United Kingdom

National Safety Authority

(NSA)

Report 2008

OFFICE OF RAIL REGULATION

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Scope of the report

This report covers the period from 1 January 2008 to 31 December 2008; it is concerned with the UK mainline railway system as a whole and does not restrict itself to the interoperable railway. It does not include metros, trams and other light rail systems, networks that are functionally separate from the rest of the railway or privately-owned railway infrastructure that exists solely for the use by the infrastructure owner for its own freight operations.

Safety Authority responsibilities in the UK are shared between the Office of Rail Regulation (ORR) and the Department for Regional Development in Northern Ireland (DRDNI). ORR is the National Safety Authority (NSA) for England, Scotland and Wales (known collectively as Great Britain – GB) and the DRDNI is the safety authority for Northern Ireland. It has been agreed, however, that the GB safety authority, ORR, will represent Northern Ireland in relations with the European Rail Agency (ERA). Taken together, the two authorities carry out the functions of the safety authority of the UK. Part A of the report refers to Great Britain and Part B refers to Northern Ireland.

The Common Safety Indicator (CSI) data at Annex C relates only to rolling stock in motion and includes passengers, workers, members of the public and emergency services. This data is aggregated at the UK level, and therefore combines the data relating to GB and Northern Ireland.

Summary

The industry maintained a consistent or inproving trend in the majority of key risk areas. There were no passenger or workforce fatalities in train accidents in 2008, this is the third year in the last four with no fatalities. Five passengers died in separate incidents – all at stations, this is the lowest passenger fatality total recorded. Twelve pedestrians died at level crossings, the highest number of pedestrian fatalities since 1997.

We continued to address the risks associated with level crossing use and misuse. We looked closely at safety at user-worked level crossings and welcomed the GB infrastructure manager's plan to improve the management of risk at these crossings. We secured

improvements in switches and crossings maintenance on the mainline infrastructure building on findings from investigations into the Grayrigg incident in 2007 and also drove improvements in the infrastructure manager's regime of basic track inspections.

Introduction

This is the third Annual Safety Report produced and published by ORR as required by Article 18 of the Railway Safety Directive 2004/49/EC. It is published on both the ORR and ERA public websites, and will contribute to the ERA biennial report on safety performance in member states which will be published in 2010. The information in this report will be of interest to National Safety Authorities in other member states.

Article 18 of the Railway Safety Directive states;

Each year the safety authority shall publish an annual report concerning its activities in the preceding year and send it to the agency by 30 September at the latest. The report shall contain information on;

(a) the development of railway safety including an aggregation at member state level of the CSIs laid down in Annex I;

(b) important changes in legislation and regulation concerning railway safety;

(c) the development of safety certification and safety authorisation; and

(d) results of and experience relating to the supervision of infrastructure managers and railway undertakings.

ERA has updated and issued guidance and a template based on the experience of the first year of reporting. This report adheres to the suggested structure and content of the updated documents as much as practicable.

The following directives have been fully transposed into GB national law.

a) Directive 004/49/EC, Chapter II, Chapter III (excluding Article 13) and Chapter IV have been implemented by The Railways and Other Guided Transport Systems (Safety) (ROGS) Regulations 2006.

b) Directive 2001/16/EC and Directive 98/48/EC have been implemented by The Railways (Interoperability) Regulations 2006.

c) Directive 004/49/EC, Chapter III, Article 13 is implemented by the Railways (Access To Training Services) Regulations 2006 - known as 'ATS' or 'the ATS Regulations'. The ATS regulations came into force at the same time as ROGS.

Directive 004/49/EC, Chapter V has been implemented by The Railways (Accident Investigation and Reporting) Regulations 2005 in Great Britain and Northern Ireland.

Directive 004/49/EC has been implemented in Northern Ireland by the Railway Safety Management Regulations (Northern Ireland) 2006.

Part 1 - Great Britain

The Safety Authority for England, Scotland and Wales

1.1 The GB National Safety Authority, the Office of Rail Regulation, was established on 5 July 2004 under the Railways and Transport Safety Act 2003 as amended. ORR is an independent statutory body led by a Board. The Secretary of State for Transport makes appointments to the Board for a fixed term of up to 5 years. ORR has a range of statutory powers under the Railways Act 1993.

1.2 Our three-year corporate strategy was published in April 2006. The strategy set out our long-term vision for the mainline railway industry:

'a successful partnership of Network Rail, operators, suppliers and funders working together to meet the needs of passengers and freight customers, and deliver a safe, high performing, efficient and developing railway.'

1.3 ORR's five priority areas are:

- improving health and safety;
- securing improved efficiency and performance;
- securing robust plans for 2009 and beyond through the periodic review process;
- improving and aligning relationships and incentives in the industry; and
- being an efficient and effective combined safety and economic regulator.

1.4 We published our Corporate Strategy for the period 2009 – 2014 in December 2008. The new strategy is based on 7 themes; *focus on the needs of passengers and freight*

customers, now and for the future; excellence in health and safety culture and risk control, excellence in asset management, improved industry planning and timely efficient delivery of major projects; efficient use of capacity on the mainline network; development by the industry of the capabilities of its people; and high quality data and information for key decisions.

1.5 ORR's main office is in central London with additional offices at various locations across GB. In 2008 ORR employed around 320 people in total, covering safety and economic regulatory functions. Approximately half of this resource was allocated for safety regulation, including the NSA role.

1.6 During 2008 ORR's priorities for improving health and safety performance were to;

1.7 ORR's priorities for improving health and safety performance are to:

- continue to discharge our responsibilities to monitor and, where necessary enforce, to ensure compliance with health and safety law;
- deliver our targeted programmes of inspections, guided by our topic strategies, the outcome of our work in 2007-08, any emerging issues and information and intelligence.
- focus on priority topics including level crossings, track, worker safety and command, control and signalling, with competence issues as a key common thread;
- test the effectiveness of safety management systems as part of our ongoing programme to ensure compliance with ROGS;
- continue to review and update our topic strategies to ensure they are robust, support and underpin our inspection programmes and inform our future planning;
- focus our efforts on the most serious risks and areas where we can exert the greatest influence, and encourage duty holders individually and collectively to take risk-based decisions within the context of their safety management systems;
- issue the necessary certificates and authorisations under ROGS, the interoperability regulations, level crossing legislation and other statutory provisions;
- monitor industry health and safety performance and other sources of intelligence and ensure appropriate action is taken;
- investigate incidents and complaints where appropriate and ensure necessary remedial action is taken;
- take account of the findings of the investigations carried out by the Rail Accident Investigation Branch (RAIB), including ensuring the industry takes appropriate action in response to its recommendations;
- contribute to the work of the Channel Tunnel Safety Authority.

1.8 We continued to review the effectiveness of the industry and regulatory framework for the management of health and safety. This included:

- a review of our role in the setting and enforcement of industry standards, and the implications for the industry standards framework, to facilitate safe outcomes being delivered in the most efficient way;

- developing our strategy for monitoring and enforcing new interoperability requirements. This included those relating to passengers with reduced mobility;
- monitoring the effect of legislation, and putting forward recommendations for
- improvement;
- developing the means of implementing the train driver licensing directive, working with the Department for Transport (DfT) and the industry; and
- reviewing our policy position on key areas of health and safety including the
- monitoring and improvement of occupational health and reviewing our guidance on the interpretation of reasonable practicality

See Annex A1 for the mainline network map of Great Britain (GB).

See Annex A2 for list of railway undertakings and infrastructure managers having a service in Great Britain.

See Annex B1 for ORR organisation chart as at 31 December 2008.

See Annex B2 for the regulatory structure in GB and relationship between ORR and other rail industry stakeholders.

Development of railway safety

2.1 On 23 February 2007 the 17.15 Class 390 Virgin Pendolino train from London Euston to Glasgow derailed near Grayrigg in Cumbria at a speed of approximately 95 mph. The Rail Accident Investigation Branch (RAIB) published its report and recommendations in October 2008, the report can be found at http://www.raib.gov.uk/publications/investigation_reports/reports_2008/report202008.cfm. The RAIB found that a set of points were in an unsafe state. The Office of Rail Regulation (ORR) is following up the RAIB's recommendations. ORR is continuing their investigation into possible breaches of health and safety legislation.

2.2 CSI data has been now been collected for 3 years, see Annex C for graphs. Main points to note are below;

- *Accidents, fatalities and injuries:* There has been an increase over the last 3 years in level crossing accidents and fatalities at level crossings. There has also been an increase of fatalities to unauthorised persons but a steady reduction in the number of injuries to unauthorised persons;
- *Precursors:* There has been a reduction in all CSI precursors apart from a slight increase in wrong side signalling failures;

2.3 RAIB is required to address its recommendations to ORR as the national safety authority or to other public bodies or authorities. Over the course of the year RAIB published 27 reports containing a total of 181 recommendations, 172 of the recommendations were addressed to ORR. A total of 103 recommendations were closed during the year.

