

# Rail Delivery Group



**RDG-ACOP016**

**Issue** Four

**Date** April 2017

## Approved Code of Practice – Incident Response Duties of Primary Support Operators

### Synopsis

This Approved Code of Practice sets out the principles by which passenger railway undertakings should respond to incidents affecting the railway infrastructure on routes for which they have been identified as Primary Support Operator, including those that may involve trains owned or leased by another Operator.

### Applicability

This Approved Code of Practice has been prepared for passenger train operators. However, its content may also be of use to others.

Authorised by

A handwritten signature in black ink, appearing to read 'Charles Horton', written over a horizontal line.

Charles Horton  
Chair, RDG Train Operators Operations Council

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### **Issue record**

<b>Issue</b>	<b>Date</b>	<b>Comments</b>
One	June 2011	Original version as an ATOC document.
Two	August 2013	Reviewed and updated
2A	November 2013	In new format – no change to content
Three	January 2015	Wording re freight trains revised
Four	April 2017	Periodic review and also reformatted as an RDG document

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## **RDG Approved Code of Practice – Incident Response Duties of Primary Support Operators**

### **Part 1 About this document**

#### **1.1 Responsibilities**

- 1.1.1 Copies of this Approved Codes of Practice 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 Approved Codes of Practice for the information of its members. RDG is not a regulatory body and compliance with RDG Approved Codes of Practice is not mandatory.
- 1.2.2 RDG Approved Codes of Practice 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 this Approved Code of Practice should be documented.

#### **1.3 Approved Code of Practice 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.

#### **1.4 Supply**

- 1.4.1 Copies of this Approved Code of Practice may be obtained from the RDG members' web site.

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## Part 2 Purpose and scope

### 2.1 Purpose

- 2.1.1 This Approved Code of Practice sets out the principles by which passenger railway undertakings will respond to incidents affecting the railway infrastructure including those involving trains other than those owned or operated by them.
- 2.1.2 The methodology of response is prescribed by Railway Group Standard GE/RT8000 and Rail Industry Standard RIS-3118-TOM and the emergency response and contingency plans of infrastructure managers and railway undertakings.

### 2.2 Scope

- 2.2.1 This Approved Code of Practice applies to passenger railway undertaking members of the RDG Train Operators Operations Scheme – other passenger railway undertakings may also choose to adopt it. It covers all aspects of incident response except for the humanitarian assistance elements, for which reference should be made to RDG-ACOP011 - Joint Industry Provision of Humanitarian Assistance Following a Major Passenger Rail Incident.

## Part 3 Definitions

### 3.1 Definitions used within this document

- 3.1.1 Key definitions applicable to this Approved Code of Practice are as follows:
  - i) **Operations Control:** The control centre responsible for initiating the relevant rail emergency responses to an incident affecting the railway infrastructure.
  - ii) **Owning Operator:** The railway undertaking(s) whose train(s) is/are involved in an accident or incident.
  - iii) **Primary Support Operator:** The passenger railway undertaking which has been agreed as the best placed (geographically) to take overall responsibility for providing the appropriate emergency response (including the initiation of customer support and humanitarian assistance) to an incident in support to the Infrastructure Manager. A list of Primary Support Operators is provided in Appendix A to RDG-ACOP011 – Joint Industry Provision of Humanitarian Assistance Following A Major Passenger Rail Incident.
  - iv) **Rail Incident Officer (RIO):** The nominated and certificated person charged with the role of on site tactical command and control of all rail related organisations and their support at an incident involving train operations, lines or sidings.
  - v) **Rail Incident Commander (RIC):** The nominated person charged with the role of strategic command and control of a major rail incident involving train operations and railway infrastructure.

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- vi) **Station Incident Officer (SIO):** A person responsible for station operations appointed by the Station Facility Owner to undertake the role of SIO following a major incident, to work with the RIO to represent the interests of the Station Facility Owner in its responsibilities for station operations.
- vii) **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 Primary Support Operator.
- viii) **Train Operator Liaison Officer (TOLO):** The person appointed by a Train (or Freight) Operating Company as their lead representative at an incident site.

