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28 September 2022

Mr Andy Lewis
Deputy Chief Inspector of Rail Accidents
Cullen House
Berkshire Copse Rd
Aldershot
Hampshire GU11 2HP

Dear Andy,

RAIB Report: Near miss with a member of staff at Rowlands Castle station, Hampshire on 19 December 2020

I write to report¹ on the consideration given and action taken in respect of the recommendations addressed to ORR in the above report, published on 29 September 2021.

The annex to this letter provides details of actions taken in response to the recommendations and the status decided by ORR. The status of all 4 recommendations is '**Progressing**'.

ORR will advise RAIB when further information is available regarding actions being taken to address these recommendations.

We will publish this response on the ORR website on 29 September 2022.

Yours sincerely,



Oliver Stewart

¹ In accordance with Regulation 12(2)(b) of the Railways (Accident Investigation and Reporting) Regulations 2005

Initial consideration by ORR

1. All 4 recommendations were addressed to ORR when the report was published on 29 September 2021.
2. After considering the recommendations ORR passed recommendations 1, 2 & 3 to Network Rail and recommendation 4 to South Western Railway asking them to consider and where appropriate act upon them and advise ORR of its conclusions. The consideration given to each recommendation is included below.
3. This annex identifies the correspondence with end implementers on which ORR's decision has been based.

Recommendation 1

The intent of this recommendation is to ensure that new and existing MOMs are suitably recruited, trained and managed such that they have the technical and non-technical skills to manage their own and others' safety when on or near railway lines.

Network Rail should build on its work so far in reviewing the role and competency framework of MOMs and other operational response staff, to develop and implement bespoke programmes for selection, recruitment, training, assessment and monitoring at both local and national levels, commensurate with the particular nature of such work.

ORR decision

4. We have reviewed the Network Rail action plan and consider it to be appropriate to address the recommendation. We have asked Network Rail for an update as a number of the milestones have passed since the plan was submitted in January 2022. Network Rail have been advised that in order to consider the recommendation to have been implemented we will need evidence of the outputs from the review and how that has informed actions taken as a result.
5. After reviewing the information provided ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Network Rail has:
 - taken the recommendation into consideration; and
 - is taking action to implement it

Status: *Progressing*. ORR will advise RAIB when further information is available regarding actions being taken to address this recommendation.

Information in support of ORR decision

6. On 31 January 2022 Network Rail provided the following action plan:

Action Plan

Please provide milestones with dates

MOM Selection

- a) Establish MOM role profile – Dec 21
- b) Review current selection process and where there are opportunities for improvement, taking account of the COSS pre-requisites – February 22
- c) Pilot new MOM selection process – April 22
- d) Consult on new approach to MOM selection – April 22
- e) Roll out new approach to MOM selection **June 22**

MOM Training

Update MOM initial training

- a) Undertake gap analysis and review June 21
- b) Agree priorities for development of new and/or updating existing training modules Sept 21
- c) Implement new training programmes from March 22 -Dec 22 – see phases detailed below.

Phase 1: integration of new incident management training for **Aug 21** – completed and includes operational incident responder, tactical incident leader and incident management e-learning.

Phase 2: Includes COSS for Ops, Safe Interactions for MOMs and Bridge Strike Nominee **March 22**

Phase 3: Changes to local training process with publication of a new local training workbook and best practice guide on how to train and mentor new MOMs **March 22**

Phase 4: Includes Animal Incursions, Fatality Management and Operational Decision-Making **June 22**

Phase 5: Spaced learning for initial training for MOMs – pilot to commence in **April 22**

Phase 6: Safety critical communications, preliminary investigations, temporary isolations **Sept 22**

Phase 7: MOM refresher training **Dec 22**

MOM Competence

Draft and publish new competence standard and on-board MOMs onto RailSmart EDS. This includes making a business case to transition MOMs to a refresher training model of competence renewal.

Standard publication date **June 22**

Best practice guide on MOM competence assessment **June 22**

Onboarding of MOMs into RailSmart EDS **Sept 22**

Evidence required to support closure of recommendation

MOM Role Profile

MOM selection process

National Operating Procedures covering MOM Competence and Training (NR/L3/OPS/045/2.24)

Best Practice Guides for Initial MOM training and competence assessment

New MOM initial training programme

Refresher training material

Recommendation 2

The intent of this recommendation is to support the competence management of MOMs through changes to operations management arrangements, complementing recommendation 1 above as well as extending recommendation 5 of RAIB's class investigation (paragraph 112).

Network Rail should introduce measures across its routes and regions aimed at ensuring that the management arrangements for operational response staff result in full and correct implementation of the revised competency framework arising from recommendation 1 (paragraphs 109a and 109b). These measures may include, but not be limited to, the capacities and capabilities of operations managers, and/or the organisational structure of line management for operational staff.

ORR decision

7. Network Rail has submitted plans from each region aimed at ensuring that the management arrangements for operational response staff taken account of the revised competency framework being developed in response to recommendation 1.

8. The proposals from each region are different and we have challenged Network Rail to resubmit the plans with the aim of improving consistency and identify learning between routes. For example, the Southern Region response refers to the proposed introduction of Railsmart EDS as the competency management system for MOMs and MIOs nationally, but no other plans refer to this.

9. We have also asked Network Rail why not all the route plans make reference to the MOM competency framework referred to in recommendation 1.

10. After reviewing the information provided ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Network Rail has:

- taken the recommendation into consideration; and
- is taking action to implement it

Status: *Progressing*. ORR will advise RAIB when further information is available regarding actions being taken to address this recommendation.