Important changes in legislation and regulation

3.1 No new legislation was introduced in 2008.

3.2 There were no new national safety rules notified in 2008.

The development of safety certification and authorisation

4.1 There have been no significant changes to our certification and authorisation regime which came into effect in April 2006 and fully implement the provisions of the directive

4.2 When we assess applications for safety certificates and authorisations, including amendment applications, our inspectors identify areas of concern and raise these with the duty holder.

4.3 ORR was subject to a peer review led by the French NSA and has participated in four peer reviews of other NSAs including taking the lead on the review of the French NSA. The final ERA report on peer reviews carried out to date is due to be produced in autumn 2009 and is expected to recommend that the process is continued for Part A Safety Certificates and that as a process it should be widened to other areas. The reviews allow NSAs to learn from each other but come at a high cost and are resource intensive.

4.4 Each duty holder has to provide evidence of how it plans to co-operate with other duty holders. We developed and published a statement which provided a summary of our role as the safety authority in line with ROGS 'duty of cooperation'.

4.5 Relevant national legislation and guidance can be found via the ORR website.

4.6 All Part A/B certificates and authorisations were issued within the four months foreseen in Article 12(1) of the Safety Directive.

4.7 There were no requests from other national safety authorities to verify/access information relating to a Part A/B certificate or authorisations issued in the UK.

4.8 We encountered no major problems using the harmonised format for Part A/B certificates. However the harmonised format can create some difficulty for limited operations. Europorte 2, a subsidiary of Eurotunnel, has Part B certificate authorising

an operation to rescue failed trains on HS1, the high-speed link between the Channel Tunnel and London. This operation does not fit into any category in the harmonised format and we have therefore treated it as a freight operator.

4.9 There were no major problems identified by railway undertakings or insfrastructure managers when applying for Part A/B certificates/authorisations. We revoked one safety certificate for a railway undertaking (RU) as it had not operated any services in the first year of the certificate, the RU sent us a new submission.

4.10 We hold regular formal liaison meetings (normally every 3 months) with railway undertakings/infrastructure manager to deal with any issues that may arise from the certification/authorisation procedure.

See Annex E for numerical data on safety certifications and authorisations

The supervision of railway undertakings and infrastructure managers

5.1 In addition to statutory and reactive work ORR's safety work programme consisted of two proactive components: one based on the identification of risk based topics applicable across the industry as a whole; and one based on duty holder specific issues.

5.2 Our topic strategies enabled us to plan inspection activities in accordance with our corporate strategy and business plan and the specific commitment that activities will primarily be driven by risk and the likely effectiveness of our intervention. The strategies set out what we aim to achieve and include potential work streams for ensuring that the risks associated with individual topics are properly managed by duty holders. Our topic strategies deal with health and safety management systems, level crossings and command control and signalling, employee safety, track, structures, rail vehicles and energy, track, occupational health, route crime and vehicle and animal incursion, railway operational incident risk and stations.

5.3 We produced an operating plan for the fiscal year to March 2009. As part of this plan our National Train and Freight Delivery Plan set out our inspection work with the mainline railway undertakings and our Network Rail Inspection Plan set out our inspection work with the infrastructure manager. The delivery plans outlined the resources applied to assignments. Each assignment relates to a topic strategy and may consist of a number of inspections. We do not plan a specific number of inspections and therefore cannot provide this figure.

5.4 Assignments have 3 main purposes:

- to direct inspector resources to priority areas and drive consistency in our

approach to different dutyholders;

- to capture the outcomes of the inspections systematically so as to judge and report upon the national safety performance.
- to use judgements about national performance to seek national and systematic improvements where necessary.

Summaries of main findings by topic and inspection assignment

5.5 We found that validation of the health and safety management systems (HSMS) of the infrastructure manager and transport operators on the national network gave a broadly positive picture, with staff competence management improving but we found some weaknesses in underlying safety culture and 'assessment in the line'. There were also several areas where their own monitoring was not effective in detecting gaps, some key assets were poorly managed (eg drainage) and safety verification for new works was not yet fully effective.

- **Level Crossings** – We found the maintenance of road crossings was generally good although there were some examples where standards were not followed locally. The IM was weaker in implementing required actions at user worked and footpath crossings but there was progress in accelerating the number of crossing closures.
- **Worker Safety** – We noted good progress in managing risk during track patrolling but there were examples of local failures to follow standards and procedures. There was some poor project management and attention to human factors in rolling out new equipment for trackworker safety. We found some progress in broader Controller of Site Safety (COSS) competences, include behaviour and group supervision skills, not just knowledge of rules. Our work drove better attention to health issues.
- **Track** – We were encouraged by improvements in signalling and control (S&C) maintenance information. Our focus on engineering access to the West Coast Mainline provided good reassurance of appropriate resource, hardware and maintenance management but we are of the view that a lack of independence compromises some post-maintenance inspections.
- **Railway operations** - We ensured rigour in the industry's proposed changes to possession management by inspecting trials of Track Occupancy Permits. We found there was generally good application of signal risk assessment process to new layouts and in the rolling program, however there was some inconsistency in interpretation. We found that route crime hotspots were well managed. There was largely sensible and risk-based management of lineside materials but some disappointing examples where projects managed clear up poorly.
- **Driver Management** - Generally there were robust systems in place for the selection, recruitment and monitoring of drivers. However there appeared to be some inconsistency in the content and application of company and Railway Group Standards (RGSs). This may be due to differences in interpretation and we plan to further at this issue in the future.
- **Low Adhesion** - Each train operator had a clear understanding of the risk associated with low rail adhesion, and had documented plans in place. We found processes in place for the timely dissemination of adhesion-related information

to drivers, effective co-operation between train operators and the infrastrucure manager during the lead up to the Autumn/Winter period, and regular liaison during the periods of low rail adhesion.

- **Management of rolling stock maintenance** - Generally train operators complied with their SMSs and underpinning procedures. The use of industry standards resulted in a consistency of approach to rolling stock maintenance We needed to take enforcement action against one operator who was not following their SMS processes - it was extremely concerning that the supporting procedures described in their SMS did not exist.
- **Management of change** - Operators were generally found to be undertaking their procedures and risk assessments in a satisfactory fashion. However weaknesses were found in relation to transition management and also how, when and by whom decisions on approving a change need to be applied. Monitoring of the change implementation was an area where most organisations needed to improve although a number of organisations have begun to review the effectiveness of their change management in securing change, safely.
- **Driver fatigue** - Generally systems were found to be of a reasonable standard. However there were some areas of concern, including systems being undermined by a shortage of drivers and a failure to include fatigue management when planning rosters. We remain concerned where companies set limits on working hours based on recommendations made over 20 years ago, as we believe the so called "Hidden limits" do not prevent certain individuals becoming extremely fatigued.

Conclusions and future priorities

6.1 Safety performance in the rail industry is on an improving trend in a number of areas but some weaknesses such as level crossing accidents and wrong-side signalling failures remain.

6.2 Our vision for Britain's railways as outlined in our published strategy for 2009-2014 is:

Zero workforce and industry-caused passenger fatalities, with an ever decreasing overall safety risk

H.3 Our goal is for all parts of the railways to have excellent health and safety culture and risk control processes. To achieve this we will:

- introduce more systematic audit, as well as inspection, of dutyholders's management systems, incident investigations and action tracking processes.
- make greater use of our powers to ensure that duty holders measure their safety culture and identify and address weaknesses.
- use our influence, and if necessary take regulatory action, so that all duty holders implement good practice for managing occupational health.
- use our powers to ensure the industry manages in an effective way the safety of the railway system as a whole, and the safety interfaces between different companies and organisations.

Part 2 - Northern Ireland

Scope of the Report

1.1 This section of the report covers the railway system in Northern Ireland for the period 1st January 2008 to 31st December 2008. There are no metros, trams or other light rail systems in Northern Ireland, nor is there any privately owned railway infrastructure.

1.2 Translink is the brand name of the integrated public transport operation of Citybus, NI Railways (NIR), and Ulsterbus. NIR operates a fully integrated system, acting as both Infrastructure Manager and Train Operator. The Department for Regional Development assists Northern Ireland Railways to operate rail services. Funding helps maintain and develop the rail infrastructure, (track, stations, bridges, level crossings) and rolling stock, which includes trains, equipment and associated plant machinery.

1.3 Heritage and Tourist Railways in Northern Ireland are privately owned and run, for the most part on dedicated track They do not provide passenger services for the travelling public and are not funded by the Department. They are however a valuable tourist and heritage amenity.

1.4 All railway operators in Northern Ireland including light and heritage railways are required to comply with regulations introduced by the Department to further improve railway safety. In some circumstances heritage railways operating on their own tracks and at a line speed that does not exceed 25mph/40km may be exempted from some regulations where the Department is satisfied that the safety of passengers and the general public is not compromised.

