations) is responsible for ensuring that the requirements of Railway Group Standards are complied with. Contractual arrangements (including a lease at a station) do not of themselves relieve the duty holder of its obligations under those Regulations.

### 1.3 General compliance dates

- 1.3.1 This standard comes into force and shall be complied with from 05 October 2002, save for the exceptions specified in Part 2. Where the dates specified in Part 2 are later than the above date, this is only to allow Railway Group members sufficient time to achieve compliance with the specified exceptions.
- 1.3.2 After the compliance dates, Railway Group members shall not deviate from the requirements set out in this document. Where it is considered not reasonably practicable to comply with the requirements, authorisation not to comply shall be sought in accordance with [GA/RT6001](#), [GA/RT6004](#) or [GA/RT6006](#).

### 1.4 Health and safety responsibilities

- 1.4.1 In issuing this document, Railway Safety makes no warranties, express or implied, that compliance with all or any documents published by Railway Safety is sufficient on its own to ensure safe systems of work or operation. Each user is reminded of its own responsibilities to ensure health and safety at work and its individual duties under health and safety legislation.

### 1.5 Technical content

- 1.5.1 The technical content of this document has been approved by:
- Richard Evans, Principal Operations Specialist, Railway Safety
- Enquiries should be directed to Railway Safety – Tel: 020 7904 7518

### 1.6 Supply

- 1.6.1 Controlled and uncontrolled copies of this document may be obtained from the Industry Safety Liaison Department, Railway Safety, Evergreen House, 160 Euston Road, London NW1 2DX.

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## Part 2 Application of this standard

### 2.1 Purpose

- 2.1.1 This document sets out the requirements necessary to ensure a safe, co-ordinated and effective response to incidents.

### 2.2 To whom these requirements apply

- 2.2.1 This standard contains requirements that are applicable to the duty holders of the infrastructure controller, station operator and train operator categories of Railway Safety Case.
- 2.2.2 Under the Railways [Safety Case] Regulations 2000, the duty holder (as defined in those Regulations) is responsible for ensuring that the requirements of Railway Group Standards are complied with. Contractual arrangements (including a lease at a station) do not of themselves relieve the duty holder of his obligations under those Regulations.

### 2.3 Application – infrastructure controller

#### Scope

- 2.3.1 The requirements of this standard apply to all incidents affecting the controlled infrastructure.

#### Exceptions to general compliance date

- 2.3.2 None.

### 2.4 Application – station operator

#### Scope

- 2.4.1 The requirements of this standard apply to all incidents affecting the controlled infrastructure.

#### Exceptions to general compliance date

- 2.4.2 None.

### 2.5 Application – train operator

#### Scope

- 2.5.1 The requirements of this standard apply to all incidents affecting the controlled infrastructure.

#### Exceptions to general compliance date

- 2.5.2 None.

### 2.6 Application – Railway Safety

- 2.6.1 There are no requirements applicable to Railway Safety.

### 2.7 Document management

#### Superseded documents

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

Superseded documents:	Sections superseded by GO/RT3472 and GO/GN3672	Date(s) when sections are superseded
GO/RT3434/2, issue 1, June 1997 <b>Accident</b> Management	All sections	05 October 2002

- 2.7.2 GO/RT3434/2 Issue 1 ceases to be in force and is withdrawn as of 07 December 2002.

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## Related documents

2.7.3 The following are the known related Railway Group documents at time of publication:

- a) GO/RT3471 – **Incident** Response Planning
- b) GO/GN3671 – Guidance Note: **Incident** Response Planning
- c) GO/GN3672 – Guidance Note: **Incident** Management and **Evidence** Gathering
- d) **GO/RT3473** – Formal Inquiries, Formal Investigations and Local Investigations
- e) **GO/GN3673** – Guidance Note: Formal Inquiries, Formal Investigations and Local Investigations

## Supporting documents

2.7.4 GO/GN3672 – Guidance Note: **Incident** Management and **Evidence** Gathering supports this standard.

## 2.8 Definitions

### Accident

2.8.1 An unplanned, uncontrolled and unintended event, giving rise to death, ill health, injury or other loss.

### Control facility

2.8.2 The infrastructure controller, station operator or train operator location responsible for the site at which an **incident** occurs.

### Designated local person (DLP)

2.8.3 A person appointed by the infrastructure controller, with responsibilities for initial **incident** control.

### Emergency

2.8.4 Unforeseen or unplanned event which has life-threatening or extreme loss implications and requires immediate attention.

### Emergency services

2.8.5 The statutory fire, police (including British Transport Police), ambulance or coastguard services in whose areas an **incident** occurs.

### Environmental manager

2.8.6 The rail manager responsible for co-ordinating on site support for environmental matters on behalf of the site contract manager.

### Evidence co-ordinator

2.8.7 The rail manager responsible for co-ordinating the gathering and preservation of **evidence** on behalf of the RIO.

### Incident

2.8.8 An unplanned or uncontrolled event which under different circumstances may have resulted in an **accident**. For the purposes of this document the definition of **incident** includes **accident** and **emergency**.

### Infrastructure engineer

2.8.9 The rail engineer responsible for co-ordinating on site engineering support on behalf of the site contract manager.

