Guidance Note – Competence of Station Incident Officers (SIOs)

Synopsis

This Guide sets out recommended criteria for ensuring the competence of persons nominated to act as Station Incident Officers by railway undertakings in accordance with Railway Industry Standard RIS-3118-TOM.

Authorised by

James Burt
Chair, RDG Train Operators Emergency Planning Group
### Issue record

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<th>Date</th>
<th>Comments</th>
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<tr>
<td>One</td>
<td>March 2013</td>
<td>Original version* as an ATOC document.</td>
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<tr>
<td>Two</td>
<td>July 2014</td>
<td>Periodic review and also to mirror changes made to ATOC/GN016 – Competence of Train Liaison Officers (TOLOs)</td>
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<td>Periodic review and also reformatted as an RDG document</td>
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* to replace Good Practice Guide ATOC/GPG010 on same subject.
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Part 1 About this document

1.1 Responsibilities

1.1.1 Copies of this Guidance Note should be distributed by RDG members to persons within their respective organisations for whom its content is relevant.

1.2 Explanatory note

1.2.1 RDG produces RDG Guidance Notes for the information of its members. RDG is not a regulatory body and compliance with RDG Guidance Notes is not mandatory.

1.2.2 RDG Guidance Notes are intended to reflect good practice. RDG members are recommended to evaluate the guidance against their own arrangements in a structured and systematic way. Some or all parts of the guidance may not be appropriate to their operations. It is recommended that this process of evaluation and any subsequent decision to adopt (or not to adopt) elements of the guidance should be documented.

1.3 Guidance Note status

1.3.1 This document is not intended to create legally binding obligations between railway duty holders and should be binding in honour only.
Part 2 Purpose and introduction

2.1 Purpose

2.1.1 This Guidance Note sets out the minimum recommended criteria intended to ensure the competence of Station Incident Officers (SIO) where appointed by a railway undertaking, acting as a Station Facility Owner, in compliance with Railway Industry Standard RIS-3118-TOM - Incident Response Planning and Management.

2.1.2 SIOs are intended to be proficient to manage incidents in the station environment and not those involving train movements. Proficiency as an SIO does not enable the holder to manage incidents affecting the operational railway infrastructure (where additional training to Rail Incident officer (RIO) or Train Operator Liaison Officer (TOLO) standards is required).

2.2 Scope

2.2.1 This guidance applies to persons who may be required to act as an SIO and those responsible for ensuring their competence.

Part 3 Definitions

3.1 Definitions

3.1.1 The definitions documented in Railway Industry Standard RIS-3118-TOM apply. Other key definitions are specified below.

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

ii) Owning Operator(s): The railway undertaking(s) whose train(s) is/are involved in an accident or incident.

iii) PIDD: Passenger Information During Disruption. Passenger information needs increase with disruption – PIDD is the phrase used to cover all aspects of these needs.

iv) Primary Support Operator: The railway undertaking which has previously been agreed as the best placed (geographically) to provide initial assistance to the Owning Operator in meeting the latter’s responsibilities for providing both an operational and humanitarian assistance response.

The definitive list of agreed Primary Support Operators by route section is provided as Appendix A to RDG-ACOP011\(^1\). Joint Industry Provision of Humanitarian Assistance Following A Major Passenger Rail Incident.

\(^1\) This document is currently ATOC/ACOP011 but is expected to be updated and re-issued as an RDG document during the first quarter of 2017.
v) **Rail Incident Officer (RIO):** 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.

vi) **Station Facility Owner (SFO):** An organisation, e.g. a railway undertaking or Network Rail, responsible for station management and operations.

vii) **Station Incident Officer (SIO):** A person responsible for station operations appointed by the SFO to undertake the role of SIO following a major incident, to work with the RIO to represent the interests of the SFO in its responsibilities for station operations.

viii) **Support Operator:** Railway undertakings (or any other organisations, including Network Rail Managed Stations) who provide staff to work on behalf of and under the leadership and control of the Owning Operator or Primary Support Operator.

ix) **Train Operator Liaison Officer (TOLO):** The person appointed by a railway undertaking as their lead representative at an incident site.