See Annex F for Northern Ireland railway network map

Safety authority for Northern Ireland

2.1 In Northern Ireland the Safety Authority for the purpose of implementing the Railway Safety Management Regulations(Northern Ireland) 2006, is the Department for Regional Development, established by article 3(1) of the Departments (Northern Ireland) Order 1999

2.2 The Department's key responsibilities as Safety Authority are:

- to ensure that Northern Ireland Railways, the operator of the public railway service in Northern Ireland manages the network efficiently and in a way that meets the needs of its users;
- to encourage continuous improvement in health and safety performance;
- to secure compliance with relevant health and safety law, including taking enforcement action as necessary;
- to develop policy and enhance relevant railway health and safety legislation; and
- to issue or refuse safety certificates to railway operators in accordance with the Railway Safety Management Regulations.

2.3 The Safety Authority duties is managed by the Department's Ports and Public Transport Division, 3rd Floor Clarence Court 10-18 Adelaide Street, Belfast BT2 8GB.

2.4 The Department's role as Safety Authority for Northern Ireland is to:

- provide the appropriate regulatory framework so that railway safety is generally maintained and, where reasonably practicable, continuously improved;
- assess each duty holder's application for safety certificates and authorisations, including its co-operation arrangements; and
- assess whether safety is being achieved by inspecting duty holders' safety management systems (SMSs) and assessing available safety information and data.

- authorise the placing into service of structural subsystems in Northern Ireland on the UK trans-European network; and check that they are operated and maintained in accordance with the essential requirements.

Development of railway safety in Northern Ireland

3.1 The Railway Safety Management Regulations (Northern Ireland) 2006 are aimed at harmonising safety standards on the NI railway network. These regulations enable Northern Ireland to play a full part in the development of the single European railway. Specifically the new framework for rail safety will:

- bring together and streamline rail safety requirements to secure greater proportionality to risk and reduce costs; and
- apply the same principles of regulation to heritage and tourist railways, but only in proportion to risk and the character of the railway operation.

In 2007, under the streamlining programme, three sets of proposed NI regulations were replaced by one, making safety regulation more effective, better focused, more coherent and less bureaucratic.

Common Safety Indicators (CSIs)

3.2 CSI data has been collected. The data is broadly similar to that for 2006 and there is therefore insufficient historical data for comparisons or the identification of trends. This area will remain under consideration to determine trends in future years.

Rail Accident Investigation Branch

3.3 The Rail Accident Investigation Branch (RAIB) established by the Railways and Transport Safety Act 2003 is established on a UK-wide basis and undertook two investigations in NI in 2007.

- The first investigation was of a derailment of a Northern Ireland Railways (NIR) ultrasonic test train running from Portrush to Coleraine at Cromore County

Antrim on 14th April 2007. No-one was injured in this accident; the underside of the test vehicle was severely damaged, and there was minor damage to the track. NIR cooperated fully with the investigation. Seven recommendations were made, five of which were directed at NIR. Three of these recommendations have been completed, one is in progress and the Department, as the Safety Authority, is currently in discussion with NIR regarding implementation of the final recommendation.

- The second investigation was of a collision involving a passenger train operated by NIR and a tractor on a user worked crossing (XL202) on the Londonderry line on 2nd August 2007. The tractor driver was killed in the accident and the train driver suffered shock and was taken to hospital. The passengers on the train and the remaining member of staff were uninjured. The train was damaged in the collision and the tractor was destroyed. The RAIB report makes clear conclusions into the causes of the accident. The immediate cause of the accident was that the tractor driver drove his vehicle onto the crossing as the train approached. Arising from their investigation, the RAIB made six recommendations directed at NIR. Four of the recommendations are in progress and NIR are in discussion with the Department regarding implementation of the remaining two recommendations.

Important legislative changes

4.1 The Railway Safety Management Regulations (Northern Ireland) 2006 were made on 25th May 2006 implement in Northern Ireland part of the EU Railway Safety Directive 2004/49/EC(RSD) aimed at harmonising safety standards on the European Railway Network.. The regulations were made under the Health and Safety at Work (Northern Ireland) Order 1978 as the detail of the Directive applies to the safety of workers and passengers. This is in line with Government policy to use related domestic legislation, instead of section 2(2) of the European Communities Act, unless there are good reasons to do otherwise.

4.2 The Regulations which came into force on 30th June 2006, contain transitional provisions requiring NIR to comply with the provisions of regulations 3(1) and (2) by 30th June 2008. These provisions contain prohibitions in relation to the operation of trains or vehicles on any railways and the management and use of infrastructure unless a person has established and is maintaining a safety management system and in specified cases has a safety certificate in relation to the operation of vehicles or a safety authorisation in relation to the management and use of infrastructure. Part 2 also makes provision in relation to requirements for a safety management system, the issuing, amendment and revocation of safety certificates and authorisations and for the giving of notices to the Department.. Part 3 of the Regulations provides for general duties on any railway operators subject to the duties in Part 2 to carry out risk assessment, co–operate with each other and certain other persons and to prepare an annual safety report to the Department by 31st August each year.

4.3 The Department for Transport (DfT) in London have implemented the remaining provisions of the RSD on a UK-wide basis, in part through regulations detailing the functions of the RAIB. The RSD requires Member States to create a regulatory framework for rail safety and a Safety Authority. In Northern Ireland railway operators are already subject to the general duties in Sections 2 and 3 of the Health and Safety at Work (NI) Order 1978 (HSWO) which set out the level of safety to be achieved for

both workers and the public. In line with the requirements of RSD, these requirements must be generally maintained, but we believe there is no need for additional general duties of this nature to be placed on railway operators for the reasons given above.

4.4 The Department introduced the Cross-Border Railway Services (Working Time) Regulations (NI) 2008 on 23 July 2008. These Regulations implement the provisions of Council Directive 2005/47/EC on certain aspects of the working conditions of mobile workers engaged in interoperable cross-border services in the railway sector. These regulations mirror those introduced in GB and ensure UK compliance with this Directive.

4.5 The Regulations lay down a number of minimum working conditions, covering in particular: minimum daily and weekly rest breaks and limitations on nights spent away from home. Stricter rules apply to drivers as opposed to other members of the train crew.

4.6 Currently, the only Northern Ireland operators crossing an international border i.e. the border between Northern Ireland and the Republic of Ireland and who are covered by this legislation are NIR as part operator of the joint cross-border passenger service with Iarnrod Eireann between Belfast and Dublin). In introducing all railway legislation particularly EU rail safety requirement the Department as the safety Authority in NI liaise closely with colleagues in the Department of Transport Dublin. This is particularly important because of the shared Enterprise Service between Belfast and Dublin operated jointly by Northern Ireland Railways and Iarnrod Eirean as well as other cross border services operated separately by both companies.

Development of Safety Certification and Authorisation

5.1 An application for a first safety certificate was submitted by NIR in January 2008. The Department duly confirmed acceptance of NIR's safety authorisation and certification process on 30th June 2008 and a Part A and Part B certificates were issued to NIR .

5.2 We received no requests in this period from other National Safety Authorities to verify/ access information relating to a Part A certificate of a railway undertaking that has been certified in the UK but applies for a Part B certificate in another member state.

Procedural Issues

5.3 No specific procedural issues were raised by NIR during the period covered by this report. This is partly due to the fact that the Department continues to work closely with NIR on all aspects of railway safety on the NI rail network.

5.4 The main routes for NIR to express opinion on issuing procedures, practices or to file complaints is through the on-going contact between them and the Department. .

Safety Authorisations

5.5 No updated, amended or part authorisations have been issued in this period. This is partly due to the fact that the Department continues to work closely with NIR on the development of their application for authorisation.

Procedural Issues

5.6 No specific procedural issues were raised by NIR during the period covered by this report. This is partly due to the fact that the Department continues to work closely with NIR on the development of their application for authorisation.

The supervision of railway undertakings and infrastructure managers

6.1 In Northern Ireland, the day to day supervision of the health and safety performance of the railway industry is undertaken through the Railway Safety Management Regulations(Northern Ireland) 2006 where the Safety Authority is DRD

6.2 The Department also continues to work closely with its counterpart in the Republic and the two railway operators on the island, NIR and Irish Rail, on all EU issues and mutual railway safety matters as they impact on the shared service between Belfast and Dublin.