### Local authorities

2.8.10 All tiers of local government.

### Local control post

2.8.11 The designated position on site for the RIO or RIO appointed specialists.

### Neighbours

2.8.12 Property and premises immediately adjacent to those of the Railway Group member, or sufficiently close that one could be affected by the other's **incident**.

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- Operations manager**  
2.8.13 The rail manager responsible for the co-ordination of train movements on behalf of the RIO.
- Other responding organisations**  
2.8.14 Organisations such as the Environment Agency, industry specialist advisers, local authorities, Health & Safety Inspectors, Her Majesty's Railway Inspectorate (HMRI) and the military.
- Person in charge of possession (PICOP)**  
2.8.15 The person appointed to be in charge of the possession in accordance with the rule book ([GO/RT3000](#)).
- Rail incident commander (RIC)**  
2.8.16 The person with responsibility for co-ordinating rail policy and strategy in respect of the off site aspects of an **incident**.
- Rail incident officer (RIO)**  
2.8.17 The nominated and certificated person charged with the role of on site command and control of all rail related organisations and their support at an **incident** involving train operations, lines or sidings.
- Railway Group member**  
2.8.18 Railway Group members are infrastructure controller(s), the train and station operators who hold Railway Safety Cases for operation on, or related to, the controlled infrastructure - as set out in [GA/RT6001](#) (also known as duty holders), and Railway Safety.
- Recovery engineer**  
2.8.19 The rail engineer or appointed specialist contractor responsible for managing the recovery of rolling stock on site on behalf of the site contract manager.
- Site**  
2.8.20 An area within which Railway Group members, **emergency** services, or other persons engaged on their behalf are working in response to an **incident**.
- Site contract manager**  
2.8.21 The rail manager responsible for the co-ordination of site activities for recovery operations, infrastructure activities and environmental matters on behalf of the RIO.
- Site safety manager**  
2.8.22 The rail manager responsible for site safety on behalf of the RIO.
- Station incident officer**  
2.8.23 The rail manager responsible for managing the operation of a station in the event of an **incident**.
- Train operators' liaison officer (TOLO)**  
2.8.24 A person jointly appointed by the train operators involved in an **incident** as their lead representative on site.

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## Part 3 Requirements

### 3.1 Management responsibilities

- Incident preparedness**
- 3.1.1 Railway Group members shall ensure that rail industry incidents are managed in accordance with their **incident** response plans. Railway Group Standard GO/RT3471 states the requirements for **incident** response planning.
- Identifying the lead organisation**
- 3.1.2 The lead organisation for managing the rail response to an **incident** shall be the infrastructure controller.
- 3.1.3 Where an **incident** affects, or has the potential to affect, a neighbour, the infrastructure controller shall liaise with that neighbour to identify who shall take the lead, and how the interface will be managed.
- 3.1.4 The infrastructure controller shall similarly assess incidents occurring off the controlled infrastructure that affect, or may affect, the safe operation of the railway.
- Determining the level of response required**
- 3.1.5 The infrastructure controller shall determine the level of response to an **incident** such that:
- it is based on the severity of the **incident**
  - the seniority of management involved is commensurate with the scale of the **incident**
  - it is structured to match the three tier **emergency** services response (where they are involved)
  - necessary and appropriate support is provided on and off site
  - it is flexible enough to meet the particular circumstances and problems faced
- Investigation of incidents**
- 3.1.6 The rail industry requirements for investigation of railway incidents are stated in [GO/RT3473](#).

### 3.2 Initial response

- Initial response - on site**
- 3.2.1 When an **incident** occurs any rail staff present shall take immediate action directed to:
- making the site safe
  - summoning assistance
  - assessing the circumstances
  - preserving **evidence**.
- 3.2.2 Railway Group members present shall co-ordinate their actions with each other, as far as is practicable, until the infrastructure controller has established control of the response to the **incident**.
- Initial response - infrastructure controller**
- 3.2.3 The infrastructure controller shall immediately appoint a designated local person (DLP) to take charge of the site. The infrastructure controller shall recognise the limited skills and knowledge of the DLP and lead them through the following stages (clauses 3.2.4 – 3.2.7)
- 3.2.4 The DLP shall have appropriate safety certification but need not have any other formal training or qualifications but simply enough management skills and common sense to take charge.
- 3.2.5 The DLP shall start to exercise management control over the site. The immediate actions of the DLP shall be to assess the **incident** and, where appropriate to the nature and scale of the **incident** shall:

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- a) liaise with organisations on-site to produce a co-ordinated response
  - b) contact the signaller to ensure train movements have been stopped and traction current isolations have been made (if required)
  - c) ensure that the **emergency** services have been called
  - d) ensure that, as far as possible, everyone is in a position of safety and that risks are minimised for those not in a position of safety
  - e) identify the location of the **incident**
  - f) identify access points (if known) and mark these on site (if required)
  - g) identify the line(s) involved
  - h) identify the train(s) involved
  - i) estimate number and seriousness of casualties
  - j) assess obvious risks to life and the environment
  - k) take steps to preserve **evidence**.
- 3.2.6 The DLP shall maintain contact with the signaller and/or infrastructure controller's control facility and provide updated information concerning the site until relieved by the RIO, or until the **incident** is over.
- 3.2.7 The DLP shall avoid becoming involved in any rescue and shall concentrate on the tasks above.