### Part 4  Appointment, training and competency of SIOs

#### 4.1 Nomination of SIO

4.1.1 The appointment and role of the SIO is set out in RIS-3118-TOM and GOGN3518 - Guidance on Incident Response Planning & Management.

4.1.2 Nomination for assessment and certification as an SIO should be based on:

i) **Managerial Experience:** Managerial/supervisory experience in station operations, leadership, initiative skills and the ability to make critical decisions.

ii) **Rules and Regulations:** An awareness of the requirements of the Railway Group Modular Rule Book as they may apply in a station emergency.

iii) Understanding of the requirements for providing adequate support and assistance to passengers in the event of an incident, ensuring their needs and welfare are properly addressed.

iv) Understanding of the command and control structure within the rail industry and the wider responding community such as the emergency services.
4.2 Preparation for SIO responsibilities

4.2.1 Indicative SIO activities and responsibilities are set out in GOGN3518. It is recommended that persons nominated to act as SIO undertake training for the role prior to initial assessment of competence and later to maintain the currency of their competence.

4.2.2 Simulation of the role is recommended to maintain and enhance competency through participation in table top and live emergency exercises.

4.3 Competence assessment

4.3.1 Appendix A of this Guidance Note contains the recommended standards of competence, as developed by railway undertakings and validated by the Railway Group, for providing a systematic and consistent approach for the generic training of SIO responsibilities.

4.3.2 It is recommended that recertification of SIOs is undertaken every two years. This may be undertaken as part of the candidate’s periodic operating rules assessment where required. Opportunities to assess practical competence are not always readily available – evidence should be sought from participation in live and table top exercises, during which SIOs should maintain a log book of their actions.

4.3.3 Guidance on the planning and delivery of SIO training courses is provided in Appendix C.

4.3.4 Participation in incidents may also be used to demonstrate competence by assessing records compiled during and after the incident.

Part 5 Record keeping

5.1 Records

5.1.1 Railway undertakings should maintain records of each employee certificated as competent to undertake the role of SIO, and of each occasion they are required to do so.

5.1.2 Such records should be used to identify the need for refresher training where individuals have not been called upon to perform the role for a prolonged period of time.

Part 6 Infrastructure Manager

6.1 Role of infrastructure manager

6.1.1 The definition of infrastructure manager is contained within Railway Industry Standard RIS-3118-TOM.

6.1.2 Within the content of this Guidance Note it is likely that Network Rail will assume this responsibility in many cases, as it is likely that the running lines will be affected. Where a station is owned and managed by Network Rail, they will assume full responsibility for the training, competency and appointment of SIOs.
6.1.3 Similarly, some train services operate over lines of route that are NOT managed by Network Rail, and this will be reflected in the emergency plans published by the relevant railway undertaking.

Part 7 Further reading

7.1 References

7.1.1 Attention is drawn to the following:

i) RIS-3118-TOM - Incident Response Planning & Management.

ii) GOGN3518 Guidance on Incident Response Planning & Management.

iii) RIS-3119-TOM - Accident and Incident Investigation.


v) ATOC Approved Code of Practice ATOC/ACOP016* – Incident Response Duties of Primary Support Operators.

vi) ATOC Guidance Note ATOC/GN025* - Post incident management of personal property.

vii) ATOC Guidance Note ATOC/GN033* - Station Incident Response Planning.

viii) ATOC Guidance Note ATOC/GN034* - Logging and loggists.

ix) ATOC Guidance Note ATOC/GN038* - Data Protection Requirements During and After Incidents.

x) RDG Guidance Note RDG-GN039 - Social Media Response to Major Incidents and Disruptive Events.

xi) Passenger Strategy Information Group documents:
   o Principles of Information Provision
   o Good Practice Guide – Information on Station.