Information in support of ORR decision

11. On 29 March 2022 Network Rail provided the following action plan for North West Route:

Action Plan

Please provide milestones with dates

Plan for implementation of revised MOM competency framework:

- Review new competency framework to understand updates – 4 weeks after receiving new framework
- Update local training plans to reflect changes – 8 weeks after receiving new framework
- Update MOM core competence matrix in conjunction with the regional training team to ensure all essential courses are covered at MOM school – 8 weeks after receiving new framework
- Update process for approval and verification of initial MOM competence to reflect changes – 10 weeks after receiving new framework
- Update continuous MOM assessment process to reflect changes – 6 months after receiving new competence framework
- Update LOM and OM assurance question set to reflect changes – 6 months after receiving new competence framework

This will be achieved by:

- Ensuring all LOMs that manage MOMs positions are continuously filled.
- Ensure our people pipeline process enables to maintain a LOM zero vacancy gap by identifying rising stars and potential future LOMs.
- Ensuring all LOMs that manage MOMs hold the relevant operational competencies as well as skills assessor and assessor.
- Ensuring all LOMs that manage MOMs manage no more than 26 staff.
- Robust 4 weekly self-assurance process on IRIS – fully rolled out March 2022.
- NOQAR (system operator) will independently review the route management of MOM competency in January 2022.

Evidence required to support closure of recommendation

- LOMs that manage MOMs have zero competence gap, filled by either permanent or secondments
- LOM team size and locations

12. On 29 March 2022 Network Rail provided the following action plan for West Coast South Route:

Action Plan

Please provide milestones with dates

Plan for implementation of revised MOM competency framework:

- Review new competency framework to understand updates – 4 weeks after receiving new framework
- Update local training plans to reflect changes – 8 weeks after receiving new framework
- Update MOM core competence matrix in conjunction with the regional training team to ensure all essential courses are covered at MOM school – 8 weeks after receiving new framework
- Update process for approval and verification of initial MOM competence to reflect changes – 10 weeks after receiving new framework

- Update continuous MOM assessment process to reflect changes – 6 months after receiving new competence framework
- Update LOM and OM assurance question set to reflect changes – 6 months after receiving new competence framework

This will be achieved by:

- Ensuring all LOM that manage MOMs positions are continuously filled – already in place
- Ensuring all LOMs that manage MOMs hold the relevant operational competencies as well as skills assessor and assessor – already in place
- Ensuring all LOMs that manage MOMs manage no more than 26 staff over a maximum of 4 MOM locations – already in place
- Ensure effective recruitment through the continuation of the West Coast South MOM selection days – already in place
- Robust 4 weekly self-assurance process on IRIS – fully rolled out February 2022
- NOQAR (system operator) will independently review the route management of MOM competency in January 2022

Evidence required to support closure of recommendation

- Current LOM vacancy gap is zero – refer to orgchart
- LOMs that manage MOMs have zero competence gap – see oracle
- LOM team size and locations – see orgchart
- See attached PowerPoint for plan of the more recent recruitment day

13. On 29 March 2022 Network Rail provided the following action plan for Anglia Route:

Action Plan

Please provide milestones with dates

Immediate

Anglia Route has prohibited the use of “red zone” working for all Operations Staff (including MOMs) must access the track always using safeguarded safe system of work.

Any planned work carried out for MOMs will be carried out by use of a SSOWP, unplanned work is carried out using Incident Response Packs in accordance with the 019 standard. Following the Castle Rowland incident, a spot audit of SSOWP packs and Incident Response Packs were carried out utilising the Anglia Track Worker Safety team. This audit outline compliance of the use of SSOWPs and Incident Response Packs.
25/02/22 **Implemented**

New Mobile Operations Managers are assessed competent by a competent assessor with occupational competence for the tasks undertaken. New MOMs go through a period of mentoring and support for 3 months or to the time they are deemed as fully competent. **Implemented and Embedded**

Staff that cannot demonstrate use of a specific competence (or meet the required usage as per the competence standard) within a 12-month period must undertake a review meeting with their line manager and competence me be maintained following successful completion of scenario simulation(s) and demonstration of underpinning knowledge. Failure to meet the relevant standard will result in the competence being suspended pending further assessment/training. **Implemented and Embedded**

The Inner three MOM-LOM roles to be permanently recruited into as the roles have been covered by secondments and stepping up arrangements. 01/04/22. **Implemented** (two qualified MOM-LOMs recruited and the third has been recruited and currently completing the training programme, due to be completed by 01/04/22)

Short Term

Anglia Competency Task Force are currently reviewing all Operations employee's competence, check competency decisions were made by competent assessors, recorded in a competency management system and have auditable evidence. **Target Implementation 20/05/2022**

The intention of this milestone is to assure that as an organisation that our operational response are competent and that the competency is easy to audit and track.

All employees attending operational incidents will complete the MOM report form contained within a central depository **Target implementation 01/06/2022**

The intention of this milestone is to maintain a central depository of incidents attended by our teams allowing evaluation of incidents attended, issues encountered for shared learning and establish the effectiveness of the response which will inform where we have shortfalls and gaps and help determine future strategy.

Launch the Anglia 21st Century Operations Field Service Delivery trial. This trial is part of the new operations model and will test a proposal of having line managers on shift that will manage single staffed operations locations and Mobile Operations Managers. This new model will be supported by a dedicated professional development specialist that will be responsible for competence management activity while the line manager will be accountable for the employees being competent. This trial has been nationally consulted and the individuals involved in the trial have been recruited and are currently undergoing training. **Target implementation 22/05/2022**