### 3.3 Ongoing response

#### Railway Group members' responsibilities - general

- 3.3.1 Railway Group members shall:
- a) provide on and off site support appropriate to the circumstances
  - b) contact, as necessary, the on-call and other personnel
  - c) ensure continuity of representation of key personnel on site
  - d) ensure the identity of their key personnel, and changes to them, are advised to other involved organisations
  - e) ensure staffing levels are strengthened if the **incident** recovery extends over a long period of time including arrangements for the relief of staff and additional cover for working extended hours
  - f) alert organisations responsible for recovery equipment, of the occurrence of the **incident**
  - g) arrange staff transport as necessary for assisting in response to, and management of, the **incident**
  - h) seek to restore normal working as soon as possible
  - i) ensure staff are cared for in accordance with the Rule Book ([GO/RT3000](#)).

#### Infrastructure controller's responsibilities

- 3.3.2 The infrastructure controller shall appoint a rail **incident** officer (RIO) (see 3.3.14) where either:
- a) more than one Railway Group member involved, or
  - b) disruption, or potential disruption, is caused by security incidents (see also [GO/RT3601](#) and [GO/RT3610](#)), or
  - c) a major **incident** is declared by the **emergency** services which affects the railway.

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- 3.3.3 The infrastructure controller shall ensure that the protocol established in compliance with GO/RT3471 is applied, in agreement with BTP and HSE/HMRI, during incidents within the scope of this standard. When the circumstances of an **incident** require a specific agreement between the organisations involved, the infrastructure controller shall ensure that the agreed document is issued to the RIO, the Rail **Incident** Commander (RIC) (if appointed) and representatives of BTP, HSE/HMRI, other **emergency** services and Railway Group members involved.
- 3.3.4 The infrastructure controller shall regularly liaise with the RIO to ensure a clear understanding of strategic intentions and ensure that necessary and appropriate support is provided for the RIO.
- 3.3.5 The infrastructure controller shall appoint a rail **incident** commander (RIC) (see 3.3.11 – 3.3.13) where it considers that the scale of the **incident** warrants senior, dedicated off-site support and co-ordination. The infrastructure controller shall ensure necessary and appropriate support is provided for the RIC, when one is appointed.
- 3.3.6 The infrastructure controller shall maintain control facilities that are able to lead the DLP through their duties until a qualified RIO is appointed and, in conjunction with the RIO:
- a) set the overall policy within which the rail response to the **incident** will be made consistent with the **incident** response plan (see GO/RT3471) unless circumstances require departure from it
  - b) take the lead in determining and initiating the level of resources necessary to provide an effective response to the reported circumstances
  - c) liaise with other Railway Group members involved in, or affected by, the **incident**, exchanging information of details of the **incident**, its location, site access and rendezvous points, and the identities of the DLP/RIO and TOLO (and changes to these posts when relieved)
  - d) liaise with the controls of **emergency** services during their period of involvement to ensure a co-ordinated, informed response
  - e) liaise with HSE HMRI
  - f) ensure appropriate reporting in accordance with statutory and rail industry requirements
  - g) liaise with the **evidence** co-ordinator to ensure testing for drugs and alcohol (see [GH/RT4000](#)) of those rail staff involved, and arrange a check of the signaller and other rail staff involved, whether on or off site, to ensure that they are fit to continue, or take up subsequent, duty
  - h) consider provision of road transport for moving staff and supplies to and from the site
  - i) advise all relevant locations of rail telephone numbers to be used for giving and receiving information, as far as possible maintaining the same numbers throughout the **incident** recovery process
  - j) consider the implications of available daylight and weather forecasts
  - k) maintain a checklist detailing the actions which shall be taken when an **incident** occurs.
- 3.3.7 The infrastructure controller's control facility shall provide advice of the occurrence of the **incident** and the identity of the RIO (and RIC if appointed) to those who have a responsibility to respond to the **incident**.
- Train operators' responsibilities**
- 3.3.8 The train operators shall appoint a train operators' liaison officer (TOLO) when necessitated by the circumstances, or requested by the RIO, to represent the interests of all the involved train operators (see 3.3.15). The train operators shall ensure that necessary and appropriate support is provided for the TOLO and that the TOLO is empowered to make decisions on their behalf.