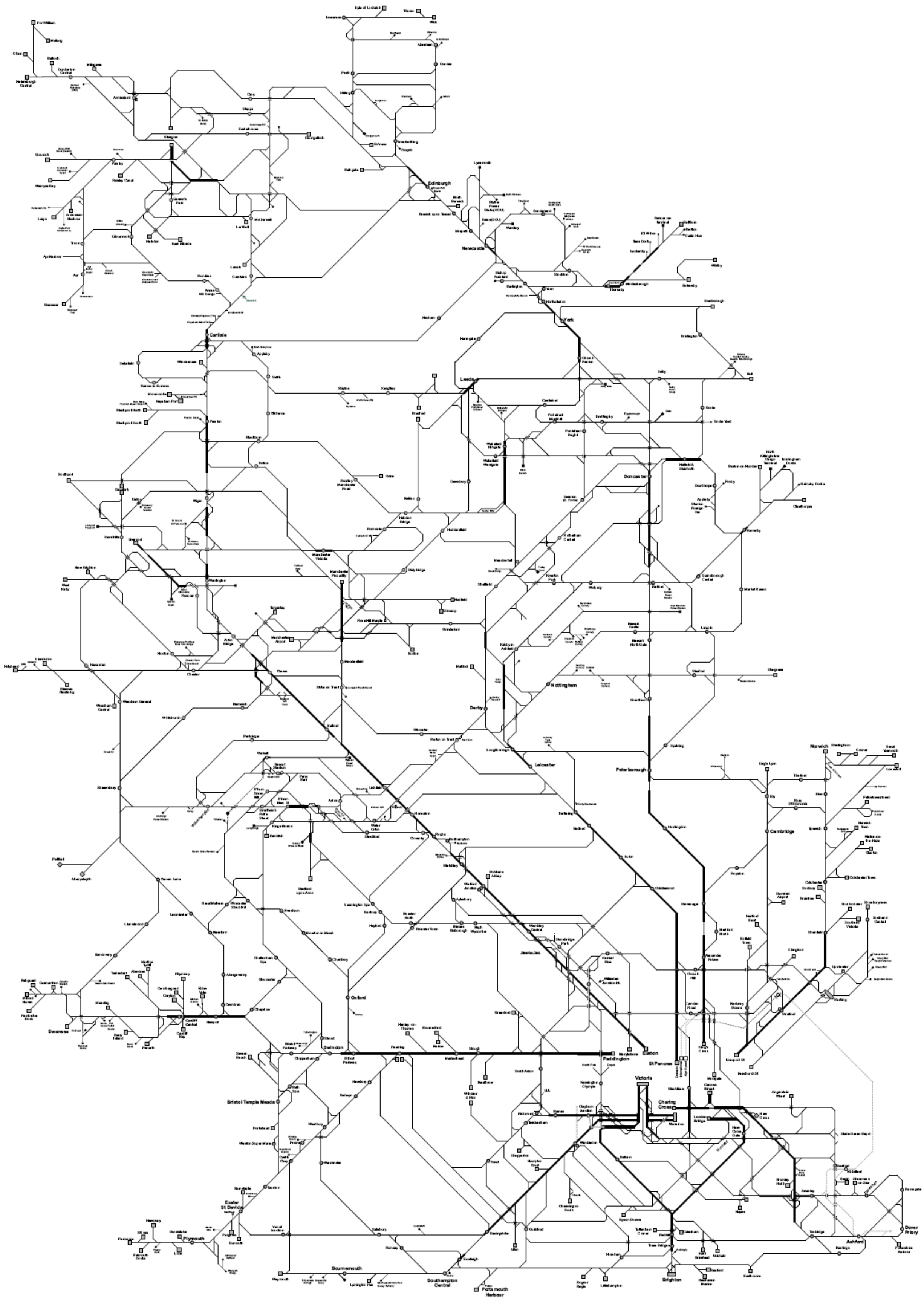
Conclusions

6.1 Northern Ireland has historically a low level of serious rail incidents. This situation has been maintained during 2008.

6.2 The Railway Safety Management Regulations (Northern Ireland) 2006 which came into effect on 30th June 2006 provides an adequate legislative framework for the Department to continue to work with NIR to ensure smooth implementation of its safety management system.

6.3 During 2009-10 we will continue to press for improved safety, performance and efficiency on the Northern Ireland railway network and we will take action on under-performance as necessary.

Annex A I


Edinburgh
Glasgow
Newcastle
Carlisle
York
Leeds
Doncaster
Crewe
Derby
Nottingham
Leicester
Peterborough
Norwich
Cambridge
Oxford
Swindon
Paddington
Euston
St Pancras
Victoria
Charing Cross
Waterloo
London Bridge
Bristol Temple Meads
Exeter St Davids
Plymouth
Southampton Central
Portsmouth Harbour
Brighton
Ashford

Annex A2

List of railway undertakings and infrastructure managers in GB

Train operating companies			
Name	**Address**	**Website**	**Comments**
Arriva Trains Wales Ltd	St Mary's House 47 Penarth Road Cardiff CF10 5DJ	www.arrivatrainswales.co.uk	
Chiltern Railway Company Ltd	Great Central House Marylebone Station Melcombe Place London NW1 6JJ	www.chilternrailways.co.uk	
c2c Rail Ltd	Floor 11 207 Old Street London EC1V 9NR	www.c2c-online.co.uk	
XC Trains Ltd (Cross Country)	85 Smallbrook Queensway Birmingham B5HA	www.crosscountrytrains.co.uk	

Train operating companies			
Name	**Address**	**Website**	**Comments**
East Midlands Trains Ltd	Friars Bridge Court 41-45 Blackfriars Rd London SE1 8NZ	www.eastmidlandstrains.co.uk	
Eurostar (UK) Ltd	Times House Bavington Walk London N1 9AW	www.eurostar.com	
First Capital Connect Ltd	Hertford House 1 Cranwood Street London EC1V 9QS	www.firstcapitalconnect.co.uk	
First Great Western Ltd	Milford House 1 Milford Street Swindon Wiltshire SN1 1HL	www.firstgreatwestern.co.uk	
Hull Trains Company Ltd	Premier House Ferensway Hull HU1 3UF	www.hulltrains.co.uk	
First ScotRail Ltd	Atrium Court 50 Waterloo Street Glasgow G2 6HQ	www.firstgroup.com/scotrail	
First Keolis Holdings Ltd (Transpennine Express Ltd)	Floor 7 Bridgewater House 60 Whitworth St Manchester M1 6LT	www.tpexpress.co.uk	
Gatwick Express Ltd	7 Triton Square London NW1 3HG	www.gatwickexpress.com	
Grand Central Railway Company Ltd	River House 17 Museum Street York YO1 7DG	www.grandcentralrail.co.uk	

Train operating companies

Name	Address	Website	Comments
Heathrow Express Operating Company Ltd	The Compass Centre Nelson Road Hounslow Middlesex TW6 2GW	www.heathrowexpress.com	
London Eastern Railway Ltd (National Express East Anglia)	Floor 1 Oliver's Yard 55 City Road London EC1 1HQ	www.nationlexpresseastanglia.com	
London and Birmingham Railway Ltd (London Midland)	102 New Street Birmingham B2 4JB	www.londonmidland.com	
London Overground Operations Ltd	Great Central House Marylebone Station Melcombe Place London NW1 6JJ	www.lorol.co.uk	
Merseyrail Electrics (2002) Ltd	Rail House Lord Nelson Street Liverpool L1 1JF	www.merseyrail.org	
National Express East Coast Ltd	7 Triton Square London NW1 3HG	www.nationalexpresseastcoast.com	
Northern Rail Ltd	Northern House 9 Rougier Street York YO1 6HZ	www.northernrail.org	
London and Southeastern Railway Ltd (T/A Southeastern)	Friars Bridge Court 41-45 Blackfriars Rd London SE1 8PG	www.southeasternrailway.co.uk	
Stagecoach South Western Trains Ltd (T/A South West Trains)	Friars Bridge Court 41-51 Blackfriars Road London SE1 8NZ	www.southwesttrains.co.uk	

Train operating companies			
Name	**Address**	**Website**	**Comments**
New Southern Railway Ltd (T/A Southern)	Go-Ahead House 26-28 Addiscombe Road Croydon Surrey CR9 5GA	www.southernrailway.com	
Virgin West Coast Trains Ltd (Virgin West Coast)	120 Campden Hill Road London W8 7AR	www.virgintrains.co.uk	

Freight Operating companies

Name	Address	Website
Amey Infrastructure Services Ltd	Appleford Road Sutton Courtenay Abingdon Oxon OX14 4PP	
DB Schenker Rail (UK) Ltd	Lakeside Business Park Carolina Way Doncaster DN4 5PN	www.rail.dbschenker.co.uk
Freightliner PLC	3rd Floor The Podium 1 Eversholt Street London NW1 2FL	www.freightliner.co.uk
Freightliner Heavy Haul Ltd	3rd Floor The Podium 1 Eversholt Street London NW1 2FL	www.freightliner.co.uk
GB Railfreight Ltd	15-25 Artillery Lane London E1 7HA	www.gbrailfreight.com
Advenza Freight Ltd	PO Box 22 Gloucestershire GL11 5YA	www.advenza.com
Direct Rail Services Ltd	Kingmoor Depot Etterby Road Carlisle CA3 9NZ	www.directrailservices.com