### **Part 4 Initiation of response**

#### **4.1 Generic principles**

- 4.1.1 Railway undertakings should initiate a response to any incident affecting the railway infrastructure in order to meet the requirements set out in Railway Group Standards GE/RT8000 and Rail Industry Standard RIS-3118-TOM, company emergency plans and in support to the infrastructure manager.

#### **4.2 Method**

- 4.2.1 In most cases this is likely to be by means of a cascaded management notification process implemented by the relevant operations control through the use of telephone communication (landline and/or mobile) and pager systems.

### **Part 5 Identification of Primary Support Operator**

#### **5.1 Generic principles**

- 5.1.1 Passenger railway undertaking responses to an incident affecting the railway infrastructure should normally be implemented by the Primary Support Operator for the line of route concerned in agreement with the Owing Operator(s) of any train(s) involved. The list of Primary Support Operators is provided as Appendix A to RDG-ACOP011 – Joint Industry Provision of Humanitarian Assistance Following a Major Passenger Rail Incident.
- 5.1.2 This should not detract from the Owing Operator or a Support Operator initiating an appropriate response should they be best placed to do so in accordance with the specific location, nature and circumstances of the incident.

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### Part 6 Duties of Primary Support Operator

#### 6.1 Role of infrastructure manager

- 6.1.1 The infrastructure manager will normally lead and direct the rail response to an incident affecting their infrastructure. For most routes, but not exclusively, this will be Network Rail.
- 6.1.2 Network Rail will normally appoint a responsible person, or in the case of more serious incidents, a Rail Incident Officer (RIO), to co-ordinate the rail emergency response at the site of, and as appropriate to the circumstances. For major incidents, a Rail Incident Commander (RIC) may also be appointed to take overall strategic responsibility for rail industry incident management and to support the RIO.

#### 6.2 Role of the Primary Support Operator

- 6.2.1 The Primary Support Operator should identify significant emerging risks (such as trains trapped between stations with no power during a period of very hot weather) to its own operations and those of Owing or Support Operators and ensure that where necessary, the following arrangements are implemented as relevant to the nature and circumstances of the incident:
- i) Suitable, sufficient resources are identified and deployed in accordance with the level of risk and an appropriate response is determined in conjunction with the infrastructure manager.
  - ii) A command and control structure is established at the earliest opportunity in conjunction with the infrastructure manager.
  - iii) A Train Operator Liaison Officer (TOLO) is appointed to co-ordinate their own and other railway undertaking responses at the incident site in support to the infrastructure manager (and specifically the RIO).
  - iv) Where an incident has a significant impact on the operation of a station, a Station Incident Officer (SIO) is appointed to manage the emergency response at that location.
  - v) Identification of and communication with Owing Operator(s).
  - vi) Identification of and communication with Support Operator(s).
- 6.2.2 The Primary Support Operator should implement any necessary arrangements for dealing with passengers (except as provided for in RDG-ACOP011 through the deployment of an Incident Care Team), traincrew, other personnel (including contractors) and the rolling stock of any train involved in the incident. This response should reflect the nature and circumstances of the incident and may include:
- i) Any requirement for train and/or station evacuation.
  - ii) Customer support (such as transportation from site, refreshments, temporary shelter; use of telephones and onward transportation to home or destination).
  - iii) Welfare requirements of rail staff involved.