* These documents will re-issued as RDG documents following their next periodic reviews
APPENDIX A

RECOMMENDED COMPETENCE STANDARDS - OVERVIEW

Note: All references to ‘railway undertaking’ refer to it in the role of Station Facility Owner

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<th>Units of Competence</th>
<th>Elements</th>
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<td>1.1 Establishing Clear Understanding</td>
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<td>1.2 Implementation of Command and Control</td>
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<td>1.3 Immediate Response of Railway Undertaking Implemented</td>
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<td>Appendix: Resource Allocation – Major Incidents</td>
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<td>2. Incident Site Management</td>
<td>2.1 Liaison with Interfacing Agencies</td>
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<td>3. Confirm Safe Conditions for Implementation of Restoration of Normal Working</td>
<td>3.1 Assembly Point, Roll Call, including Security and Isolation of RV Point</td>
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<td>3.2 Safety &amp; Support of Persons</td>
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<td>3.3 Preservation of Evidence</td>
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<td>4. Planning for Restoration of Normal Services</td>
<td>4.1 Participation in Multi Agency Working</td>
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<td>4.2 Employee Welfare</td>
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<td>5. Learning from Events</td>
<td>5.1 Debrief/Review</td>
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<th>Unit 1:</th>
<th>Response to Notification</th>
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<tr>
<td>Element 1.1:</td>
<td>Establishing Clear Understanding</td>
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### Performance Criteria

(a) Confirmation of relevant details  
(b) Determination of the rail industry response  
(c) Appointment of SIO  
(d) Preparation to attend  
(e) Maintaining a documented record

### Scope

Relevant details are:  
M – Major Incident – has this been declared (and, if so, by whom)?  
E – Exact Location  
T – Type of Incident  
H – Hazards – identification of any known/suspected to be present  
A – Access and egress – identification of suitable access points  
N – Number of casualties  
E – Emergency services – have they been summoned to/are they at the scene?  

Also:  
- Source of notification (such as an integrated or railway undertaking control centre)  
- Identification of specific trains involved (if any) – is another railway undertaking involved?  
- Has the infrastructure manager been notified/is attending?  
- Who else in the railway undertaking has been notified/are attending?  

Appointment of SIO by the railway undertaking and preparation to attend must include:  
- Identification of individual undertaking role  
- Identification of Owning Operator and Primary Support Operator(s)  
- Confirmation of appointment to the relevant railway undertaking control centre  
- Communication of appointment to infrastructure manager and other relevant control centres  
- Communication of appointment to other relevant responding personnel  
- Ensuring possession of relevant personal equipment including appropriate PPE and specifically an approved HVV with SIO designation

Maintaining a documented record must involve:  
- Use of a specific logbook or other written means to record key decisions and the basis for these (including information known at the time of that decision), the time of any actions carried out and any other information relevant to the response to, recovery from and investigation of the incident

### Essential Underpinning Knowledge

- Railway undertaking emergency response procedures and role of senior management team  
- Communication arrangements with relevant control centre(s)  
- Structure of emergency services and local authority response  
- Railway undertaking competency standards
## RECOMMENDED COMPETENCE STANDARDS - UNIT 1, ELEMENT 1.2

<table>
<thead>
<tr>
<th><strong>Unit 1:</strong></th>
<th>Response to Notification</th>
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<tr>
<td><strong>Element 1.2:</strong></td>
<td>Implementation of Command and Control</td>
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</table>

### Performance Criteria

- (a) Understanding of command and control structure
- (b) Safety and responsibilities of command and control

### Scope

Command and control is:
- Strategic (Gold) Management:
  - Development and implementation of strategies for mitigating the consequences of the incident
- Tactical (Silver) Management:
  - Tactical planning, implementation and management of practical activities at the incident site in order to maintain safety and facilitate the requirements for rescue and recovery
- Operational (Bronze) Management:
  - Practical application and delivery of activities planned at tactical (Silver) level

Structure relates to:
- Interface and co-ordination arrangements with the infrastructure manager
- Location of command levels (such as Strategic Level at control centre/Major Incident Room)
- Railway undertaking managerial appointments to each level of command
- Level of seniority required for seriousness of incident

### Essential Underpinning Knowledge

- Railway undertaking managerial arrangements for command and control notification, mobilisation and deployment
- Senior management roles
- Interfacing command and control arrangements with the infrastructure manager and other railway undertakings
### RECOMMENDED COMPETENCE STANDARDS - UNIT 1, ELEMENT 1.3