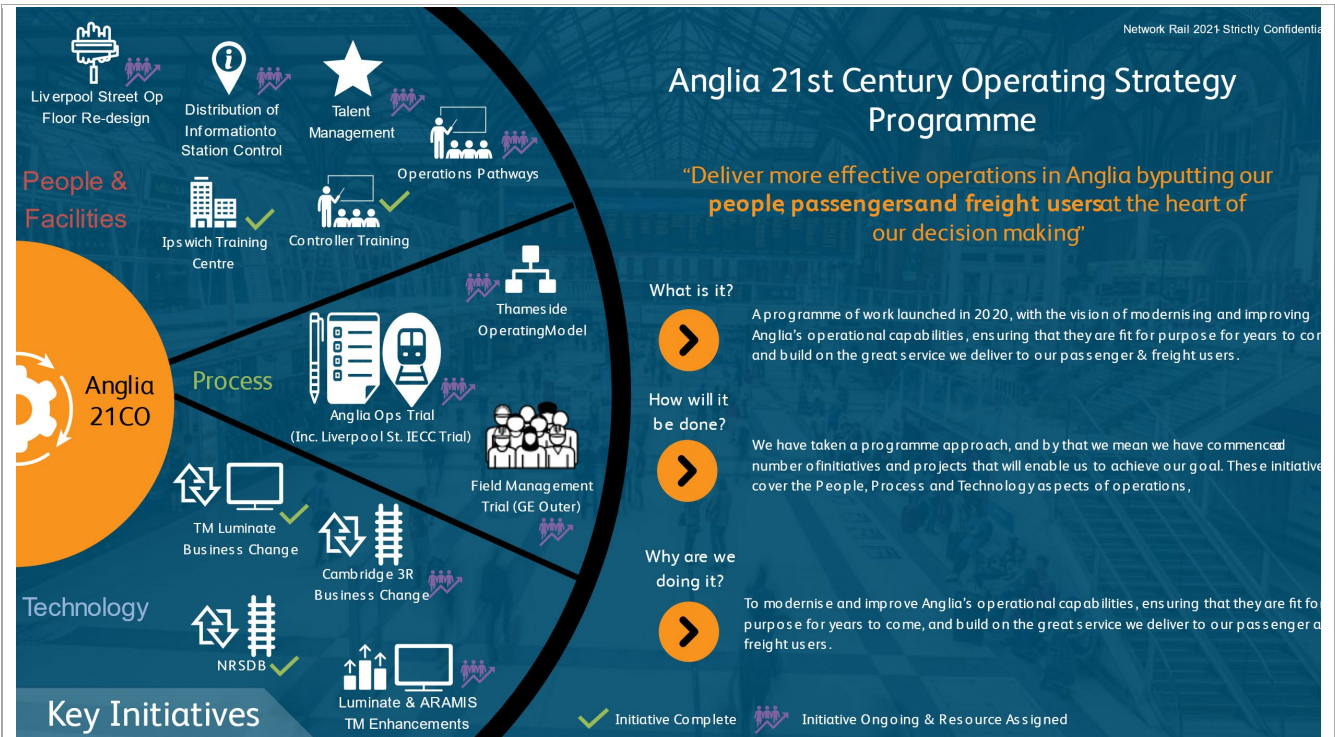
The intention of this milestone is to improve on shift supervision of MOMs and improve the administration of competence management and support professional development.

Medium to Long Term

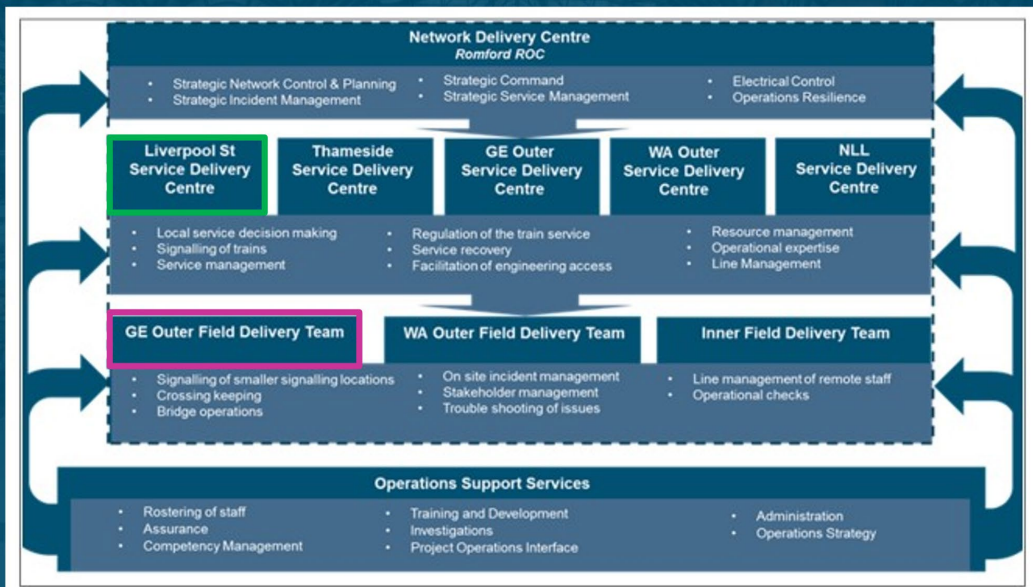
Anglia opened an Operations Academy in 2021, this academy has immersive learning aides, including Mission Room, XVR and View 360. Currently immersive learning is being used for new staff, moving forward a rolling professional development workshops for all MOMs.