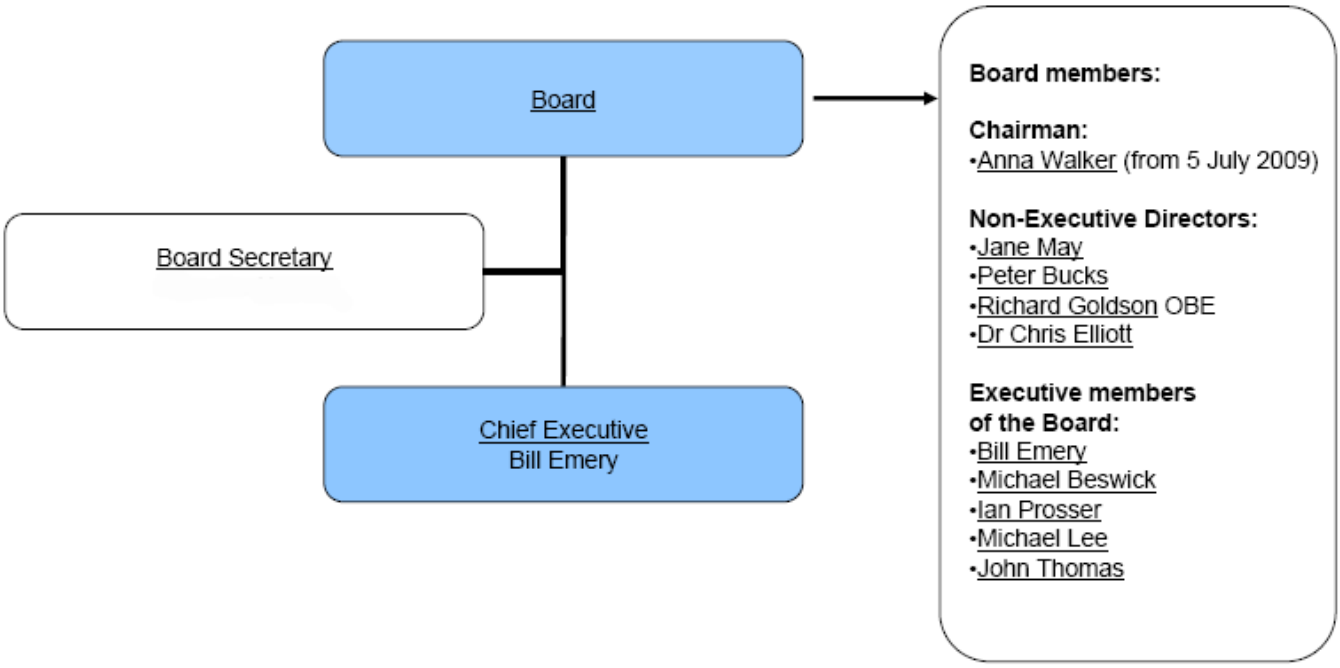
Infrastructure managers

Name	Address	Website
Network Rail (CTRL) Ltd	40 Melton Street London NW1 2EE	www.networkrail.co.uk
Network Rail Infrastructure Ltd	40 Melton Street London NW1 2EE	www.networkrail.co.uk

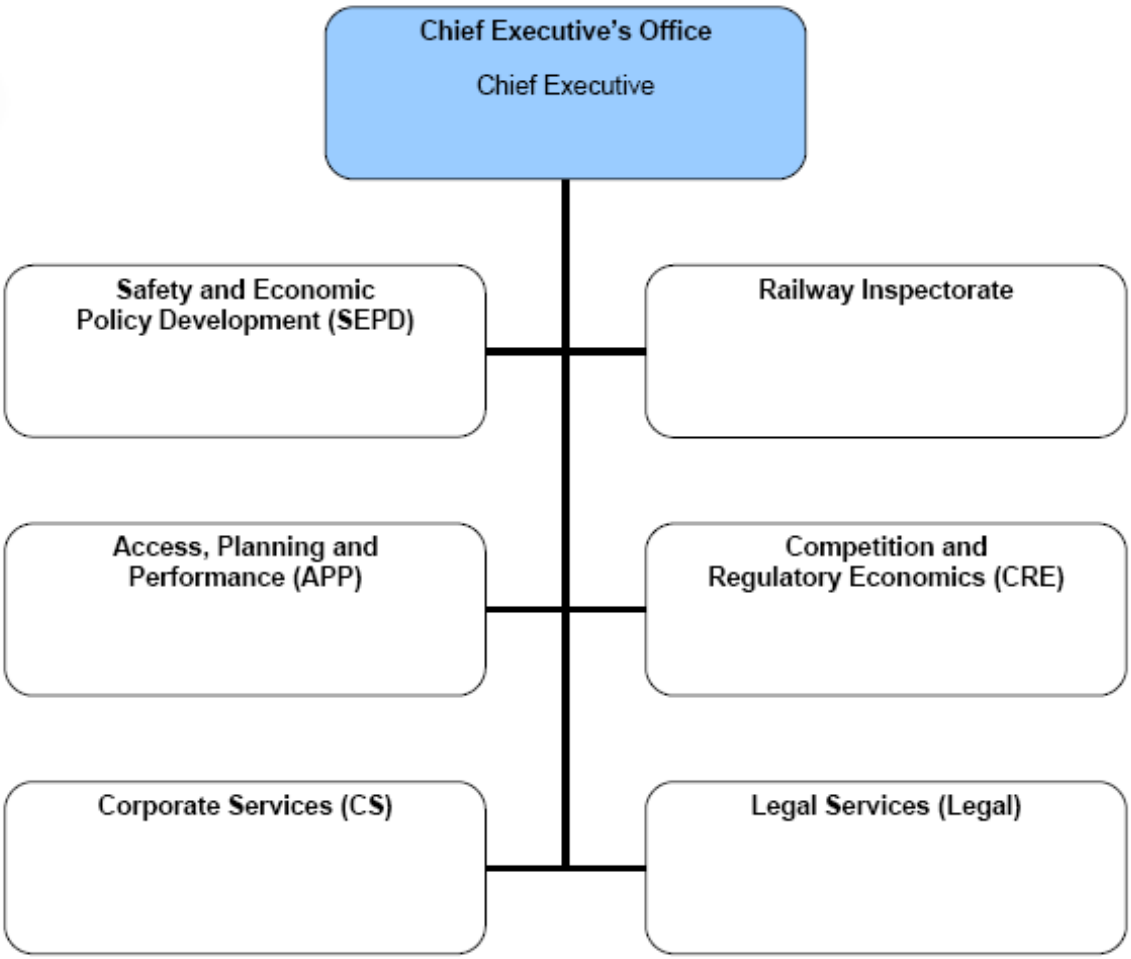
Contractors		
Name	**Address**	**Website**
Balfour Beatty Rail Plant Ltd	Manor Lane Hither Green London SE12 0UA	www.bbrail.com
Carillion Construction PLC	24 Birch Street Wolverhampton WV1 4HY	www.carillionplc.com
COLAS Rail Ltd (formerly AMEC SPIE)	Dacre House 19 Dacre Street London SW1 0DJ	www.colasrail.co.uk
First Engineering	3 Lister Way Hamilton International Park Blantyre Scotland G72 0UY	www.firstengineering.co.uk
Grant Rail Group Ltd	Lakeside 1 Carolina Way Doncaster South Yorkshire DN4 5RA	www.grantrail.co.uk
Harsco Track Technologies Ltd	Grove House Grove Road Northfleet Kent DA11 0AX	www.harscotrack.com
Jarvis Fastline Ltd	Meridian House The Crescent York YO24 1AW	www.fastline-group.com
Serco Ltd	Derwent House London Road Derby DE24 8UP	www.serco.com