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<tbody>
<tr>
<td>Element 1.3:</td>
<td>Immediate Response of Railway Undertaking Implemented</td>
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</table>
| **Performance Criteria** | (a) Ability to identify hazard and potential risk to the personal safety of others and yourself  
(b) Implement measures to mitigate the immediate consequences.  
(c) Determine and ensure deployment of railway undertaking resources |
| **Scope** | The SIO must be able to identify the immediate hazards associated with the incident, the risk they pose to members of the public and rail employees, including themselves. This should also include the potential wider implications of the incident on other business operations (the ‘ripple’ effect).  
Immediate actions required to mitigate against the possible consequences may include:  
- Removal of persons to an immediate place of safety  
- Cordonning off areas of the premises which are considered to be dangerous or expose persons to potential trauma  
- Full or partial evacuation of the premises should it be necessary in the circumstances  
- Restricting or controlling access to the premises  
Deployment of Railway Undertaking personnel may include:  
- To assist SIO at incident site, including any requirement for station evacuation and/or controlling access  
- To provide customer support and assistance both on- and off-site  
- To provide Incident Care Team led humanitarian assistance at reception centres, hospitals, stations, etc. as appropriate  
- To liaise with the media  
Railway undertaking resources may include:  
- Person to record events (i.e. note taker)  
- Operations personnel  
- Customer support personnel  
- On-call personnel  
- Media relations personnel  
- Incident Care Team members |
| **Essential Underpinning Knowledge** | - An understanding of hazard and risk and the principles of control measures needed to mitigate  
- Railway undertaking arrangements for emergency notification of key personnel  
- Resource availability and role of railway undertaking/SFO Strategic Management Team (e.g. Crisis Management Team/Service Disruption Team, etc.)  
- Understanding of the role of the Incident Care Team and the need to pass on to them information essential to the humanitarian response, i.e. details of the number and nature of casualties, details of reception centres, receiving hospitals, etc.  
- Requirements to apply appropriate PIDD processes |
APPENDIX TO UNIT 1 – RESOURCE ALLOCATION FOR A MAJOR INCIDENT

| Performance Criteria | (a) Allocate appropriately qualified people to positions.  
|                      | (b) Agree and ensure deployment of local resources. |
| Scope                | Railway undertaking resources may include:  
|                      | - As Element 1.2 plus  
|                      | - Local access to finance  
|                      | Deployment of railway undertaking personnel may include:  
|                      | - As Element 1.2 |
| Essential Underpinning Knowledge | Railway undertaking arrangements for emergency notification of key personnel  
|                      | Resource availability and role of strategic management  
|                      | Primary Support Operator role  
|                      | Arrangements for Major Incidents |
### RECOMMENDED COMPETENCE STANDARDS - UNIT 2, ELEMENT 2.1

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<tr>
<td>Element 2.1:</td>
<td>Liaison with Interfacing Agencies</td>
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#### Performance Criteria

- (a) Identification of responding agencies
- (b) Understanding of agency roles

#### Scope

Interfacing Agencies may include:

- Network Rail or other infrastructure manager
- Other train operators
- Other transport providers (such as London Underground, light rail including tram operators)
- British Transport Police
- Civil police
- Fire and rescue service
- Ambulance service
- Local authorities
- Office of Rail Regulation (ORR)
- Rail Accident Investigation Branch (RAIB)
- Voluntary sector organisations such as Mountain Rescue and Lowland Rescue

Agency roles may include:

- Rail industry response management and co-ordination
- Primary Support Operator, Support Operator and Owning Operator roles and responsibilities
- Site safety
- Co-ordination of emergency services
- Implementation of cordons
- Security of site
- Fire fighting, rescue and recovery
- Medical treatment
- Recovery of bodies
- Recovery of personal property
- Preservation of evidence
- Provision of reception centres

#### Essential Underpinning Knowledge

- Generic roles and responsibilities of external agency personnel
- Incident site command and control arrangements
- Interface protocol at the incident site – identification of lead agency
RECOMMENDED COMPETENCE STANDARDS - UNIT 3, ELEMENT 3.1