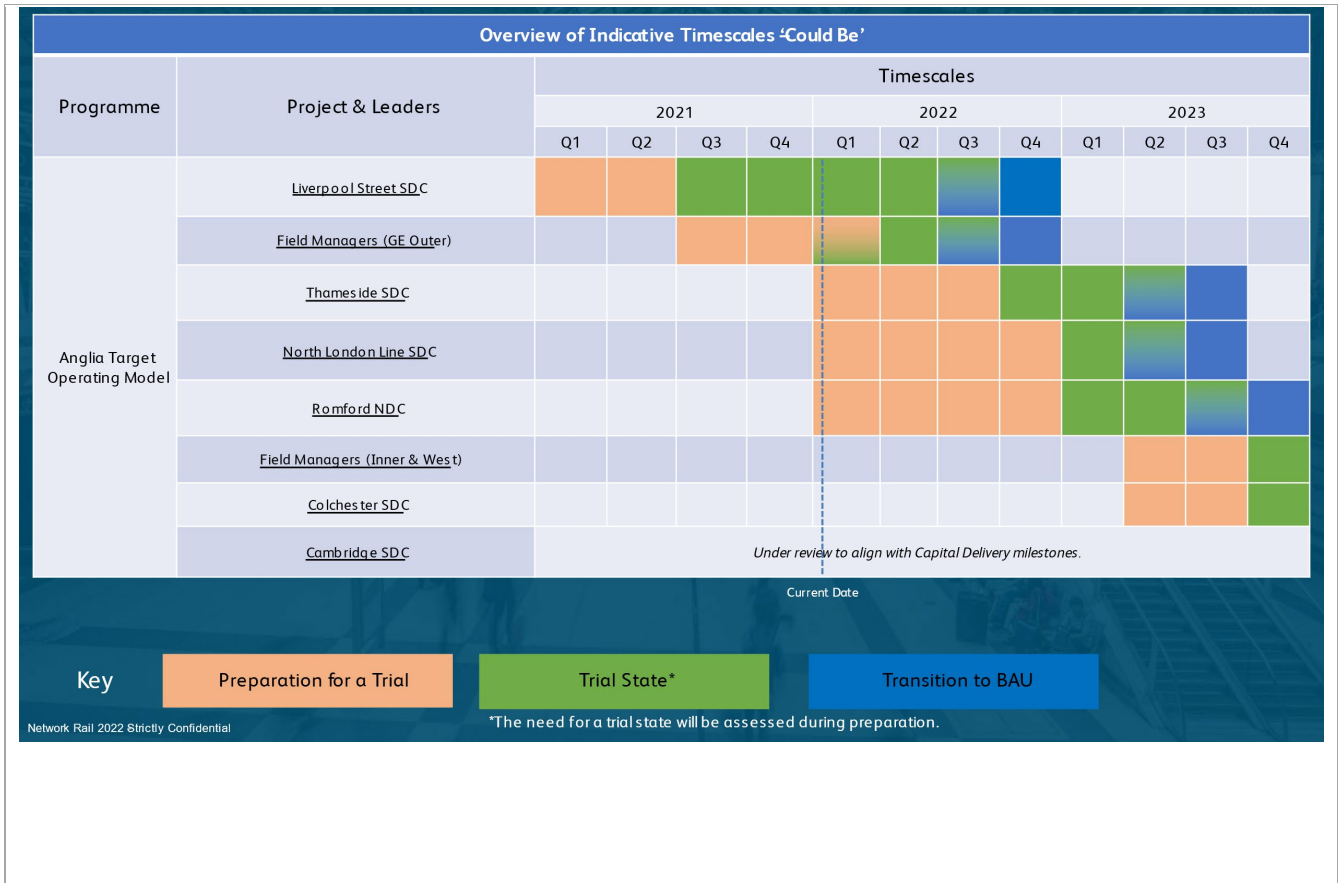
The intention of this milestone is to provide immersive learning opportunities for MOMs to develop skills and practice tasks in a safe environment. Target implementation 20/11/2022

Delivery the Anglia 21st Century Operating Strategy Programme, including the Anglia Target Operating model, details outline below. *The intention of this milestone is to develop a fit for purpose operating model that provide better operational capability and competence. Target implementation 20/12/2023*



Anglia Target Operating Model Overview





14. On 29 March 2022 Network Rail provided the following action plan for Central route:

Action Plan

Please provide milestones with dates

Plan for implementation of revised MOM competency framework:

- Review new competency framework to understand updates – 4 weeks after receiving new framework
- Update local training plans to reflect changes – 8 weeks after receiving new framework
- Update MOM core competence matrix in conjunction with the regional training team to ensure all essential courses are covered at MOM school – 8 weeks after receiving new framework
- Update process for approval and verification of initial MOM competence to reflect changes – 10 weeks after receiving new framework
- Update continuous MOM assessment process to reflect changes – 6 months after receiving new competence framework
- Update LOM and OM assurance question set to reflect changes – 6 months after receiving new competence framework
- Business case to be developed and presented to the Central route people panel to introduce a Band 3C operations manager role for ‘response’ and re-alignment of the ‘response LOM’s’ under the new role – May 2022

This will be achieved by:

- Ensuring all LOM’s that manage MOM positions are continuously filled – already in place
- Ensuring all LOM’s that manage MOM’s hold the relevant operational competencies as well as skills assessor and assessor – already in place
- Ensuring all LOMs that manage MOM’s manage no more than 28 staff – already in place
- Ensure effective recruitment – already in place
- NOQAR (system operator) will independently review the route management of MOM competency in January 2022

Evidence required to support closure of recommendation

- Current LOM vacancy gap is zero – refer to org chart
- LOMs that manage MOMs have zero competence gap – see oracle
- LOM team size and locations – see org chart

15. On 29 March 2022 Network Rail provided the following action plan for Sussex, Kent and Wessex Route:

Action Plan

Please provide milestones with dates

Southern Region (Wessex, Kent and Sussex Routes) will champion, support and embed the work being undertaken as part of Recommendation 1 to ensure that management arrangements result in the full and correct implementation of the revised competency framework. The action plan for Recommendation 1 is contained below.

Southern Region’s model for managing Mobile Operations Managers (MOMs) and Mobile Incident Officers (MIOs) is based on LOMs (Response) who are dedicated to managing these roles. This provides a good organisational baseline for consistency and compliance.

Southern Region will adopt the new approach to MOM selection once complete in June 2022.

Southern Region has requested to be a pilot area for Phase 5 (spaced learning structure) and Phase 7 (refreshed training cycle) and shall pilot these to the timelines stipulated below.

In support of ensuring that the new competency framework can be taught and assessed to a high standard, Southern Region is exploring the provision of enhanced training facilities, to be shared regionally, for MOMs and MIOs, including the use of *Mission Room* technology which provides an immersive training environment for operational incidents. We will use our periodic Regional Operations Strategy Group to establish whether Mission Room is feasible for deployment and to work through the practicalities of deployment. We will establish what we will deploy by December 2022 and will implement these arrangements by April 2023.

Southern Region supported the 21st Century Operations trials that lead to the development of the new Tactical Incident Leader (TIL) competence. Southern Region will convene a standardisation group between the LOMs who have responsibility for managing MOMs and MIOs to ensure a consistent approach is developed and delivered for determining the operational requirements for Operational Incident Responder (OIR) and Tactical Incident Leader (TIL) competence. This will be completed by September 2022.

Southern Region will support and lobby for the introduction of Railsmart EDS as the competency management system for MOMs and MIOs nationally.

Southern Region will develop a dashboard for assurance activities related to MOM and MIO competence activities by September 2022.

Recommendation 1 below for reference

MOM Selection

- f) Establish MOM role profile – Dec 21
- g) Review current selection process and where there are opportunities for improvement, taking account of the COSS pre-requisites – February 22
- h) Pilot new MOM selection process – April 22
- i) Consult on new approach to MOM selection – April 22
- j) Roll out new approach to MOM selection **June 22**

MOM Training

Update MOM initial training

- d) Undertake gap analysis and review June 21
- e) Agree priorities for development of new and/or updating existing training modules Sept 21
- f) Implement new training programmes from March 22 -Dec 22 – see phases detailed below.