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- 3.3.9 Train operators shall maintain control facilities that:
- consider the service implications in liaison with the infrastructure controller's control facility
  - arrange supporting alterations to train services (in liaison with station operators if necessary) and alternative transport arrangements in liaison with the TOLO
  - liaise with the infrastructure controller's, station operator's and other train operators' control facilities, exchanging information of details of the **incident**, its location, site access and rendezvous points, and the identities of the RIO and TOLO (and changes to these posts when relieved).
- Station operators' responsibilities**
- 3.3.10 A station operator shall appoint a station **incident** officer (SIO) when necessitated by the circumstances, or requested by the RIO, to represent the interests of the station operator (see 3.3.16 – 3.3.17).
- 3.3.11 Station operators shall maintain control facilities that:
- consider the service implications in liaison with the infrastructure controller's and train operators' control facilities
  - arrange supporting alterations to station operations (in liaison with train operators if necessary)
  - liaise with the infrastructure controller's and train operators' control facilities, exchanging information of details of the **incident**, its location, site access and rendezvous points, and the identities of the RIO, SIO (if appointed) and TOLO (and changes to these posts when relieved).
- Rail incident commander's role**
- 3.3.12 Where appointed, the rail **incident** commander (RIC) shall operate off site and shall not take on or assume the role of the RIO if they visit the site.
- 3.3.13 Where appointed, the RIC, together with the RIO, shall consider the need at very serious incidents to appoint persons to take the lead in managing the activities in support of the RIO's overall responsibility.
- 3.3.14 Where appointed, the RIC shall work closely with senior management of the organisations involved with the **incident**. Aspects such as the following shall be considered:
- train planning
  - public affairs
  - casualty support/customer service
  - resource availability.
- Rail incident officer's responsibilities**
- 3.3.15 The rail **incident** officer (RIO) shall be the lead rail person, co-ordinating all rail activities on site. The RIO shall:
- lead the rail response in accordance with the **incident** response plan (see GO/RT3471) unless circumstances require departure from it
  - ensure an orderly handover from the DLP and ensure the DLP's duties are completed
  - establish regular liaison with the infrastructure controller's control facility and the signaller
  - establish on-site liaison with the **emergency** services and local authorities (see 3.4.7)
  - establish on-site liaison with HSE HMRI
  - establish structured regular rail industry site meetings providing liaison and co-ordination at a frequency and times agreed with those involved and ensure new and changed information is promptly exchanged
  - ensure that formal meetings are held with representatives of organisations involved

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- h) take overall responsibility for on site decision making on rail issues, the production and application of agreed actions and plans for the restoration of normal working (or an agreed method of working which may involve partial restoration of normal arrangements) as quickly as possible
- i) consider the appointment of specialists (see 3.4.1) and undertake the responsibilities of any not appointed
- j) liaise with the control facility to arrange a check of the signaller and other rail staff in safety critical positions involved in the **incident**, whether on or off site, to ensure that they are fit to continue, or take up subsequent, duty
- k) direct the actions of other rail organisations, including the owners and operators of wagons, vehicles and locomotives involved, their agents and specialists, and infrastructure organisations and contractors
- l) estimate the extent and possible duration of the blockage
- m) identify any possible clearance difficulties
- n) carry a card identifying competence as a RIO
- o) have a checklist detailing the actions which shall be taken when an **incident** occurs
- p) ensure minutes are taken of meetings held and decisions made
- q) leave the site immediately after being relieved.

### Train operators' liaison officer's responsibilities

3.3.16 The train operators' liaison officer (TOLO) shall report to and liaise with the RIO.

3.3.17 The TOLO shall:

- a) support the RIO and make decisions relating to the **incident** on behalf of the train operators
- b) make arrangements for the continued safe operation at stations affected, (in liaison with the station **incident** officer if appointed) considering the potential for overcrowding and congestion
- c) make decisions relating to the site activities on behalf of the train operators
- d) agree with the RIO the arrangements to clear passengers and staff from the site and provide humanitarian support
- e) liaise with the train operators' control facilities for alterations to train and station operations (in liaison with station operating companies where necessary) and alternative transport arrangements
- f) provide details of train crews and any other railway personnel travelling on the train(s)
- g) liaise with the owners and operators of wagons, vehicles and locomotives regarding their equipment
- h) give advice to the **emergency** services, HSE HMRI and local authorities on matters related to train operations, casualty response and humanitarian assistance
- i) arrange for the movement of rail vehicles from the site, including staffing and shunting, in liaison with the operations manager.

### Station **incident** officer's responsibilities

3.3.18 The station **incident** officer (SIO) shall report to and liaise with the RIO. When a station **incident** officer is not appointed the duties allocated to the SIO shall be undertaken by the TOLO when the station is operated by a train operator and by the RIO when the station is not operated by a train operator.

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- 3.3.19 The station **incident** officer shall:
- support the RIO and make decisions relating to the **incident** on behalf of the station operator
  - make arrangements for the continued operation at the affected station, considering the implications for overcrowding and congestion
  - agree with the RIO the arrangements to clear passengers and staff from the site.