Annex B1

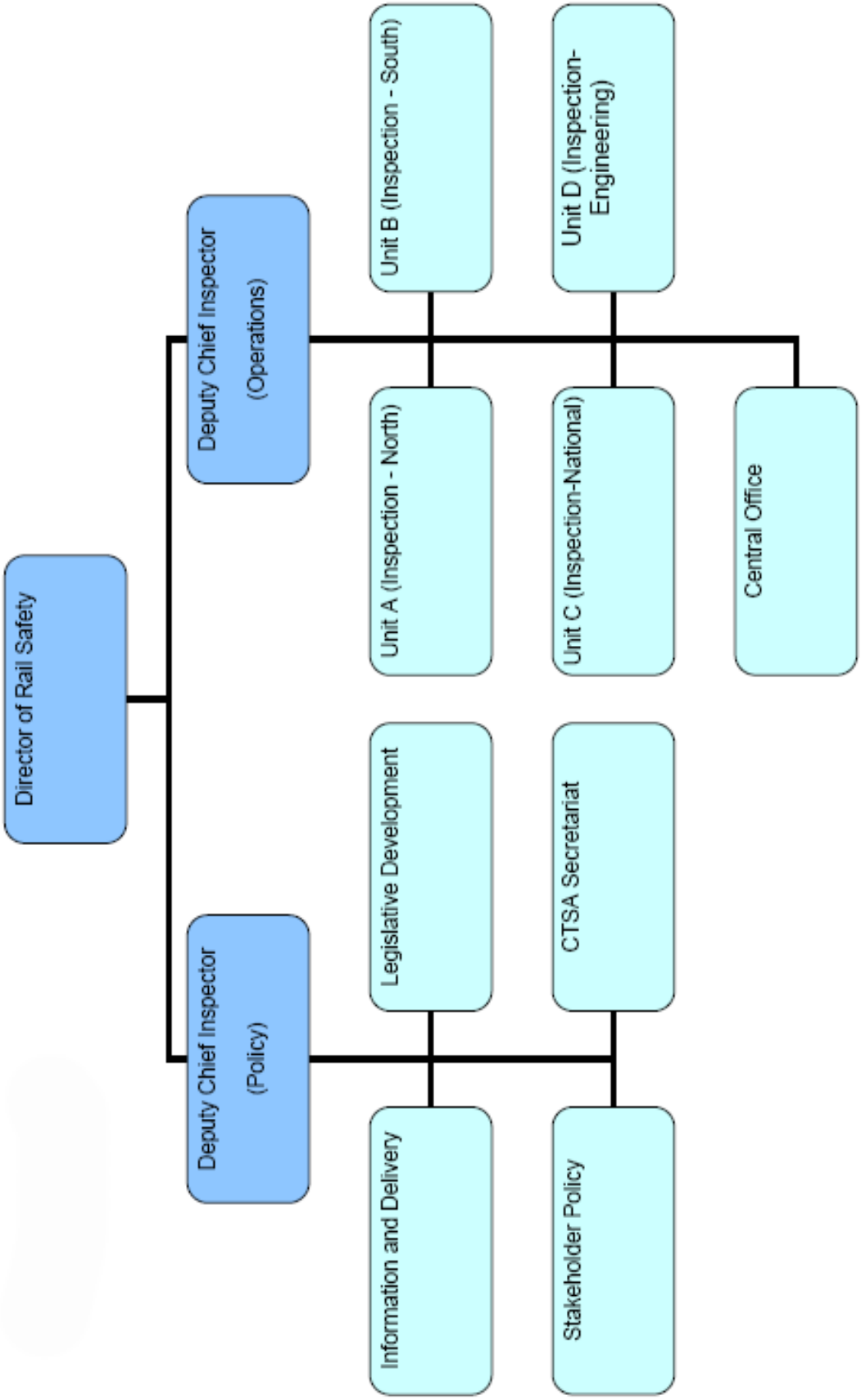
ORR structure



ORR directorate structure



Railway safety structure



Operational team's responsibilities

Unit A	Scotland Area Team Midlands Area Team London North East Area Team London North West Area Team London Northern Administration Team
Unit B	London Metro Team Kent and Anglia Area Team Sussex and Wessex Area Team Western Area Team
Unit C	Network Rail Team (Team A) Network Rail Team (Team B) Human Factors, Risk and SMS Railway Operations NET Rail Companies and Contractors Team
Unit D	Rail Vehicles Command Control and Signalling NET Infrastructure and Energy Schemes NET Level Crossings NET

Area teams inspect the activities of duty holders operating within their geographical area. Each team is assigned a number of duty holders for whom an inspector acts as Account Holder, coordinating our work nationally with that company. This includes work on Safety Certificates and some technical initial integrity projects. Area teams also undertake reactive work in response to complaints and reported incidents. The Area Team Manager determines which incidents will be investigated and where appropriate, coordinates input to investigation by colleagues elsewhere in HMRI, e.g. National Expertise Teams.

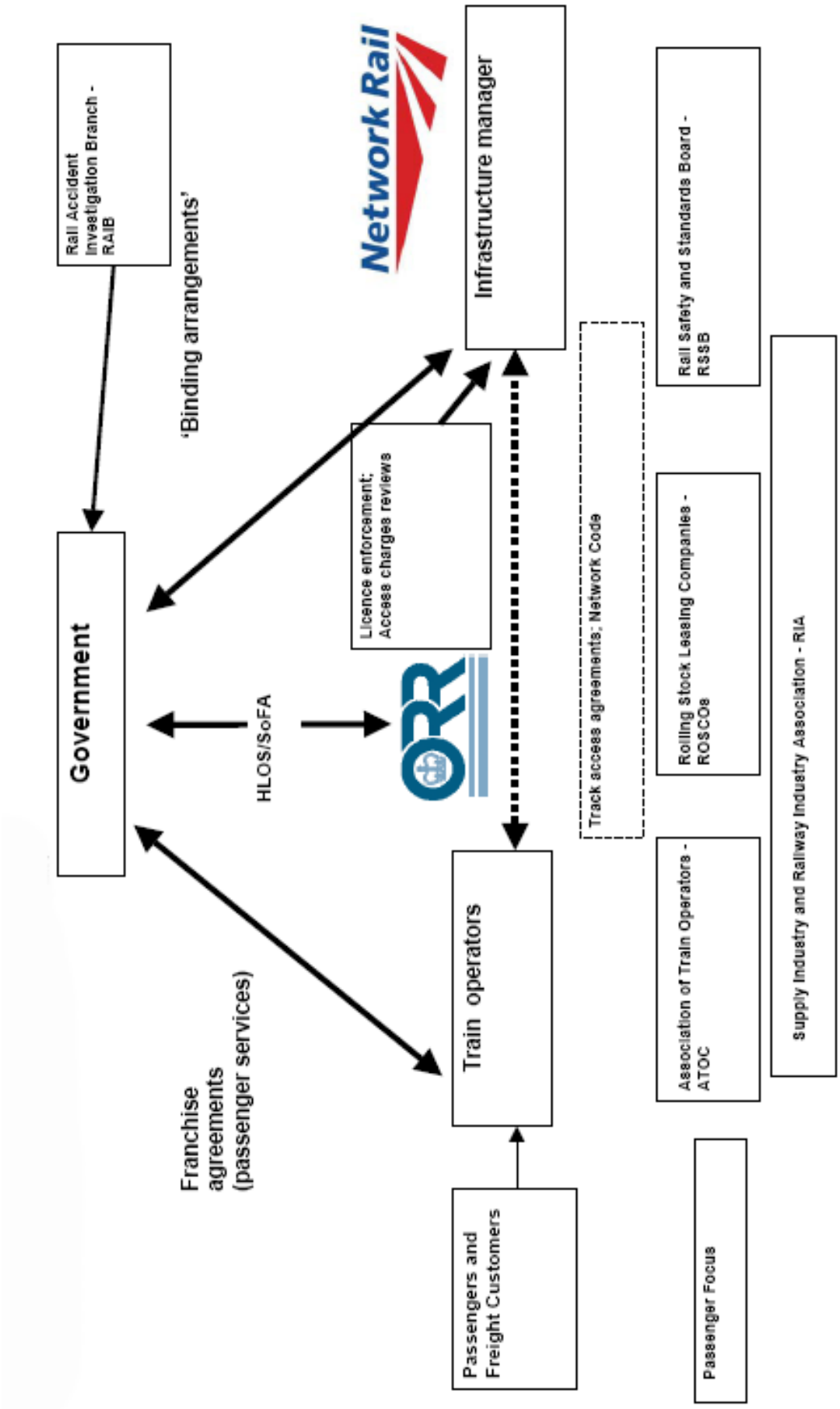
National Expertise Teams provide advice, guidance and detailed technical within their specific areas.

