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Ms Carolyn Griffiths
Chief Inspector of Rail Accidents
Cullen House
Berkshire Copse Rd
Aldershot
Hampshire GU11 2HP

Dear Carolyn,

RAIB Report: Passenger train collision at Norwich, 21 July 2013

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 1 May 2014.

The annex to this letter provides details of the consideration given/action taken in respect of each recommendation.

Recommendations 1 to 4 have been '**Implemented**'.

Recommendation 5 is '**In progress**'. We expect to update you by 31 July 2015.

We will publish this response on the ORR website on 30 April 2015.

Yours sincerely,

Russell J Keir

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

Initial consideration by ORR

1. All 5 recommendations were addressed to ORR when the report was published on 1 May 2014.
2. After considering the recommendations ORR passed recommendations 1 to 4 to Abellio Greater Anglia and recommendation 5 to Network Rail 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.

Recommendation 1

The purpose of this recommendation is to improve the safety performance of Abellio Greater Anglia's drivers by developing their non-technical skills.

Abellio Greater Anglia should complete the update of its Competence Management System to include consideration of non-technical skills. The updated Competence Management System should include:

- a) the development and delivery of training on non-technical skills to Abellio Greater Anglia's drivers, driver managers and driver instructors by suitably qualified trainers;
- b) the tools necessary to support its application, including those required to:
 - identify substandard non-technical skills;
 - alert a manager to a driver who is found not to be meeting the competence requirements on repeated occasions; and
 - guide managers on the actions to be taken;
- c) a briefing of those who manage the implementation of the Competence Management System so that procedures are complied with (e.g. managers know when to refer drivers to safety review panel); and
- d) monitoring of the implementation of the updated Competence Management System to confirm that it delivers the expected improvement in the safety performance of its drivers.

Steps taken or being taken to address the recommendation

3. On 12 June 2014, Abellio Greater Anglia stated:
1a: *A training program has been designed and delivered using external aviation industry experts.*

Phase one of the training consisted of a two day course which focused on the introduction and underpinning knowledge related to [Non-Technical Skills] NTS.

Attendees included Operations Managers, Operations Standards Managers, Driver Trainers, Simulator Managers, Driver Managers, Conductor Managers, Driver Instructors, Head of Train-crew, company Directors and ASLE&F representatives.

The first phase of the training began on 21 November 2013 and was completed 28 January 2014.

The second phase of training for the introduction of NTS begins on 13 June 2014. This consists of a one day course which focuses on the application of NTS in the

Abellio Greater Anglia CMS [Competence Management System] and incident investigations.

This program will be continuously run and will be attended by Operations Managers, Operations Standards Managers, Driver Trainers, Simulator Managers, Driver Managers, Conductor Managers, Driver Instructors, Head of Train-crew and ASLEF representatives.

New entrant drivers who begin training programs with Abellio Greater Anglia have had NTS included in their initial training program since 6 February 2014 (5 courses have been completed to date).

NTS has also been introduced for all Abellio Greater Anglia Drivers as part of our Simulator rides and assessment program and will continue to be developed.

A session on NTS will be included in the Safety Training Update Day which begins in July 2014. This will provide drivers with introductory information about NTS to raise awareness with existing drivers which will be a continuous on-going programme.

The introduction of NTS into Abellio Greater Anglia's CMS will be monitored via audits. This will provide assurance and monitor that the paperwork system is being correctly implemented and that drivers on development plans are using the correct NTS tools. This will be witnessed and captured in assessment records and also in development plans.

The success of NTS and the positive impact of this will be slightly more challenging to specifically measure and to attach metrics to. Abellio Greater Anglia learnt this from sharing best practice with other TOCs who implemented NTS some time ago and are still seeing this element of their SMS and safety culture develop.

Abellio Greater Anglia will continue to investigate and monitor the cause of operational incidents and use this information as a measure to compare if NTS has been a success, as Abellio Greater Anglia want to see a reduction in those incidents caused by behaviour, which the use of NTS can prevent and eliminate.