### 3.4 Site management

- Appointment of personnel to support the RIO**
- 3.4.1 The RIO shall consider the appointment of specialists such as:
- site contract manager (see 3.4.12 – 3.4.13)
  - site safety manager (see 3.4.14 – 3.4.15)
  - environmental manager (see 3.4.17 – 3.4.18)
  - operations manager (see 3.5.1 – 3.5.2)
  - person in charge of the possession PICOP (see 3.5.3 – 3.5.4)
  - recovery engineer (see section 3.5.5 – 3.5.6)
  - infrastructure engineer (see section 3.5.7 – 3.5.8)
  - evidence** co-ordinator (see 3.6.4 – 3.6.5).
- 3.4.2 Each specialist shall work to an action plan and priorities agreed with the RIO, manage the safety of activities under their control and ensure that all applicable rules and regulations are applied and that technical advice is obtained where necessary. Each specialist shall maintain a log of events, times and actions.
- Arrangements for local control posts**
- 3.4.3 The RIO shall establish a local control post close to the local control posts of the **emergency** services on site.
- 3.4.4 The RIO shall ensure the local control post is continually manned for communication purposes and for the compilation of a record of all actions and events.
- 3.4.5 The RIO shall maintain regular communication with the local control post, ensuring that they are aware of the position of the RIO at all times.
- 3.4.6 Specialists appointed by the RIO shall establish a local control post and shall record details of all rail personnel working in their relevant area.
- Liaison with **emergency** services and local authorities**
- 3.4.7 The RIO shall establish contact with the **emergency** services and local authorities, attending the police senior co-ordinating group and other meetings organised by these groups, as appropriate.
- Site access arrangements**
- 3.4.8 The RIO shall obtain details from the police of their cordon arrangements (inner and outer) and the rendezvous point nominated by the police. The RIO shall communicate details of these locations and the site access points to the TOLO and other rail organisations involved.
- 3.4.9 The RIO shall position a representative at the rendezvous point to:
- record details of rail organisation personnel reporting to the site and being relieved (this is in addition to any records of persons working in the individual site activity areas)
  - send forward resources as required by the RIO
  - liaise with the police to ensure that only people, equipment and vehicles required at the site are admitted
  - ensure those entering the site understand the safety arrangements.
- 3.4.10 When there is no police cordon the RIO shall establish a level of access control appropriate to the **incident**.

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### Communications requirements

- 3.4.11 The RIO shall consider the requirements for communications at the site of the **incident** and make arrangements to ensure essential communications are provided and for any improvements as necessary.

### Site contract manager's responsibilities

- 3.4.12 The site contract manager (SCM) shall report to and liaise with the RIO. Where the RIO is personally competent to do so, it shall be permissible for the duties of the SCM to be undertaken by the RIO.

- 3.4.13 The site contract manager shall:

- a) manage contractual arrangements for rail and rail related organisations supporting the response
- b) manage the impact of site work and activities on existing infrastructure contracts
- c) co-ordinate the work of the recovery engineer (if appointed)
- d) co-ordinate the work of the infrastructure engineer (if appointed)
- e) co-ordinate the work of the environmental manager (if appointed).

### Site safety manager's responsibilities

- 3.4.14 The site safety manager (SSM) shall report to and liaise with the RIO. Where the RIO is personally competent to do so, it shall be permissible for the duties of the SSM to be undertaken by the RIO.

- 3.4.15 The site safety manager shall:

- a) ensure that, as far as possible, everyone is in a position of safety and that the risks are minimised for those not in a position of safety
- b) ensure all personnel authorised to enter the site understand the site safety and security arrangements and ensure they are advised of any hazards on site
- c) ensure that contractors and operators have appropriate certification of competence and that equipment to be used on site carries the required certification
- d) ensure that **incident** response activity in relation to hazardous materials is in accordance with guidance from the recovery engineer and **emergency** services
- e) ensure production and application of method statements outlining safe systems of work and compliance with health and safety regulations for rail and rail related organisations, taking particular account of those involved who are unfamiliar with the railway
- f) liaise with the **emergency** services and other organisations working on the site to establish and co-ordinate site safety and security requirements and arrangements to ensure all involved understand the requirements for personal safety and the safety of others on or adjacent to the site
- g) undertake site surveys for the identification of hazards together with the establishment of controls with appropriate warnings or direction to those involved, on risks
- h) ensure the provision of safety equipment needed on site and that it is properly used
- i) undertake regular review and inspection of site safety arrangements
- j) ensure the arrangements take account of the potential involvement of the media and the need to secure their safety
- k) ensure that arrangements are in place to control the hours worked by staff and for the timely relief of fatigued staff
- l) ensure that exposure to biohazards (eg blood and effluent from retention tanks) is assessed and controlled
- m) ensure movements of road vehicles and plant are appropriately controlled
- n) ensure that lifting operations are properly controlled.

### Welfare of those working on site

- 3.4.16 The RIO shall consider the welfare needs of those railway staff working on site and make arrangements for appropriate support.

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### Environmental manager's responsibilities

- 3.4.17 The environmental manager shall report to and liaise with the SCM. Where the SCM is personally competent to do so, it shall be permissible for the duties of the environmental manager to be undertaken by the SCM.
- 3.4.18 The environmental manager shall:
- consider the environmental implications of an **incident** and identify what specialist environmental resources are required and ensure they are organised and provided on site
  - identify and take steps to mitigate actual or potential environmental pollution with the appropriate priority
  - liaise with representatives of rail organisations on site to ensure a co-ordinated response on environmental matters
  - liaise with the Environment Agency (Scottish Environment Protection Agency (SEPA) in Scotland), the Department for Environment, Food and Rural Affairs (DEFRA), the **emergency** services and other statutory bodies as appropriate, to provide ongoing advice and details of any pollution hazards.