Phase 1: integration of new incident management training for **Aug 21** – completed and includes operational incident responder, tactical incident leader and incident management e-learning.

Phase 2: Includes COSS for Ops, Safe Interactions for MOMs and Bridge Strike Nominee **March 22**

Phase 3: Changes to local training process with publication of a new local training workbook and best practice guide on how to train and mentor new MOMs **March 22**

Phase 4: Includes Animal Incursions, Fatality Management and Operational Decision-Making **June 22**

Phase 5: Spaced learning for initial training for MOMs – pilot to commence in **April 22**

Phase 6: Safety critical communications, preliminary investigations, temporary isolations **Sept 22**

Phase 7: MOM refresher training **Dec 22**

MOM Competence

Draft and publish new competence standard and on-board MOMs onto RailSmart EDS. This includes making a business case to transition MOMs to a refresher training model of competence renewal.

Standard publication date **June 22**

Best practice guide on MOM competence assessment **June 22**

Onboarding of MOMs into RailSmart EDS **Sept 22**

Evidence required to support closure of recommendation

Oracle records
BMS Process Entries
Railsmart EDS records

16. On 17 May 2022 Network Rail provided the following action plan for Scotland Route:

Action Plan

Please provide milestones with dates

Immediate

Scotland Route has prohibited the use of “red zone” working. All Operation Staff (including MOMs) must access the track always using safeguarded safe system of work. Any lineside access undertaken outwith this arrangement will be subject to as a minimum a Level 1 investigation. **Implemented**

The intention of this milestone is to reinforce the prohibition within Scotland and that any non-compliances are investigated and subject to behavioural cause analysis. This will help identify personal and business pressures that might impact compliance.

Planned works for Operational Staff are planned in accordance with the 019 standard. Staff attending Operational Incidents will arrange for safeguarded system of work to be implemented prior to accessing the track and record this in their Incident Response Pack. **Implemented**

The intention of this milestone is to clearly set out our expectations for the operational team in how they will access the infrastructure.

New employees/team members joining a team that undertakes duties involving access to the operational infrastructure or lineside, the LOM must place that employee on Additional Operational Monitoring and Support (AOMS) for a period of 3 months. During this period additional reviews of competence should be undertaken, and if required this process may be extended if the LOM determines that the relevant competence level has not been achieved. **Implemented**

The intention of this milestone is to ensure that adequate support is available to employees new to the role as they convert their training to actual on the job experience.

Staff that cannot demonstrate use of a specific competence (or meet the required usage as per the competence standard) within a 12-month period must undertake a review meeting with their line manager and competence must be maintained following successful completion of scenario simulation(s) and demonstration of underpinning knowledge. Failure to meet the relevant standard will result in the competence being suspended pending further assessment/training. **Implemented**

The intention of this milestone is to ensure that competency levels within operational response staff is maintained to an acceptable level.

Short Term

Local Operations Managers (LOMs) with line manager responsibility for Operational Staff that access the track or hold Personal Track Safety (PTS) competence, such as Mobile Operations Managers (MOMs) must undertake a review of competencies with staff every 2 months. This should include a review of Safe System of Work Packs (SSoWPs) and Incident Response Packs completed during this period to ensure that staff are undertaking work safely and implementing safe working procedures when accessing the track and/or attending incidents. **Target Implementation 01/04/2022**

The intention of this milestone is to assure that as an organisation that our operational response staff are complying with the prescribed access arrangements when accessing the track for the resolution of operational incidents. The incident response assurance form contained within IRIS will be completed by the line manager.

All employees attending operational incidents will complete the MOM report form contained within IRIS.

Target implementation 01/04/2022

The intention of this milestone is to maintain a central depository of incidents attended by our teams allowing evaluation of incidents attended, issues encountered for shared learning and establish the effectiveness of the response which will inform where we have shortfalls and gaps and help determine future strategy.

Review current organisational structure for operational response management on Scotland Region to ensure it is fit for purpose meets the new fatigue standard and ensures correct implementation of competency framework, with reference to adequacy of LOMs managing both signalling and response staff relating to headcount loading. **Target Completion 31/03/2022**

The intent of this milestone is to ensure that the current arrangements are suitable to meet the competency framework requirements identified through recommendation 1, whilst also meeting the needs of the business

Review assurance arrangements related to operational response staff and their managers and consider whether additional assurance needs to be undertaken or increase of frequency for existing checks. **Target Completion 31/03/2022**

The intent of this milestone is to ensure that Scotland Region has necessary assurance in place to sustain operational response competence and its ongoing management.

Medium to Long Term

Scotland Region supports, engages, and contributes with the working group created to address recommendation 1. Furthermore, any output produced by the working group is adopted and implemented timeously by the operational team deemed responsible for its delivery. **Target completion 6 months after receiving competence framework.**

The intention of this milestone is to develop and embed new competency standards across the region to afford improvement in safety and competency integrity for all employees engaged in operational response duties.

Evidence required to support closure of recommendation

Confirmation of current competence of LOMs & OMs with responsibilities to manage operational response staff via ACC/Oracle or EDS. Should this be found to be inadequate, a documented process of how the operational response competence framework will be achieved.

Output of a review of current organisational structure with explicit consideration of whether the organisational structure is optimal or whether it could be further augmented in a reasonably practicable fashion.

Documented process or confirmation of suitable assurance arrangements related to operational response competency frameworks, including relevant managers of operational response staff

17. On 6 July 2022 Network Rail provided the following action plan for Wales Route:

Action Plan

Please provide milestones with dates

1. Review new MOM competence standard against current arrangements in place for operational response staff on Wales Route and create a plan to rectify any identified gaps
 - **Target completion dependent on publication and compliance date of new standard**
 - *The intent of this milestone is to ensure any gaps against competency framework are identified and suitable plans created to address*
2. Complete plan created through milestone 1.
 - **Target completion subject to gaps identified in plan**
3. Review new competence standard against current competency and capability of operational management staff (LOM, OM) who have operational response staff management responsibilities to identify any shortfalls and introduce suitable controls to manage.
 - **Target completion subject to publication of standard**
 - *The intent of this milestone is to ensure any immediate shortfalls are identified and suitable controls are applied (i.e., support from other suitable competent and/or experienced staff)*
4. Review assurance arrangements related to operational response staff and their managers.