Policy team's responsibilities

Legislative Development Team	Operational policy Generic and rail specific legislative development Interoperability and standards
Stakeholder policy Team	Rail Accident Investigation Branch policy Government and non-government stakeholder engagement Support to major incident investigations Enforcement policy and allocation
Information and Delivery Team	Topic strategies Information and intelligence Process management Legal support Rail Accident Investigation Branch recommendation handling process.
Channel Tunnel Safety Authority Secretariat	Secretariat to the Channel Tunnel Intergovernmental Commission (IGC) and Cannel Tunnel Safety Authority (CTSA)

Annex B2

Regulatory Structure in Great Britain

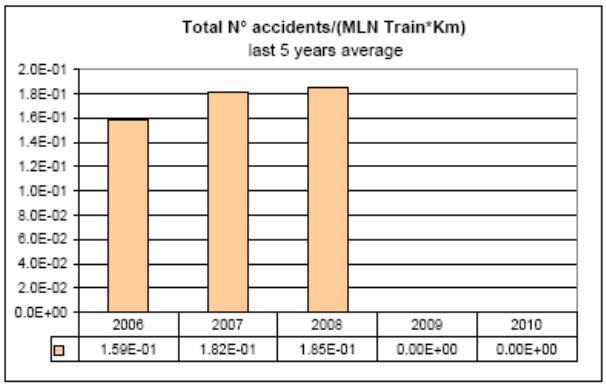

Rail Accident Investigation Branch - RAIB
'Binding arrangements'
Network Rail
Infrastructure manager
Government
Licence enforcement; Access charges reviews
HLOS/SoFA
ORR
Track access agreements; Network Code
Rail Safety and Standards Board - RSSB
Rolling Stock Leasing Companies - ROSCOs
Association of Train Operators - ATOC
Supply Industry and Railway Industry Association - RIA
Franchise agreements (passenger services)
Train operators
Passengers and Freight Customers
Passenger Focus

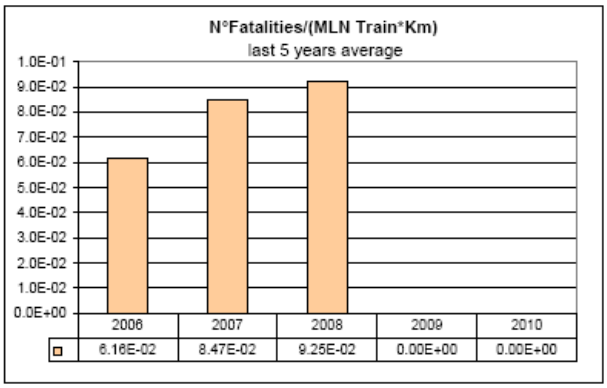
Annex C

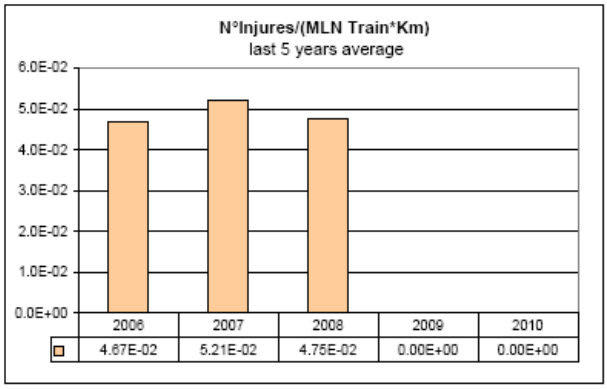
Common Safety Indicator data

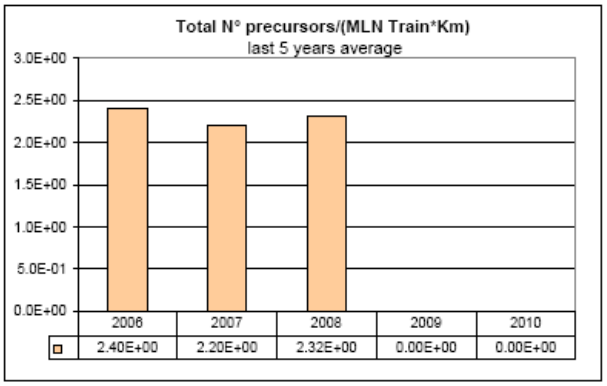
Chart 1 CSI's data

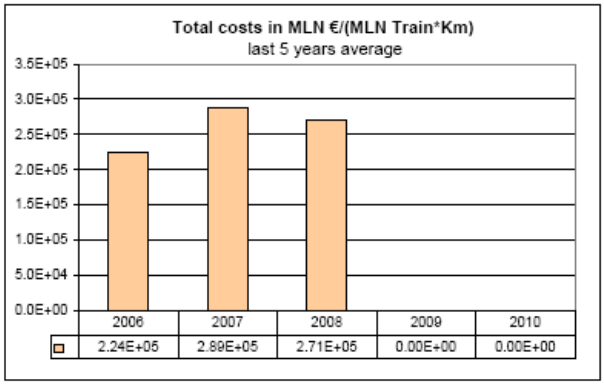
Performances at a glance





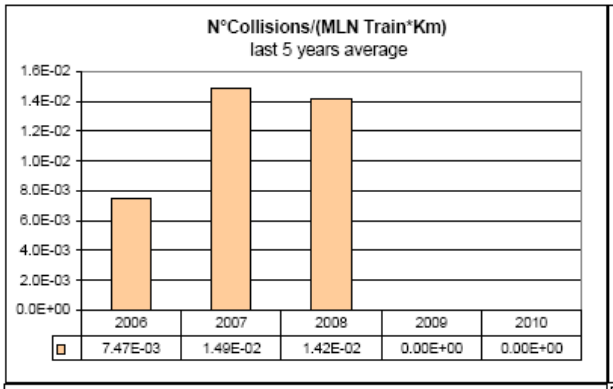


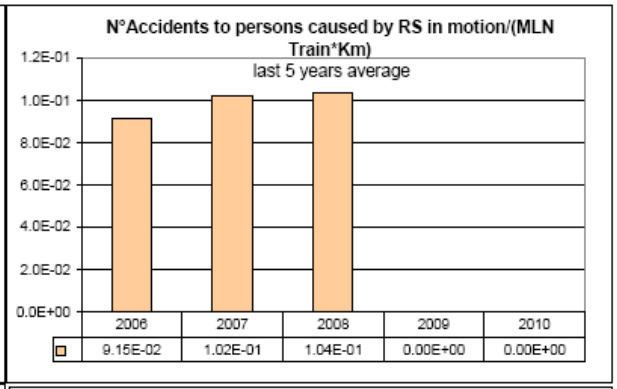


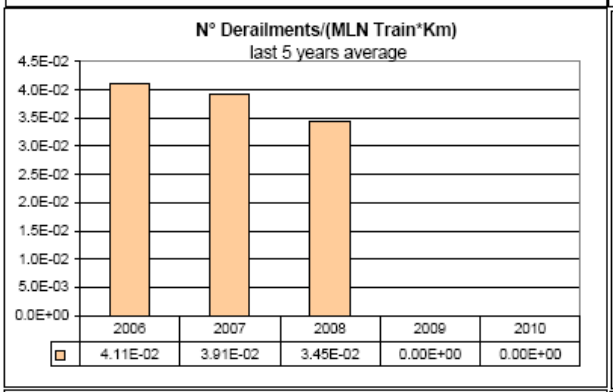


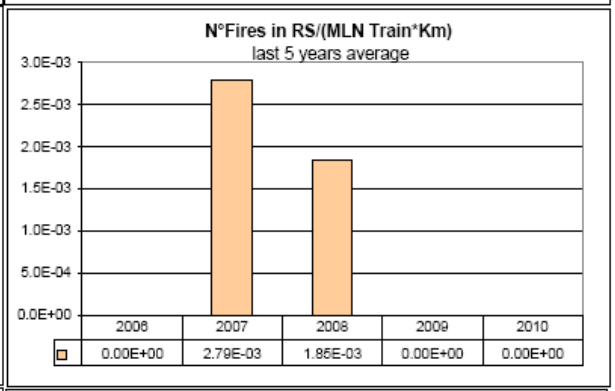
2007 report: values related to 2006.
2008 report: values related to the average between 2006 and 2007.
2008 report: values related to the average among 2006, 2007 and 2008.
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