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- 6.2.3 With regard to the train(s) involved, the Primary Support Operator should consult with the Owning Operator to reach an understanding of the response requirements, including any appropriate advice on the rolling stock that may be involved.
- 6.2.4 The Primary Support Operator should also come to an understanding with Owning and any Support Operators as to the allocation of roles and responsibilities during the incident response process to ensure the most effective use of resources. This will include determining whether there is any necessity to transfer the role of TOLO from Primary to Owning or Support Operator in order for a more effective response to be co-ordinated in accordance with the nature and circumstances of the incident, and the technical requirements for the recovery of rolling stock.
- 6.2.5 The Primary Support Operator should also implement adequate arrangements in conjunction with the infrastructure manager to manage the effects of the incident on the rest of the operational railway for which they are responsible. This may include:
- i) Contingency service arrangements, including rail replacement road transport and alternative routing determined in conjunction with Support Operators and other transport providers.
  - ii) Crowd management and customer support at stations directly or indirectly affected by the incident.
  - iii) Dealing with passengers stranded as a result of the incident in conjunction with the relevant Owning Operator(s).
  - iv) Appropriate customer information and travel advice, and specifically in accordance with Passenger Information During Disruption (PIDD) requirements.
- 6.2.6 In addition, the Primary Support Operator should also ensure that appropriate arrangements are put in place with the infrastructure manager, Owning and Support Operators to:
- i) Determine the requirements for evidence gathering and initial investigation, including any necessary co-ordination with the British Transport Police and investigatory bodies such as the the Rail Accident Investigation Branch (RAIB) and the Office of Rail and Road (ORR).
  - ii) Return the incident site to normal working at the earliest opportunity.
- 6.2.7 It is recommended that a separate cost centre be set up for response over and above the Primary Support Operator's own costs, in order to facilitate any claims for costs incurred back from the Owning Operator (and their insurers).



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### **Part 7 Charter and freight trains**

#### **7.1 Charter trains**

- 7.1.1 It is recognised that some passenger-carrying trains are operated by companies that are not members of the RDG Train Operators Operations Scheme and/or are not affiliated to RDG (such as privately operated steam or diesel locomotive hauled special trains) and therefore not subject to the same interfacing arrangements.
- 7.1.2 Primary Support Operators should apply the principles of this Approved Code of Practice in the event of an incident involving such a train on their line of route after reaching an appropriate understanding with the infrastructure manager and relevant Owing Operator.

#### **7.2 Responsibilities of Freight Operating Companies**

- 7.2.1 Where an incident involves a freight train, the owning Freight Operating Company (FOC) will normally implement its own specialist response in conjunction with the infrastructure manager.

#### **7.3 Responsibilities of infrastructure manager**

- 7.3.1 The infrastructure manager should consider the immediate nature and consequences of the incident and determine whether the railway undertaking Primary Support Operator may be better placed to provide a quicker interim response in agreement with the FOC concerned. This is particularly relevant for incidents that require chain of care and support to be carried out with the FOC traincrew involved.

### **Part 8 Competency of appointed TOLO**

#### **8.1 Role and appointment of TOLO**

- 8.1.1 The role of the TOLO is primarily to co-ordinate responses by the Primary, Owing and Support Operators at the incident site in support to the infrastructure manager. The recommended competency requirements for a TOLO are set out in RDG Guidance Note RDG-GN016 – Competence of Train Operator Liaison Officers (TOLOs).
- 8.1.2 The TOLO appointed on an initial basis does not need to have expert knowledge of the rolling stock involved but must have the ability to communicate with the Owing Operator for appropriate technical advice should it be necessary.

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### **Part 9 Maintaining response arrangements**

#### **9.1 Generic principles**

- 9.1.1 The Primary Support Operator should ensure that the arrangements implemented are maintained until such time that an understanding has been reached with the infrastructure manager, Owing and Support Operators that the incident has been satisfactorily concluded or responsibilities have been transferred elsewhere.

### **Part 10 Further reading**

#### **10.1 References**

- 10.1.1 Attention is drawn to the following:
- i) RIS-RT3118-TOM – Incident Response Planning and Management.
  - ii) GOGN3518 – Guidance on Incident Response Planning and Management.
  - iii) RDG Approved Code of Practice RDG-ACOP011 – Joint Industry Provision of Humanitarian Assistance Following a Major Passenger Rail Incident.
  - iv) RDG Guidance Note RDG-GN016 – Competence of Train Operator Liaison Officers (TOLOs).
  - v) RDG Guidance Note RDG-GN017 – Competence of Station Incident Officers (SIOs).