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<th><strong>Unit 3:</strong></th>
<th><strong>Confirm Safe Conditions for Implementation of Restoration of Normal Working</strong></th>
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<tbody>
<tr>
<td><strong>Element 3.1:</strong></td>
<td><strong>Assembly Point, Roll Call, including Security and Isolation of RV Point</strong></td>
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</table>
| **Performance Criteria** | (a) Confirm emergency procedures have been carried out (refer to Unit 1 Element 1.3)  
(b) Establish station is secure, and all persons accounted for  
(c) Liaise with British Transport Police (BTP), emergency services and Network Rail |
| **Scope** | Confirmation of emergency procedures is:  
- Establishing if procedures have been carried out  
- Assessing what needs to be done  
- Assessing potential resource needs  

Emergency procedures include:  
- Station evacuation  
- Crowd control (planned and unplanned)  
- Event management  
- Major injury  
- Security threat  
- Weather  
- Power outages  
- Flood  

Securing of stations is:  
- Isolating utilities if required  
- Closing all access routes  
- Manning access, with controlled entry (in conjunction with BTP, Emergency Services, etc.)  
- Stopping trains from calling  

Liaison with emergency services may include:  
- Accountability of persons  
- Establishment of central command point  
- Confirmation of site safety arrangements including local hazards  
- Mutual identification of RIO and TOLO (if attending) and reaching an understanding of each others’ roles at the incident  

| **Essential Underpinning Knowledge** | - Broad understanding of rail incident management  
- Understanding of local hazards and procedures  
- Location of local emergency plans  
- Crowd management  
- Event management |
### RECOMMENDED COMPETENCE STANDARDS - UNIT 3, ELEMENT 3.2

<table>
<thead>
<tr>
<th>Unit 3:</th>
<th>Confirm Safe Conditions for Implementation of Restoration of Normal Working</th>
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<tr>
<td><strong>Element 3.2:</strong></td>
<td>Safety &amp; Support of Persons</td>
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| **Performance Criteria** | (a) Jointly plan and agree arrangements with emergency services, Network Rail and local authority  
(b) Communication of arrangements to staff, public and tenants  
(c) Ensure railway undertaking off-site customer support implemented and provided |
| **Scope** | Agreement of arrangements may include:  
- The need to evacuate from station  
- Identification of emergency egress points to facilitate evacuation  
- Allocation of staff to appropriate roles/locations  
- Use of emergency equipment where necessary  
- Identification of assembly point(s) and holding area for onward transfer (if appropriate)  

Communication of arrangements to passengers and tenants may include:  
- Use of display screens if operable  
- Use of PA systems if operable  
- Use of portable public address equipment  
- Face to face instruction and directions  
- Providing reassurance  
- Utilising other on site rail personnel to assist and escort  
- Provision of posters  
- Intranet/internet web sites  
- Social media  

Ensuring railway undertaking off-site customer support implemented and provided may include:  
- Notification to railway undertaking control of relevant safe assembly points/holding area(s)  
- Notification to Incident Care Team of details of the number and nature of casualties, details of reception centres, receiving hospitals, etc. |
| **Essential Underpinning Knowledge** | Local communication equipment  
- Local authority/voluntary services resources  
- Railway undertaking arrangements for the provision of customer support  
- Understanding of the role of the Incident Care Team  
- Requirements to apply appropriate PIDD processes |
## RECOMMENDED COMPETENCE STANDARDS - UNIT 3, ELEMENT 3.3