### Identification of personnel

- 3.4.19 All rail staff at the site shall wear standard high visibility clothing as specified in [GO/RT3279](#) together with any identification required for the purposes of applying rules and regulations.

### Media facilities at incidents

- 3.4.20 Enquiries from, or information given to, the media shall be managed as specified in the Rule Book ([GO/RT3000](#)).

## 3.5 Railways operations

### Train movements – operations manager's responsibilities

- 3.5.1 The operations manager shall report to and liaise with the RIO. Where the RIO is personally competent to do so, it shall be permissible for the duties of the operations manager to be undertaken by the RIO.
- 3.5.2 The operations manager shall:
- ensure a safe course of action is agreed with the RIO and TOLO when modified train working is required and determine any temporary requirements
  - make arrangements for altered train working, including diversion, cancellation, hand signalling and single line working as appropriate, in liaison with the TOLO
  - co-ordinate any train movements to and from the site in liaison with the PICOP and the TOLO
  - liaise with the control facilities to ensure arrangements are made for the release of trapped trains and the diversion and/or cancellation of any trains affected by the **incident** and the clearance of other obstructions as required by the RIO
  - seek to restore normal working and minimise the period trains are held waiting for clearance and onward movement.

### Possession and isolation – PICOP's responsibilities

- 3.5.3 The PICOP shall report to and liaise with the operations manager. Where the operations manager is personally qualified, and a PICOP has not been appointed, the operations manager shall undertake the duties of the PICOP. The operations manager shall appoint a PICOP if not personally qualified.
- 3.5.4 The PICOP shall:
- take absolute possession of all affected lines as necessary in accordance with the requirements of the Rule Book
  - ensure that any switching and earthing of traction current supplies have been carried out to safeguard the site
  - ensure the RIO and all responding organisations understand the limits of the possession and isolation.

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### Recovery engineer's responsibilities

- 3.5.5 The recovery engineer shall report to and liaise with the SCM. One recovery engineer shall be identified for the **incident** whether or not equipment is provided by more than one organisation. Where the SCM is personally competent to do so, it shall be permissible for the duties of the recovery engineer to be undertaken by the SCM.
- 3.5.6 The recovery engineer shall:
- determine recovery equipment requirements and co-ordinate the operation of recovery equipment (rail mounted, road/rail and road) in recovery, re-railing and clearance of the line
  - work to an action plan covering safety and priorities, agreed with the SCM and SSM, to facilitate the restoration of normal working
  - ensure that the SCM is kept advised of progress and of the anticipated time that recovery will be completed
  - adopt safe methods of work and ensure the safety of those involved in the recovery work and others at the site (who could be affected by the recovery work) in liaison with the SSM
  - ensure vehicles affected by dangerous goods, asbestos, polychlorinated biphenyls (PCBs), biological or other hazards are identified and managed accordingly in liaison with the TOLO and the environmental manager
  - ensure the limits of possession and isolation of traction current (if required) are appropriate for the recovery work, in liaison with the PICOP
  - ensure agreement is obtained from the RIO or **evidence** co-ordinator (if appointed) before any **evidence** is disturbed by recovery operations
  - liaise with operators and/or owners of on-rail equipment to ensure appropriate technical advice is obtained to assist recovery.

### Repair of infrastructure – infrastructure engineer's responsibilities

- 3.5.7 The infrastructure engineer shall report to and liaise with the SCM. Where the SCM is personally competent to do so, it shall be permissible for the duties of the infrastructure engineer to be undertaken by the SCM.
- 3.5.8 The infrastructure engineer shall:
- estimate the extent of damage to the infrastructure and the requirements to correct any damage both temporarily (to enable site access, recovery and an early resumption of train working) and permanently
  - consider the potential impact of recovery operations on infrastructure
  - provide specialists for each engineering discipline required (on and off site)
  - assess the damage to electrical equipment and power supplies and advise whether temporary removal, movement or relocation of electrical equipment or power supply cable is needed to facilitate recovery operations, advising the electrical control operator of the site circumstances
  - safeguard the site by appropriate isolation and protection of plant and machinery electrical supplies (other than traction current) and advise the RIO and all engineering staff of the safe working limits
  - ensure agreement is obtained from the RIO (or **evidence** co-ordinator if appointed) before any **evidence** is disturbed by infrastructure activities.

## 3.6 Gathering and preserving **evidence**

### Procedures for gathering and preserving **evidence**

- 3.6.1 Railway Group members shall have procedures that provide for the systematic protection, gathering and preservation of **evidence** as an initial input to the investigation during the process of **incident** management. Railway Group Standard [GO/RT3473](#) and Guidance Note [GO/GN3673](#) state the requirements and provide guidance for formal inquiries, formal investigations and local investigations.