Target Completion: 31/12/2022

 - *The intent of this milestone is to ensure that Wales Route has sufficient assurance in place to maintain operational response capability and its management therein.*

5. Review current organisational structure for operational response management on Wales Route to ensure it is fit for purpose and ensures correct implementation of competency framework, with reference to adequacy of LOMs managing both signalling and response staff.
 - **Target Completion: 31/12/2022**
 - *The intent of this milestone is to ensure that the current arrangements are suitable to meet the competency framework requirements identified through recommendation 1, whilst also meeting the needs of the business.*

Evidence required to support closure of recommendation

1. Confirmation of current competence of MOMs/operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a plan to rectify going forward.
2. Plan completed based on item 1.
3. Confirmation of current competence of LOMs & OMs with responsibilities to manage operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a documented process of how the framework is managed to be evidenced with plan to rectify going forward.
4. Documented process or confirmation of suitable assurance arrangements related to operational response competency frameworks, including relevant managers of operational response staff
5. Output of a review of current Organisational structure.

18. On 6 July 2022 Network Rail provided the following action plan for Western Route:

Action Plan

Please provide milestones with dates

6. Review new MOM competence standard against current arrangements in place for operational response staff on Western Route and create a plan to rectify any identified gaps
 - **Target Completion dependent on publication and compliance date of new standard**
 - *The intent of this milestone is to ensure any gaps against competency framework are identified and suitable plans created to address*
7. Complete plan created through milestone 1.
 - **Target Completion subject to gaps identified in plan**

8. Review new competence standard against current competency and capability of operational management staff (LOM, OM) who have operational response staff management responsibilities to identify any shortfalls and introduce suitable controls to manage
 - **Target Completion subject to publication of standard**
 - *The intent of this milestone is to ensure any immediate shortfalls are identified and suitable controls are applied (ie. support from other suitable competent and/or experienced staff)*
9. Review assurance arrangements related to operational response staff and their managers. **Target Completion: 31/12/2022**
 - *The intent of this milestone is to ensure that Western route has sufficient assurance in place to maintain operational response capability and its management therein.*
10. Review current organisational structure for operational response management on Western Route to ensure it is fit for purpose and ensures correct implementation of competency framework, with particular reference to adequacy of LOMs managing both signalling and response staff.
 - **Target Completion : 31/12/2022**
 - *The intent of this milestone is to ensure that the current arrangements are suitable to meet the competency framework requirements identified through recommendation 1, whilst also meeting the needs of the business*

Evidence required to support closure of recommendation

6. Confirmation of current competence of MOMs/operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a plan to rectify going forward.
7. Plan completed based on item 1.
8. Confirmation of current competence of LOMs & OMs with responsibilities to manage operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a documented process of how the framework is managed to be evidenced with plan to rectify going forward.
9. Documented process or confirmation of suitable assurance arrangements related to operational response competency frameworks, including relevant managers of operational response staff
10. Output of a review of current Organisational structure.

19. On 12 September 2022 Network Rail provided the following action plan for East Coast Route:

Action Plan

Please provide milestones with dates

1. Review new MOM competence standard against current arrangements in place for operational response staff on East Coast Route. If any gaps are identified, create a plan to address.
Target completion date dependent on publication and compliance date of new standard
2. Complete plan created through milestone 1.
Target completion date subject to any gaps identified in plan
3. Review new competence standard against current competency and capability of operational management staff (eg LOM, OM) who have operational response staff management responsibilities to identify any shortfalls and introduce suitable controls to manage.
Target completion date subject to publication of standard
4. Review assurance arrangements related to operational response staff and their managers.
Target Completion: 31/12/2022 (subject to Rec 1)
5. Review current organisational structure for operational response management on East Coast Route to ensure it is fit for purpose and ensures correct implementation of competency framework, with reference to adequacy of LOMs managing both signalling and response staff.
Target Completion: 31/12/2022 (subject to Rec 1)

Evidence required to support closure of recommendation

11. Confirmation of current competence of MOMs/operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a plan to rectify going forward.
12. Plan completed based on item 1.
13. Confirmation of current competence of LOMs & OM with responsibilities to manage operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a documented process of how the framework is managed to be evidenced with plan to rectify going forward.
14. Documented process or confirmation of suitable assurance arrangements related to operational response competency frameworks, including relevant managers of operational response staff
15. Output of a review of current Organisational structure.

20. On 12 September 2022 Network Rail provided the following action plan for North & East Route:

Action Plan

Please provide milestones with dates

North and East Route have monitored shared learning following this incident and are actively monitoring the progress of action being taken in response to Recommendation 1.

We have a series of ongoing improvement activities which we believe implement learning shared to date and anticipate the likely organisational arrangements which will be proposed by the Technical Authority in their response to Recommendation 1.

1. Review new competence standard against current arrangements in place for operational response staff on North & East Route. If any gaps are identified, create a plan to address.

Target completion date dependent on publication and compliance date of new standard

2. Review new competence standard against current competency and capability of operational management staff (eg LOM, OM) who have operational response staff management responsibilities to identify any shortfalls and introduce suitable controls to manage.

Target completion date subject to publication of standard

3. Review current organisational structure for operational response management on North & East Route to ensure it is fit for purpose and ensures correct implementation of competency framework, with reference to adequacy of LOMs managing both signalling and response staff.

Target completion date subject to Rec 1 closure

Evidence required to support closure of recommendation

1. Confirmation of current competence of MOMs/operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a plan to rectify going forward.
2. Confirmation of current competence of LOMs & OMs with responsibilities to manage operational response staff via review of ACC/Oracle against revised competency framework. Should this be found to be deficient, a documented process of how the framework is managed to be evidenced with plan to rectify going forward.
4. Documented process or confirmation of suitable assurance arrangements related to operational response competency frameworks, including relevant managers of operational response staff
5. Output of a review of current Organizational structure.