<table>
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<tr>
<th>Unit 3</th>
<th>Confirm Safe Conditions for Implementation of Restoration of Normal Working</th>
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<tr>
<td>Element 3.3</td>
<td>Preservation of Evidence</td>
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<tr>
<td><strong>Performance Criteria</strong></td>
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<tr>
<td>(a) Evidence is not interfered with or removed without permission from authorised personnel</td>
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<tr>
<td>(b) Protocol of collection</td>
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<tr>
<td>(c) Method of collection and continuity of evidence</td>
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<tr>
<td><strong>Scope</strong></td>
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<tr>
<td>Evidence is:</td>
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<tr>
<td>- Perishable (ice, snow, liquids)</td>
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<tr>
<td>- Non-perishable</td>
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<tr>
<td>Authorised Personnel are:</td>
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<tr>
<td>- RAIB representative or appointed agent (if present)</td>
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<tr>
<td>- RIO</td>
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<td>- TOLO</td>
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<tr>
<td>- SIO</td>
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<tr>
<td>- Police (British Transport and Civil) Incident Officer</td>
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<td>- ORR representative</td>
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<tr>
<td>Protocol should include:</td>
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<tr>
<td>- Reaching an understanding with interfacing agencies in respect of preserving and gathering evidence without interfering with rescue and recovery operations to save life</td>
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<tr>
<td>- Agreement to gather perishable evidence as soon as reasonably practicable</td>
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<tr>
<td>Method of collection includes:</td>
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<tr>
<td>- ‘For Cause’ testing for drugs and alcohol of personnel involved</td>
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<td>- Photographing (to include the understanding of using a film camera as opposed to digital)</td>
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<td>- Sketching</td>
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<tr>
<td>- Written notes – originals MUST be retained</td>
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<td>- Telephone &amp; radio tapes or downloads</td>
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<tr>
<td>- CCTV footage, specifically station monitoring systems but also on train systems including forward facing driving cab cameras</td>
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<tr>
<td>Continuity of evidence achieved by:</td>
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<tr>
<td>- Collecting evidence in the presence of/under supervision by the RIO and Civil/BT Police/ORR/RAIB</td>
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<td>- Development of camera film by Civil/BT Police</td>
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<td>- Countersigning of written evidence such as notes and sketches</td>
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<tr>
<td>- The sealing of recorded evidence such as CCTV media</td>
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<tr>
<td><strong>Essential Underpinning Knowledge</strong></td>
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<tr>
<td>- Accident &amp; incident investigation procedures</td>
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<td>- ‘For Cause’ drugs and alcohol screening procedures</td>
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# RECOMMENDED COMPETENCE STANDARDS - UNIT 4, ELEMENT 4.1

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<td>Participation in Multi Agency Working</td>
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<tr>
<td><strong>Performance Criteria</strong></td>
<td>(a) Provision of relevant expertise and advice</td>
</tr>
<tr>
<td></td>
<td>(b) Agreement of joint action plans</td>
</tr>
<tr>
<td></td>
<td>(c) Co-ordination and Management of Railway Undertaking responses</td>
</tr>
</tbody>
</table>

**Scope**

- Expertise may include:
  - Identification of specific risks associated with the restoration of services (especially platform/train loadings/train-platform compatibility and availability)
  - Advice on crowd management
  - Advice on alternative means of transport
  - Effect of recovery operations on remainder of route and other stations

- Input into joint action plans may include:
  - Availability, co-ordination and deployment of railway undertaking resources working with BTP, etc.
  - Management of railway undertaking resources for interim working arrangements

- Management of railway undertaking responses may include:
  - Ensuring resources are available to relieve on-site railway undertaking staff when necessary
  - Provision of contingency train service
  - Provision of alternative transport arrangements
  - Provision of customer support to uninjured, delayed and displaced passengers
  - Provision of mutual aid to other operators

**Essential Underpinning Knowledge**

- Network Rail and railway undertaking command structures and their implementation
- Roles and responsibilities of the representatives of other responding organisations
- Railway undertaking corporate strategies for customer service
- Requirements to apply appropriate PIDD processes
### RECOMMENDED COMPETENCE STANDARDS - UNIT 4, ELEMENT 4.2