## Incident Management and Evidence Gathering

- 3.6.2 Railway Group members shall ensure that a current record is maintained of all **evidence** gathered and actions taken and that all notes, logs, reports and statements are retained in their original form and made available to any future inquiry or investigation.
- 3.6.3 Railway Group members shall co-operate with any person appointed to conduct inquiries and investigations under [GO/RT3473](#).
- Gathering and preserving evidence – evidence co-ordinator’s responsibilities**
- 3.6.4 The **evidence** co-ordinator shall report to and liaise with the RIO. Where the RIO is personally competent to do so, it shall be permissible for the duties of the **evidence** co-ordinator to be undertaken by the RIO.
- 3.6.5 The **evidence** co-ordinator shall:
- a) ensure a comprehensive plan is prepared identifying what has to be done both on and off site in terms of gathering **evidence**
  - b) initiate and co-ordinate the rail industry arrangements for the systematic protection, gathering and preservation of **evidence** both on and off site, whether or not the police or HSE HMRI are involved
  - c) liaise with the control facility to ensure testing of those rail staff involved, for drugs and alcohol (see [GH/RT4000](#))
  - d) ensure that those supporting the rail industry response, including contractors, understand the need to ensure **evidence** is not destroyed during site work without the specific agreement of the **evidence** co-ordinator, except where there is an immediate need to ensure safety
  - e) ensure that **evidence** is not removed from site without the agreement of the **evidence** co-ordinator and all those properly involved. The **evidence** co-ordinator shall identify the person responsible for holding the **evidence** at a location providing an appropriate level of security
  - f) ensure that **evidence**, such as the position of controls and equipment in driving cabs, is not interfered with and is protected with an appropriate level of security until it has been recorded on a basis agreed with all those properly involved
  - g) ensure a current records is maintained of all **evidence** gathered and actions taken
  - h) ensure, through the RIO (and the RIC if appointed), that the attention of Railway Group members’ senior management is immediately drawn to any problems encountered with the **emergency** services and/or HSE HMRI regarding obtaining, preserving or recording **evidence**
  - i) provide the focal point for all rail organisations, their agents and support requiring access to the site for the purpose of gathering **evidence**
  - j) enable the attendance at site of additional specialists required
  - k) consider the need for specialist advice on the potential implications of actions that may lead to the loss of **evidence**
  - l) liaise with specialists involved in the gathering of **evidence** to obtain advice on anything that may have a bearing on the safe restoration of normal working before the specialists leave the site of the **incident**
  - m) ensure that if a person or organisation is appointed to undertake **evidence** gathering or investigation on behalf of the rail industry that any **evidence** gathered is recorded and handed over to that person or organisation
  - n) liaise with the police, HSE HMRI and representatives of the rail industry to consider the possible need for multi-organisation **evidence** gathering team(s).
- 3.6.6 Where the police are preventing access to a site or potential **evidence** the **evidence** co-ordinator shall explain to the police that:
- a) this could lead to the loss of perishable **evidence**
  - b) this could lead to the inadvertent destruction of **evidence**

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- c) equipment or systems involved need to be examined in conjunction with appropriate specialist rail staff before anything is moved.
- 3.6.7 The **evidence** co-ordinator shall ensure that safety representatives are able to exercise their legal right to carry out an inspection of a work site where there has been a notifiable **incident** or dangerous occurrence, and may involve the interest of the employees in the group the safety representative is appointed to represent.
- 3.6.8 Railway Group members shall advise the **evidence** co-ordinator of any request for the gathering of **evidence** with details of who needs to undertake this work. The **evidence** co-ordinator shall liaise with the police and the HSE HMRI (if involved), to ensure the necessary arrangements are made and the **evidence** gathering is co-ordinated.
- 3.6.9 The infrastructure controller shall make available to those staff who could be involved in obtaining such **evidence**, a specimen card which details instructions about seeking **evidence** of the cause of railway incidents.

### 3.7 Hazards

#### Presence of hazards

- 3.7.1 The infrastructure controller's control facility shall check its records and systems and notify the RIO and **emergency** services as quickly as possible of:
  - a) dangerous goods carried on the train(s) (see 3.7.2 – 3.7.3)
  - b) the presence of asbestos or PCBs in the construction of the train(s) (see 3.7.4 – 3.7.5)
  - c) any hazards specific to the site of the **incident** (see 3.7.6 – 3.7.7)

#### Arrangements for dealing with dangerous goods carried on trains

- 3.7.2 [GO/RM3053](#) (Working Manual for Rail Staff) details the requirements for dealing with dangerous goods carried on trains in the event of an **incident**.
- 3.7.3 The infrastructure controller's control facility shall ensure that appropriate information is passed to the identified dangerous goods specialist advice contacts and those involved on site as appropriate.

#### Arrangements for dealing with asbestos and PCBs

- 3.7.4 The infrastructure controller's control facility shall advise all involved organisations, including the **emergency** services and HSE HMRI (if involved) if any vehicle contains asbestos or PCBs and whether these have been partially removed.
- 3.7.5 Where asbestos or PCBs are present the RIO shall manage recovery in liaison with the **emergency** services and in accordance with guidance given by the SCM, recovery engineer and environmental manager (who shall obtain specialist advice where necessary).
- 3.7.6 Identifying and dealing with site specific hazards.
- 3.7.7 The infrastructure controller's control facility shall advise the RIO of details of known hazards identified in the area of an **incident** that could have been affected by, or could affect, the rescue or recovery operations.
- 3.7.8 The RIO shall obtain competent advice, appropriate to the hazards present, to support the rescue and recovery activity and ensure the containment of risk to individuals and the environment. The infrastructure controller's control facility shall, in liaison with the **emergency** services, make appropriate arrangements for the disposal of hazardous material.