Rowlands Castle Rec 2 – Actions already taken by North & East Route

Action Already Taken:

New recruits program which includes the following:

- 1a) Induction, discussing expectations of the role and the hours worked per week. Whether they completed the driving licence verification and which vehicle(s) to be used.

Discuss the rules of sharing vehicles (Covid19) clean before and after use. Go through equipment and PPE check, gate passes, operational and office keys. Give a full Airwaves brief.

1b) Visit every access point using the latest NR diagrams, do this on your own with no initial help from the on-duty MOM (Duty MOM and LOM always available for guidance and support). Start at one end of the patch, including overlap of shared boundary working. Collate a detailed list of all visited track access points, add comments and concerns for each one, make a reference to which is the Up and Down, nearest signal etc. Make note of colloquial names for locations/access points, e.g. Shakespeare Street/Ouseburn Viaduct. Get to know your bridges and Signal Box Special Instructions (Red, Amber, Double Amber, Green), find out which ones are prone to be being hit. Local knowledge of tunnels and viaducts.

2) Finish off access and bridge learning. Sit down with LOM and go through your list, make sure all concerns are discussed. Arrange visits to access points that were not found. LOM test of area knowledge. Talk the LOM through how to get from A to B and then from B to C etc.

3) Sit down with your LOM for impromptu quiz Note: These discussed here are not the exhaustive list but a flavour of what is covered.

POINT FAILURES – 1. First actions on arrival? 2. What equipment to take? 3. What is your main purpose? 4. Complex or Simple? 5. How to gain detection? 6. Tell me which type of points you have in your area and how they operate.

AHBC/CCTV etc: 1. Equipment needed on site? 2. First actions on arrival? 3. Instructions given and received from the signaller? 3. CCTV failed in the down position: what are your actions, (does the signaller have detection, would this alter your decision)?

Location specific on how SLW, TBW is set up, equipment used etc. Fully questioned on Emergency Special working. Fully questioned and a full understanding of coasting.

Main purpose of week three is to remove the Blue Hat. The rest of the week is to be spent shadowing the on-duty MOM (in separate vehicles) attend incidents and faults, sign in with a minimum of 6 Line Blockages under supervision, listen and learn from all COSS briefings. Once this has been done, start taking your own LB's (under supervision) on duty MOM to monitor, sign and copy each LB and 9909 form, give feedback and a copy to the LOM.

4) LOM to observe LB's taken with full COSS briefing. If all goes well, remove green square from sentinel card (update Oracle to competent). Set 2 days aside for rules exam, including autumn working, what do after an incident involving a SPAD. Points and barrier practical to be given, if needed. Make a check of all operational forms. All concerns and knowledge gaps to be addressed.

All cross boundary areas are extended and will be discussed prior to passing out, e.g. the Sunderland area stops at Pelaw Station and cross boundary working would normally continue to Heworth Station, however all Sunderland MOMs are asked to fully learn up to

the High Level Bridge to take in Park Lane Junction. This way of thinking is used in all of my three MOM areas.

Qualified MOMs Ongoing Competency Program:

All MOMs competencies are checked each period during routine site visits, all evidence captured during this period is checked and uploaded onto EDS this includes the use of NTS (Proactive Patrols, Temporary Fence repairs etc), SLW, Animal Incursions, weather related Incidents, degraded working, TBW etc. All knowledge gaps will be identified through the EDS system and addressed during the Capability Review with the use of additional questioning, support monitoring will be considered at this point depending on the quality and accuracy of their answers.

Assessment In The Line is also used to demonstrate knowledge gaps highlighting areas of improvement, which are addressed on the day, or escalated to support monitoring.

Simulated Incidents Program:

Several MOMs have attended group sessions practising and implementing SLW, TBW and ESW, this program was set to run every 3 months as additional practice, however after 3 successful sessions these had to stop to make way for MOMs to attend ZKL training and Safe use of Portable & Transportable Plant courses. I am hoping to reintroduce the program once we have a full complement of staff and all courses are complete.

Last year we also completed an emergency scenario involving a crashed aeroplane on the rail network, with two MOMs and all the emergency services attending with a full command structure in place, this proved very beneficial especially with the full debrief afterwards discussing lessons learned. Another scenario is currently being planned and the hope is to conduct at least one large scenario per year.

Regular One to Ones Conducted:

All routine site visits consist of a wellbeing general chat, a safety conversation and a discussion on career development, this has proved successful with many showing an interest in progressing to higher management and with one MOM taking up a secondment into the LOM role.

All evidence is uploaded to EDS in the form of MOM reports too

21. On 12 September 2022 Network Rail provided the following action plan for East Midlands Route:

Action Plan

Please provide milestones with dates

1. Review new MOM competence standard against current arrangements in place for operational response staff on East Midlands Route. If any gaps are identified, create a plan to address.

Target completion date dependent on publication and compliance date of new standard

2. Complete plan created through milestone 1.
Target completion date subject to any gaps identified in plan
3. Review new competence standard against current competency and capability of operational management staff (eg LOM, OM) who have operational response staff management responsibilities to identify any shortfalls and introduce suitable controls to manage.
Target completion date subject to publication of standard
4. Review assurance arrangements related to operational response staff and their managers.
Response LOMs to be supported to ensure an aligned understanding of the standard is achieved and delivered.
Target Completion: 31/12/2022 (subject to Rec 1)
5. Review current organisational structure for operational response management on the Route to ensure it is fit for purpose and ensures correct implementation of competency framework, with reference to adequacy of LOMs managing both signalling and response staff.
Target Completion: 31/12/2022 (subject to Rec 1)

Current actions taken to assist in adherence to recommendation:

Since line management of operational staff (MOMs) has been streamlined (as of August 2021) to 3 managers rather than the 5 previously, the 'organisational structure of line management for operational staff' is now such that consistent adherence to new standards is more easily maintained across the route.

Evidence required to support closure of recommendation

Consistent evidence across each Response LOM area in the East Midlands route showing compliance to the new MOM competency framework.

Recommendation 3

The intent of this recommendation is to reduce the probability of further impacts on operational safety caused by shortfalls in safety-related management resources in Network Rail's Wessex route.

Network Rail's Wessex route should review its operations management function against the company's Health and Safety Management System to ensure that key safety posts are suitably covered to be more resilient to any prolonged staff unavailability, and take steps to implement any improvements identified.