<table>
<thead>
<tr>
<th>Unit 4:</th>
<th>Planning for Restoration of Normal Working</th>
</tr>
</thead>
<tbody>
<tr>
<td>Element 4.2:</td>
<td>Employee Welfare</td>
</tr>
<tr>
<td><strong>Performance Criteria</strong></td>
<td></td>
</tr>
<tr>
<td>(a) Ensuring welfare of employees.</td>
<td></td>
</tr>
<tr>
<td>(b) Ensuring self-welfare.</td>
<td></td>
</tr>
<tr>
<td>(c) Relief and handover of duties</td>
<td></td>
</tr>
<tr>
<td>(d) Offsite and post incident support for self.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Scope</strong></th>
<th>Welfare of employees may include:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Identification of need and provision of assistance in cases of trauma</td>
<td></td>
</tr>
<tr>
<td>- Arrangement of accompanied transportation from site to home/depot/station, etc.</td>
<td></td>
</tr>
<tr>
<td>- Advice to relatives of employees (in conjunction with Police and railway undertaking Incident Care Team where appropriate)</td>
<td></td>
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<tr>
<td>- Arrangements to provide relevant post-incident support</td>
<td></td>
</tr>
</tbody>
</table>

| Welfare of self should include: | |
|---------------------------------| |
| - Recognising limitations | |
| - Acknowledgement of own fatigue and stress | |
| - Actively seeking support within railway undertaking chain of care and welfare processes | |

| Relief and handover of duties should include: | |
|-----------------------------------------------| |
| - Making arrangements with control office for a relief SIO to be provided within a reasonable timescale | |
| - Undertaking handover with relief SIO | |
| - Consideration of getting home in respect of potential fatigue or mental strain (taxi instead of driving own or company road vehicle for example) | |

| **Essential Underpinning Knowledge** | Railway undertaking procedures for providing employee chain of care and support |

| **Additional Considerations** | Line managers of personnel undertaking SIO duties must identify appropriate actions for ensuring the welfare of those individuals and ensure these are undertaken following their involvement in the management of an incident, particularly if the circumstances of the event have the potential for inducing trauma or emotional upset. |
## RECOMMENDED COMPETENCE STANDARDS - UNIT 5, ELEMENT 5.1

### Unit 5: Learning from events

#### Element 5.1: Debrief/Review

<table>
<thead>
<tr>
<th>Performance Criteria</th>
<th>Debriefs/reviews are held jointly with appropriate parties.</th>
</tr>
</thead>
<tbody>
<tr>
<td>(b)</td>
<td>Response Plans are reviewed after debrief, and if necessary arranged to be revised and reissued</td>
</tr>
</tbody>
</table>

#### Scope

Debrief may involve:
- Local staff, including other members of the Railway Group, e.g. Network Rail, other railway undertakings, etc.
- Those with specialist knowledge such as the railway undertaking management responsible for emergency planning, fire safety and security for example
- External agencies, such as the emergency services

Debrief may include:
- Identification and sharing of good practice
- Identifying weaknesses in planning or response that may need to be addressed
- Sharing results openly without blame
- Staff briefing or training needs

Review will include:
- Examination of existing plans against events, response and consequences
- Determination of revisions to the plan and the arrangements for reissue

#### Essential Underpinning Knowledge

- Appropriate plans (local and cross-company)
- Requirements of Safety Certificate/Safety Authorisation
- Debriefing processes and techniques (if leading the debrief)
APPENDIX B

SUPPLEMENTARY REQUIREMENTS FOR MAJOR INCIDENTS

Introduction:

Major rail incidents will require on site tactical decision-making at a level not normally expected of railway undertaking personnel trained and who hold a certificate to undertake the role of the SIO or TOLO on a first response basis.

These supplementary requirements should be considered by train operators in planning and implementing their chain of command for such occurrences to include the provision of a competent senior manager to take over the role of SIO from the initially appointed person and the subsequent redeployment of on-site management personnel.