#### Preservation of life

- 3.7.9 Railway Group members shall give full consideration at all stages of the **incident** to compliance with legislation and the health and safety of staff and the public on site. Every attempt shall be made to obtain adequate supplies of personal protective equipment (PPE) as quickly as possible.
- 3.7.10 All sensible precautions shall be taken to minimise exposure to hazards without causing unnecessary delay in the rescue of those involved.

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## 3.8 Restoration of normal working

### Arrangements for restoration of normal working

- 3.8.1 The RIO shall continue to co-ordinate site activities until the site is handed over to operations or engineering.
- 3.8.2 The infrastructure controller shall consult other Railway Group members whose activities and responsibilities are involved to enable the strategy, priorities and timescale for restoration to be determined. This shall include consideration of temporary options and the risks arising from these options.
- 3.8.3 The RIO shall monitor progress against the agreed strategy by means of regular site meetings and keep the control facility updated on progress.
- 3.8.4 The RIO shall ensure the safety of all personnel still on site in addition to the safety of passengers if trains are to pass on another line. The arrangements shall be clearly agreed with the senior representatives of all organisations on site and assurances obtained that all personnel have been fully briefed before trains commence running.
- 3.8.5 The RIO shall consult the organisations involved to produce a risk assessment for any temporary options and identify and implement any control measures necessary.
- 3.8.6 The RIO shall, in conjunction with the RIC, the **emergency** services, HSE HMRI and other organisations involved, decide when the **incident** shall be deemed to be concluded and when the requirements of this document cease to apply. When standing down the RIO shall:
- identify all actions and work outstanding at the end of the RIO role and identify who is responsible for each.
  - ensure the person responsible for the action or item of work is formally advised and accepts that action or item of work. (Subsequent action shall be for that person to determine and action as necessary).
  - communicate the changed arrangements to those involved including the signaller, the control facilities, the station operator (if involved), train operators, **emergency** services and other organisations involved.
- 3.8.7 Each organisation shall ensure that those for whom they are responsible are advised of the change in arrangements together with the continuing responsibilities of persons involved.
- 3.8.8 The RIO shall reach a clear understanding with the rail organisations involved on all aspects, including:
- the status of lines and equipment, and any restrictions applied
  - any need to run 'proving trains' over the affected lines before they are cleared as fit for purpose
  - the clearance and covering of debris to permit operations.

## 3.9 Review and feedback

### Arrangements for review and feedback

- 3.9.1 Railway Group members shall review the effectiveness of response, recovery and provision of effective **incident** management following incidents with a view to ensuring fitness for purpose. **Incident** Response Plans shall be updated as necessary.
- 3.9.2 The infrastructure controller shall lead the review and Railway Group members shall co-operate in this review. The infrastructure controller shall seek the involvement of other organisations that were involved in the response.

# Incident Management and Evidence Gathering

## References

	<b>Railway Group Standards and other Railway Group Documents</b>
<a href="#">GA/RT6001</a>	Railway Group Standards Change Procedures
<a href="#">GA/RT6004</a>	Temporary Non-Compliance with Railway Group Standards
<a href="#">GA/RT6006</a>	Derogations from Railway Group Standards
<a href="#">GH/RT4000</a>	Drugs and Alcohol
<a href="#">GO/GN3671</a>	Guidance note: <b>Incident</b> Response Planning
<a href="#">GO/GN3672</a>	Guidance note: <b>Incident</b> Management and <b>Evidence</b> Gathering
<a href="#">GO/GN3673</a>	Guidance Note: Formal inquiries, Formal Investigations and Local Investigations
<a href="#">GO/RM3053</a>	Working Manual for Rail Staff Handling and Carriage of Dangerous Goods
<a href="#">GO/RT3000</a>	Rule Book
<a href="#">GO/RT3279</a>	High Visibility Clothing
<a href="#">GO/RT3471</a>	<b>Incident</b> Response Planning
<a href="#">GO/RT3473</a>	Formal Inquiries, Formal Investigations and Local Investigations
<a href="#">GO/RT3601</a>	Operational Security – Bomb Threats and Explosions, Security of Stations, Trains and Other Facilities
<a href="#">GO/RT3610</a>	Operational Security – Unlawful Detention

The Catalogue of Railway Group Standards and the Railway Group Standards CD-ROM give the current issue number and status of documents published by Railway Safety

### Other References

Association of Train Operating Companies Approved Code of Practice – Joint Industry Provision of Customer Care Following a Major Passenger Rail **Accident**

Control of Major **Accident** Hazard Regulations 1999

Fire Precautions Act 1971

Fire Precautions (Sub-surface Railway Stations) Regulations 1989

Health and Safety at Work etc. Act 1974

Health and Safety Executive publication Managing Crowds Safely: a guide for organisers at events and venues, second edition, HSE Books, 2000, ISBN 071761834Z

Home Office publication Technical Bulletin 1/1993 Operational Incidents in Tunnels and Underground Structures

Management of Health and Safety at Work Regulations 1992