Abellio Greater Anglia has spoken to experts from outside the rail industry and they have recommended that Abellio Greater Anglia consider use the 'Kirkpatrick model' to determine the success of the training and this will be considered and if suitable applied.

Abellio Greater Anglia is also seeking guidance from RSSB's national lead on NTS to learn from the review currently being undertaken on NTS and also to obtain advice on other measures of success for NTS implementation. Any suitable tools and models will be used accordingly.

24 March 2015: NTS was introduced into the revised SMS 8.4 CMS for Train Drivers (October 2014). This change was briefed to all relevant managers on a 1 day course. During 2015 Train Drivers are attending 2 x 1 day courses on NTS which includes the introduction, lifestyle, information process model etc.

1b: *In addition to training and instruction Abellio Greater Anglia's CSM and SMS [Safety Management System] documentation is being updated to integrate NTS. This is being done using the research findings of RSSB and taking into account best practice sharing from Northern Rail.*

This will be completed by 4 July 2014.

24 March 2015: NTS has been introduced into the revised SMS 8.4 CMS for Train Drivers (October 2014). This change was briefed to all relevant managers on a one day course.

1c: A full briefing program will be undertaken once the suite of CMS and SMS documents have been updated to include NTS consideration.

This will be completed by 4 July 2014.

24 March 2015: This is covered by actions taken to close 1a and 1b.

1d: This will be undertaken via the annual audit program. The scope of the existing audits which focus on operational colleague's competence will be expanded to include this.

This will be completed by 31 December 2014.

The embedding of NTS into the CMS will also be reviewed during OIRs [Operation Incident Reviews] and investigations by the senior operations management team, which includes the Head of Operational Standards and Training.

ORR decision

1. After reviewing information received ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Abellio Greater Anglia has:
 - taken the recommendation into consideration; and
 - has taken action to implement it.

Status: Implemented

Recommendation 2

The purpose of this recommendation is to improve Abellio Greater Anglia's investigations of operational incidents by ensuring that they always consider non-technical skills.

Abellio Greater Anglia should:

- a) update its accident and incident investigation procedures to include consideration of non-technical skills in the causation of accidents; and
- b) train all its investigators to assess the role of non-technical skills in the causation of accidents.

Actions taken or being taken to address the recommendation

1. On 12 June 2014, Abellio Greater Anglia stated:

2a: Abellio Greater Anglia's SMS documentation related to investigation is being updated to integrate NTS. This is being done using the research findings of RSSB, taking into account best practice sharing from Northern Rail and also the development of the Abellio Greater Anglia's CMS.

This will be completed by 31 December 2014.

24 March 2015: NTS is being utilised at all OIRs and implemented in the driver's personal programme in line with SMS 8.9 DCD standard.

2b: *Training related to NTS is included in the response to recommendation 1.*

All Operations Managers and Driver Managers are being retrained on accident investigation and this is being sourced from A.D.Little using their root cause training course. This company is being used as they are recognised in the industry for delivering such courses compared to other suppliers.

This will be completed by 31 December 2014.

24 March 2015: Training related to NTS is included in the response to recommendation 1.

ORR decision

2. After reviewing information received ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Abellio Greater Anglia has:

- taken the recommendation into consideration; and
- has taken action to implement it.

Status: Implemented

Recommendation 3

The purpose of this recommendation is to ensure that the implementation of Abellio Greater Anglia's internal auditing processes identify non-compliances with its procedures.

Abellio Greater Anglia should review and make any necessary changes to the application of the audit procedure, including any locally pre-defined question sets, to ensure that it allows for consideration of compliance with all safety related elements of the operational procedures.

Steps taken or being taken to address the recommendation

3. On 12 June 2014, Abellio Greater Anglia stated:

Abellio Greater Anglia's internal audits will review the NTS actions and review any identified in drivers CMS file.

Abellio Greater Anglia will expand the scope of its annual external audit to take into account a specific in depth focus on this process.

This will be implemented in the external audit which will take place in the final quarter of 2014.

The framework for NTS has now been included in Abellio Greater Anglia's SMS and CMS documentation. As part of Abellio Greater Anglia's audit program compliance with these new criteria will be monitored. This will also be reviewed via Abellio Greater Anglia's internal verification processes on the CMS.