<table>
<thead>
<tr>
<th>Element</th>
<th>Commitment and co-ordination of Railway Undertaking Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria</td>
<td>Senior managers undertaking the role of SIO at the site of a major rail accident must be able to:</td>
</tr>
<tr>
<td></td>
<td>- Influence the commitment of the necessary financial and personnel resources of railway undertaking organisation(s), their suppliers and agents to effect full recovery</td>
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<td></td>
<td>- Maintain joint planning, communication and media briefing arrangements with the RIO and emergency services</td>
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<td></td>
<td>- Assist with the requirements of company insurance assessors through the Network Rail On-Site lead role</td>
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<td>- Maintain effective communication with railway undertaking strategic decision makers to ensure an appropriate corporate response and consistent media policy</td>
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<td></td>
<td>- If present at the incident location they are required to have full SIO competency</td>
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</table>

<table>
<thead>
<tr>
<th>Essential Underpinning Knowledge</th>
<th></th>
</tr>
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<tbody>
<tr>
<td></td>
<td>- Robust understanding of command and control structures established for major incidents</td>
</tr>
<tr>
<td></td>
<td>- Contents of relevant Railway Group Standards and railway undertaking emergency plan</td>
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<tr>
<td></td>
<td>- Experience of operational management at senior level</td>
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<tr>
<td></td>
<td>- Understanding of the role of the Incident Care Team and the need to pass on to them information essential to the humanitarian response, i.e. details of the number and nature of casualties, details of reception centres, receiving hospitals, etc.</td>
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<tr>
<td></td>
<td>- Protocols for communicating with senior managers/directors within own company and other organisations</td>
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<tr>
<td></td>
<td>- Requirements to apply appropriate PIDD processes</td>
</tr>
</tbody>
</table>
# APPENDIX C

## GUIDANCE ON TRAINING CONSIDERATIONS AND DELIVERY

### Introduction:

The Competency Elements documented in this Guidance Note provide the basic criteria for a Station Incident Officer (SIO) to carry out their role effectively.

To ensure that individuals selected for competency training in the role of SIO are provided with the best opportunity to gain a comprehensive understanding of what is required from them and the roles they may be expected to interface with, the following guidance is provided on what consideration should be given on planning and delivering the training sessions:

<table>
<thead>
<tr>
<th>Consider for inclusion</th>
<th>Guidance on Delivery</th>
</tr>
</thead>
</table>
| **Invite representatives of internal agencies to provide insight into their roles and responsibilities in the event of an accident or incident** | Invited presenters could include:  
- Experienced SIOs  
- Rail Incident Officer  
- Train Operator Liaison Officer  
- Route Control Manager  
- British Transport Police  
- Rail Care Team leads  
- Personnel with responsibility for the repair and maintenance of station infrastructure |
| **Invite representatives of external agencies to provide insight into their roles and responsibilities in the event of an accident or incident** | Invited presenters could include:  
- The local police, fire and ambulance services  
- The local authority  
- Rail Accident & Investigation Branch  
- Office of the Rail Regulator |
| **Include interactive role play** | Provide opportunity for course participants to actively test communication, interface management and decision making skills:  
- Use credible desk top style scenarios with participants taking turns in playing the role of the SIO – use other participants to act out interfacing roles  
- If possible, make use of invited presenters (see above) in simulated roles they would normally take in the event of an incident  
- Encourage log keeping of communications made and actions taken  
- Encourage informed decision making based on the facts presented to them  
- Consider putting participants under simulated pressure, especially when making decisions  
- Encourage impartial feedback from other participants on how they think the participant undertaking the role of the SIO has managed the scenario  
- Use role play to help with the development of interpersonal skills such as assertiveness which are crucial to effectively carrying out the role of SIO |
| **The use of station layout diagrams, maps of the local area or other ‘props’ such as models** | Props can successfully be used as a visual aid during both training and exercises to enhance scenario appreciation and understanding |
Model railway layouts can be utilised to provide a ‘picture’ of the incident scene.

| The use of DVD and/or CCTV footage of real events that an SIO may have to manage | It is common practice for training organisations to use film footage of real events to emphasise the potential for occurrence and the possible consequences if ineffectively managed. Trainers or presenters must be considerate of both the audience and the content when deciding on what is to be shown. Using such footage to demonstrate the potential consequences may in some cases cause upset and anxiety so discretion must be used. |
| Use of Mnemonic METHANE | Explanation of using the mnemonic METHANE as an aid when responding to a major incident. The METHANE mnemonic stands for: M – Major Incident Declared E – Exact Location T – Type of Incident H – Hazards present A – Access and egress N – Number of casualties E – Emergency services on scene/required |