ORR decision

22. Having reviewed the initial response from Network Rail, we concluded it did not clearly identify what was being done differently as a result of the Rowlands Castle incident and the RAIB recommendation. We have arranged to meet the Network Rail lead for the recommendation to clarify this point and will provide RAIB with a more detailed update following that meeting.

23. After reviewing the information provided ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Network Rail has:

- taken the recommendation into consideration; and
- is taking action to implement it

Status: Progressing. ORR will advise RAIB when further information is available regarding actions being taken to address this recommendation.

Information in support of ORR decision

24. On 31 January 2022 Network Rail provided the following initial response:

Action Plan

Please provide milestones with dates

Network Rail provided alternative wording to recommendation 3 at draft consultation, these words were amended to the above recommendation. Network Rail propose to meet the intent of this recommendation by alternative means and beyond the scope of Wessex route. This action plan, although addresses the concerns in Wessex, is business wide.

Network Rail Technical Authority has reviewed the Health and Safety Management System (HSMS) and the Local Operations Manager (LOM) role is already a Key Safety Post, this requires each role to have a nominated deputy. This is important because of their key role in training and mentoring Mobile Operations Manager's (MOM) which should not be neglected for any significant amount of time as it could lead to skills fade.

Following the findings from Rowlands Castle the Technical Authority will brief all Safety Directors and Heads of Operations Delivery (or equivalent) on the requirement and request they confirm their compliance with the HSMS.

A level 2 audit will be conducted by the Technical Authority between April – Sep 2023 regarding the understanding and compliance of all Key Safety Posts in the HSMS.

Wessex Route

Network Rail Wessex Route accepts the recommendation in so far as:

The LOM role is identified as a Key Safety Post in the HSMS, thus the posts need to have identified post holders and identified deputies to have been briefed on the contents of the Job Description and signed a copy of the job description documentation.

The Head of Operations, Operations Managers both Inner and Outer are aware of the need to comply with the requirement of the HSMS as it pertains to Key Safety Posts.

Wessex Operations (Outer):

- Has reached an agreement to recruit into all LOM roles. This necessitated the addition of two LOM post in the organisation chart to cover two LOM roles that were filled by individuals not reporting to work pending conclusion of a long IR investigation, not yet concluded.
- Of the six LOM posts, four posts have permanent postholders, one post holder is a secondment, and one role has an existing LOM assigned as responsible for the accountabilities and responsibilities for role supported by two deputies.
- In particular, a permanent LOM for the Outer Response Team has been recruited into the role in the last three months. A named deputy has been identified and has been briefed on the responsibilities and accountabilities associated with the role.
- All nominated deputies for these roles have been identified and briefed. All deputies will have signed the associated job descriptions by 21st January 2022.

Wessex Operations (Inner)

- Has seven permanent postholders in eight LOM posts. All postholders have signed the associated Job Descriptions. Deputies have been identified, briefed on the accountabilities and responsibilities of the roles, all but two have signed the associated Job descriptions. The two remaining deputies have recently moved geographical areas and will sign the associated job descriptions to reflect this by 21st January 2022.

Resilience additional action: The LOM roles have been identified as suitable for inclusion within the Wessex HR business strategy succession planning workstream. This seeks to identify and encourage talented individuals and prepare them for future key roles.

Recommendation 4

The intent of this recommendation is to reduce the risk posed to passengers at stations from non-stopping trains by ensuring that warnings of their approach are made in a timely manner.

South Western Railway should take action to ensure the adequacy of safety-related passenger announcements and passenger information display messages at all of its stations. In particular, warnings of approaching non-stopping trains should be reviewed and, if necessary, adjusted to ensure that they are made neither too early nor too late to be useful. The continued adequacy of such warnings should then be confirmed as part of routine platform risk assessment processes.

ORR decision

25. The response from South Western Railway (SWR) satisfactorily takes the recommendation into account. We have asked SWR what assurance arrangements are in place for the audio and visual announcement audit, PTI risk assessment and safety inspections to ensure consistency.

26. After reviewing the information provided ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, SWR has:

- taken the recommendation into consideration; and
- is taking action to implement it

Status: Progressing. ORR will advise RAIB when further information is available regarding actions being taken to address this recommendation.

Information in support of ORR decision

27. On 7 July 2022 South Western Railway provided the following initial response: *Following the receipt of the recommendation from the ORR we put in place the following:*

1. Audio and Visual Announcements Audit

- *An audit document that captured several key areas including CIS screens functioning correctly but most importantly the time it took for an automated announcement to be made prior to trains passing through the station and after. This was undertaken between October 2021 and December 2021.*
- *Our expectation was that an announcement made in good time was no less than 15 seconds but no more than 60 seconds before a fast train arrived.*
- *If an error was found or no announcement was made at all this was faulted to the station property team to be corrected.*
- *The vast majority of stations either work correctly or have no such announcement as generally or a fast service does not pass through that location.*

2. Platform Train Interface Risk Assessment

- *Every PTI RA has the following Section 5d*
- *The assessor should determine what affect trains passing through the platform at speed and/or without stopping may have on the PTI and customers. The assessor should confirm that automatic visual (CIS screens) and audible warnings are enabled and provide sufficient warning time to customers that fast trains are approaching the platform and for them to stand clear. Consideration should also be given to how platform staff supplement this requirement through pro-active management of the PTI when trains are due to pass through the platform without stopping. NOTE: There are no SWR stations where trains pass through the platform line at a speed greater than 100mph or freight trains at a speed greater than 75mph. Between Basingstoke and Eastleigh only those maximum speeds are likely to be attained by both non-SWR passenger/ECS trains and freight trains so due consideration should be given to the potential aerodynamic effects at Micheldever, Winchester and Shawford. Further guidance on considering the aerodynamic effects of passing trains is*

shown in RIS-7016-INS (Interface between Station, Platforms, Track, Trains and Buffer Stops) Section 10.

3. Planned Safety Inspections

- *We have also added the fault reporting process for automated platform announcements to be picked up as part of Planned Safety Inspections, which are completed monthly. All other error or faults are then picked up on an Ad hoc basis.*