Questions / topic areas for audits will be updated accordingly. These questions will be linked to the updated SMS and CMS. The updated questions will be introduced at the start of the new audit cycle (January 2015) and then formally report on.

24 March 2015: All depots are planned to be visited and audited during 2015 to review all driver plans to ensure compliance with the recommendation. To date Bishop's Stortford, Cambridge, Chingford and Norwich depots have been completed.

A five year risk based assurance plan now is also now in place to audit and monitor SMS application.

ORR decision

4. After reviewing information received ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Abellio Greater Anglia has:

- taken the recommendation into consideration; and
- has taken action to implement it.

Status: Implemented

Recommendation 4

The purpose of this recommendation is to improve the safety performance of Abellio Greater Anglia's drivers by reducing fatigue when driving.

Abellio Greater Anglia should complete the review of its fatigue risk management system to identify and implement improvements. Abellio Greater Anglia should continue to refer to the Office of Rail Regulation's guidance, dated January 2012 on 'Managing rail staff fatigue' as part of the review.

Steps taken or being taken to address the recommendation

5. On 12 June 2014, Abellio Greater Anglia stated:

Abellio Greater Anglia undertook an audit on Fatigue Management (November 2013) and this included a gap analysis review against ORR's guidance.

Abellio Greater Anglia is currently updating its SMS policy.

This will be completed by 31 December 2014.

24 March 2015: The review was completed and undertaken as per the timescales. Abellio Greater Anglia is now in the final stages of the policy being issued into the SMS.

ORR decision

6. After reviewing information received ORR has concluded that, in accordance with the Railways (Accident Investigation and Reporting) Regulations 2005, Abellio Greater Anglia has:

- taken the recommendation into consideration; and
- has taken action to implement it.

Status: Implemented

Recommendation 5

The purpose of this recommendation is for Network Rail to ensure that the risk associated with permissive moves at Norwich station is acceptably low.

Network Rail should assess the risk associated with permissive working at Norwich station. Abellio Greater Anglia should support Network Rail by providing an understanding of the current constraints and processes for short-term alterations to platform allocations. Network Rail should take these into account when assessing the risk and determining any necessary risk control measures.

Network Rail and Abellio Greater Anglia should implement any required risk control measures and brief their staff accordingly.

Steps taken or being taken to address the recommendation

2. On 12 June 2014, Abellio Greater Anglia stated:

Abellio Greater Anglia has contacted Network Rail (via its Route Safety Manager) and has requested a plan / dates for the review of this type of risk assessment to take place. This request also was made to consider other locations on Abellio Greater Anglia where permissive working takes place.

Abellio Greater Anglia awaits dates from Network Rail and will attend when these reviews are arranged.

3. On 17 July 2014, Network Rail stated:

Network Rail and Abellio Greater Anglia met in November 2013 to review this action and carry out a workshop to look at the issues around permissive working at Norwich and the associated risks of short term alterations to platform allocations.

Areas of challenge were discussed and considered within the risk assessment:

- *Train plan production and suitability*
- *Deviation from the plan due to stock shortage*
- *Deviation from the plan due to service disruption*
- *Lines of communication currently in use - future use*
- *Training and competency*
- *Interaction from other key stakeholders – East Midlands Trains*

Each issue was explored and noted with control measures introduced. Briefing documents were produced and staff were briefed accordingly, including TOC station staff; signalling staff and train crew staff at Norwich station. Following on from the work completed at Norwich station a reduction in deviation of the train plan at the platform has been observed.

23 February 2015: Abellio Greater Anglia has attended a meeting with Network Rail to discuss the Risk Assessment but have yet to agree the content.

24 March 2015: Network Rail has completed a risk assessment and Abellio Greater Anglia / East Midlands Trains assisted in this as required by this recommendation. Abellio Greater Anglia awaits the implementation of control measures following this.

ORR decision

The implementation of control measures has still to be carried out.

Status: In-progress. ORR will update RAIB by 31 July 2015