

Investigators' Handbook

Part 5 – Investigation report management



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What happens to the report once it is completed?

Once the investigation report has been completed and signed by the DCP the DCP needs to arrange for it to be published and distributed to the following:

Recipient	Report type	
	Local	Formal
Those organisations that participated in the investigation		
Some organisations may require as part of their safety management process that completed investigation reports are sent to a nominated person (e.g. their document controller).	✓	✓
The members of the investigation team	✓	✓
The relevant Network Rail functional senior managers (e.g. Route Director, Route Infrastructure Maintenance Director, Senior Programme Manager) and/or heads of department	X	✓
The Network Rail recommendations programme co-ordinator	X	✓
Any Network Rail function or department to whom recommendations or local actions have been directed	✓	✓
RSSB	X	✓
The Office of Rail Regulation's (ORR) Information and Intelligence Team	X	✓
The Head of Corporate Assurance & Accident Investigation (HoCAAI) where the RAIB have formally requested the investigation report be sent to them	✓	✓
The relevant Safety Reporting Specialist	✓	✓
The relevant Operations Risk Advisor in the case of an investigation of a Category A SPAD	✓	✓

Table 1 – Recipients of completed investigation reports

The completed report should be converted to Adobe Acrobat (i.e. PDF) file format before being sent to each recipient's preferred e-mail address.

Input to SMIS and report archive

The Safety Reporting Specialist will arrange for the following details from the report to be input to SMIS:

- a) details of the lead investigator and other members of the investigation team;
- b) the publication date of the investigation report;
- c) the immediate and underlying causes;
- d) any recommendation(s) and/or local action(s) made.

These details should be input to SMIS within 10 working days of receipt of the investigation report.

See the 'SMIS' section in Part 7 of the handbook.

The Safety Reporting Specialist will also arrange for the report to be added to a report archive in CCMS2.

The Safety Reporting Specialist should also be sent the Names document to enable SMIS to be updated as necessary.

Review of recommendations and local actions

Where an investigation report contains recommendation(s) and/or local action(s), including any addressed to the participating organisations, these will be reviewed by either the National Recommendations Review Panel (NRRP) or the route's Recommendations Review Panel (RRP).

	Reviewed by
Recommendations arising from judicial and HSE inquiries and RAIB investigations	NRRP
Recommendations arising from formal investigations led by Network Rail	
Recommendations arising from Network Rail local investigations or Railway Group member investigations that have been referred to the NRRP by an RRP because they have 'national implications or application'	
Coroners' reports (i.e. recommendations) addressed to Network Rail	
Recommendations and local actions arising from local investigations led by Network Rail	Relevant RRP
Local actions arising from formal investigations led by Network Rail	
Recommendations arising from formal investigations led by Network Rail that have been referred to the RRP by NRRP because they are 'local in nature'	
Recommendations and local actions from investigations led by Railway Group members and which addressed to Network Rail	

Table 2 – Review panels for investigation reports

RRP

The role of the RRP and the process for reviewing and progressing recommendations and local actions is shown in [NR/L3/INV/0302](#).

There is a separate RRP for each Network Rail route that is chaired by the relevant Operations Risk Advisor (ORA) and will meet at intervals throughout the year.

Local actions

For any local action the RRP will:

- allocate a lead manager, where one has not already been identified within the investigation report;
- determine a target timescale for completion.

Recommendations

The RRP will determine whether a recommendation should be accepted or rejected. For an 'accepted' recommendation the RRP will:

- identify the associated risk;
- allocate a lead manager;
- determine a target completion date for the recommendation.

A recommendation may be rejected for one of the following reasons:

- the recommendation is impractical or impossible to deliver;
- the safety benefit is poor, compared to the time and resources required to implement it;
- the recommendation conflicts with other work activity or company objectives;
- the recommendation conflicts with existing Railway Group or company standards;
- the recommendation does not mitigate the issues identified and/or concluded within the report.

Recommendation with 'national' implications

Where the RRP considers a recommendation arising from a:

- a) local investigation led by Network Rail;
 - b) local or formal investigation led by another Railway Group member
- has 'national' implications, the RRP will arrange for the recommendation to be reviewed by the NRRP.

Review of progress

The RRP will also review:

- a) the lead manager's progress in the implementation of an assigned recommendation;
- b) a lead manager's request for an extension to timescales for completing a recommendation;
- c) a lead manager's confirmation of closure of a recommendation.

The SRS will arrange for SMIS to be updated with details of progress in implementing a recommendation and details of when the recommendation is closed.

NRRP

The role of the NRRP and the process for reviewing and progressing recommendations and local actions is shown in [NR/L3/INV/0302](#).

The NRRP is chaired by the HoCAAI and will meet once a month.

As with an RRP, the NRRP will determine whether a recommendation should be accepted or rejected. For an 'accepted' recommendation the NRRP will:

- a) identify the associated risk;
- b) allocate a lead manager;
- c) determine a target completion date for the recommendation.

Recommendation of a local nature

Where the NRRP considers a recommendation arising from a formal investigation led by Network Rail is 'local in nature' it may refer it to the relevant RRP to review and progress it.

Review of progress

The NRRP will review:

- a) the lead manager's progress in the implementation of an assigned recommendation;
- b) a lead manager's request for an extension to timescales for completing a recommendation;
- c) a lead manager's confirmation of closure of a recommendation.

The SRS will arrange for SMIS to be updated with details of progress in implementing a recommendation and details of when the recommendation is closed.

Informing DCPs and lead investigators of RRP/NRRP decisions

For recommendations arising from investigations led by Network Rail, the relevant SRS will advise the DCP of the RRP/NRRP decisions (i.e. whether a recommendation is accepted or rejected and, if rejected, the reasons for rejection) to enable the DCP to pass this information to the relevant lead investigator.

Investigation file

All evidence obtained by and used as part of the investigation needs to be retained with the investigation file.

The investigation file itself then needs to be retained. This is because:

- a) where the investigation team has made a recommendation(s) addressed to Network Rail, details of the progress in implementing the recommendation(s) and its closure will need to be included in the investigation file (see below);
- b) there may be a need to review the evidence collected at a later date, possibly following events of a similar nature or as a result of a claim being received;
- c) a request has been received from the RAIB, ORR or BTP for information data related to their investigation of the event or similar events.

Progress with recommendations

Where a report includes a recommendation addressed to Network Rail, the Safety Reporting Specialist or Operations Risk Advisor will need to arrange for details of the progress with the recommendation to be included with the investigation file once the recommendation has been 'closed out'.

See the 'Once the investigation is completed' section in Part 2B of the handbook for more details of what will need to be included in the investigation file.

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