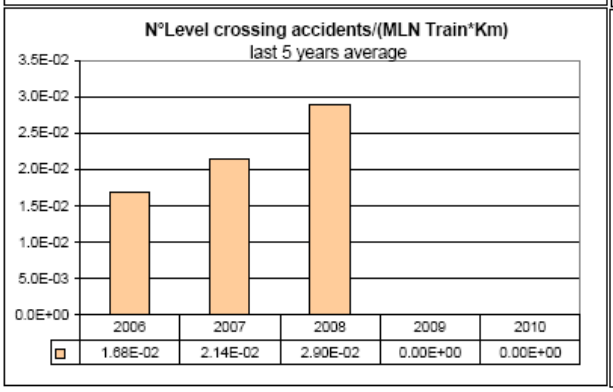
Accidents divided by type

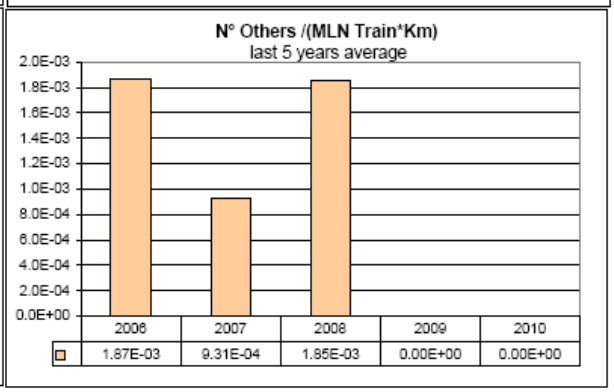






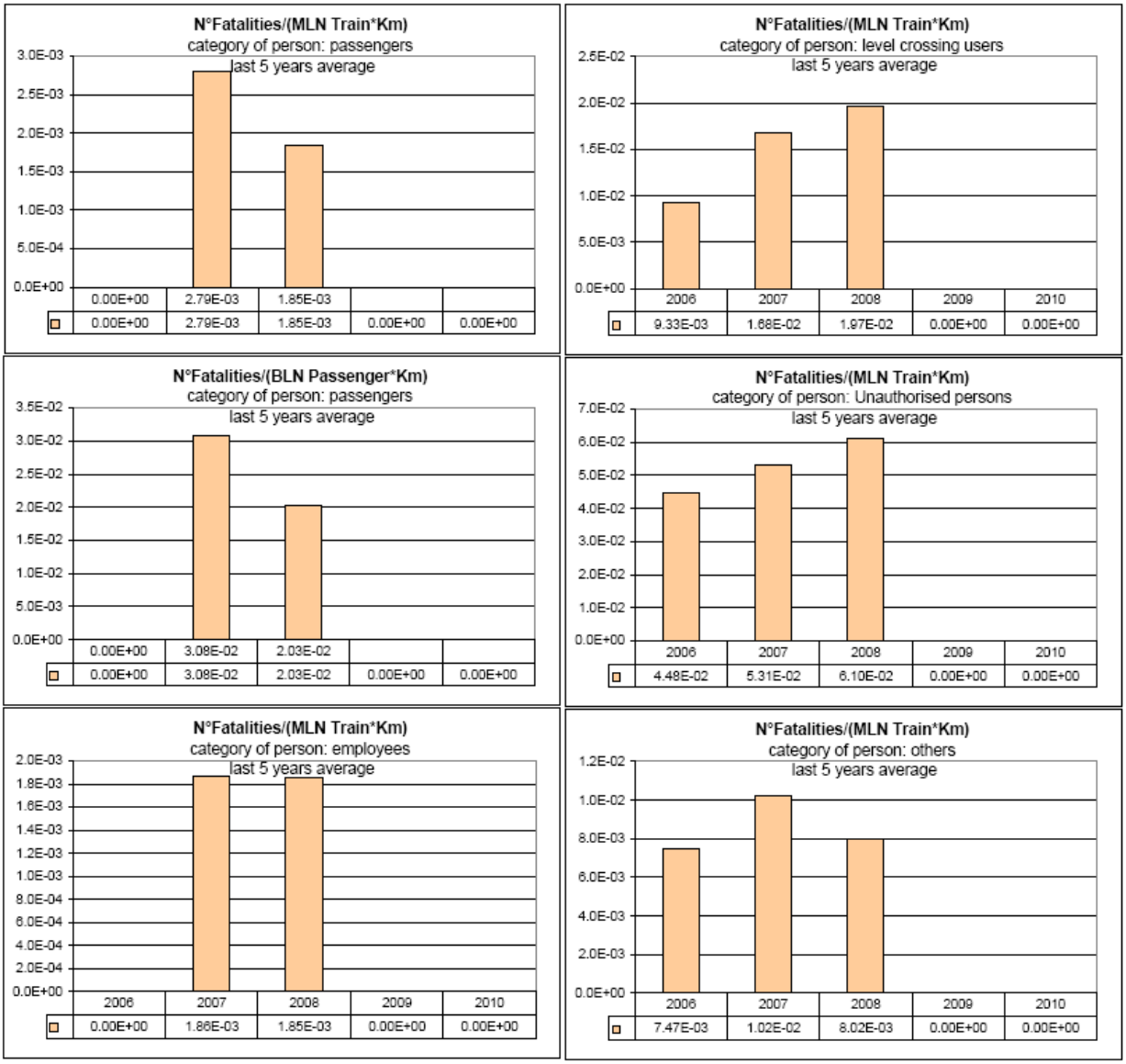






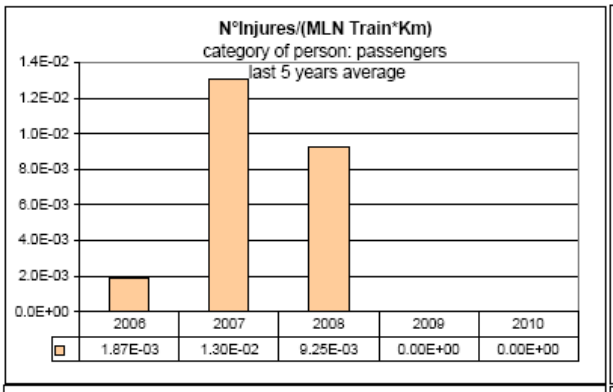
2007 report: values related to 2006.
2008 report: values related to the average between 2006 and 2007.
2008 report: values related to the average among 2006, 2007 and 2008.
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

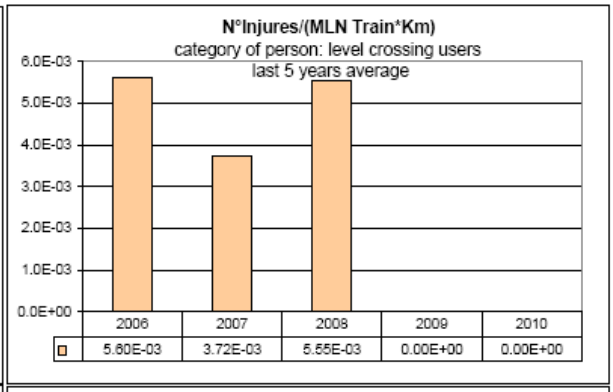
Fatalities divided by category of people involved

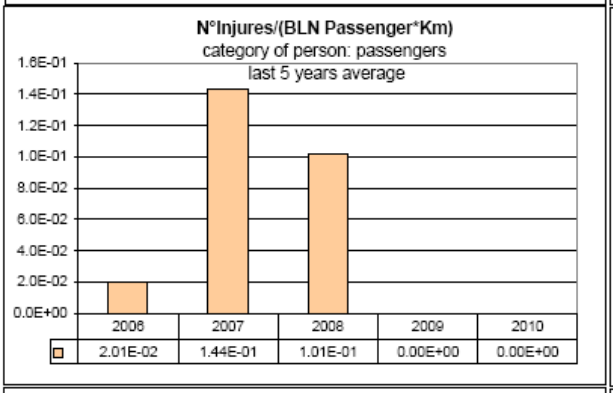


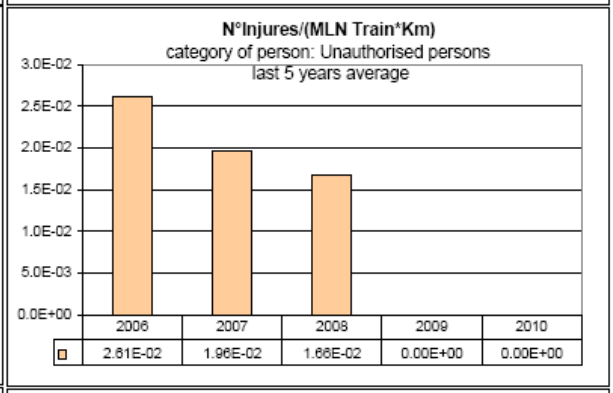
2007 report: values related to 2006.
2008 report: values related to the average between 2006 and 2007.
2008 report: values related to the average among 2006, 2007 and 2008.
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

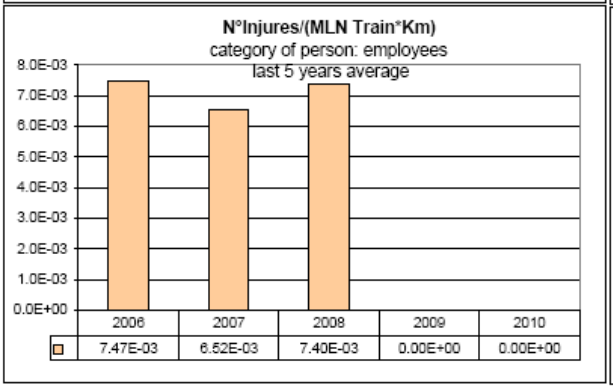
Injuries divided by category of people involved

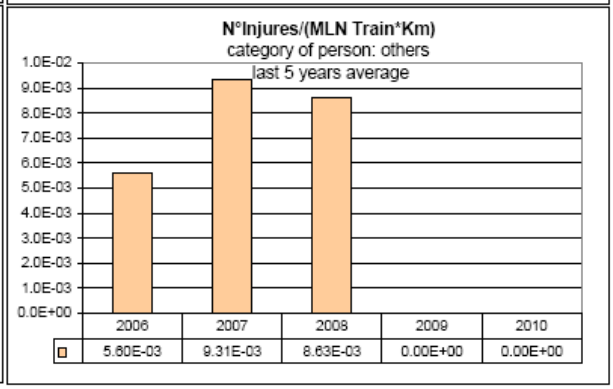






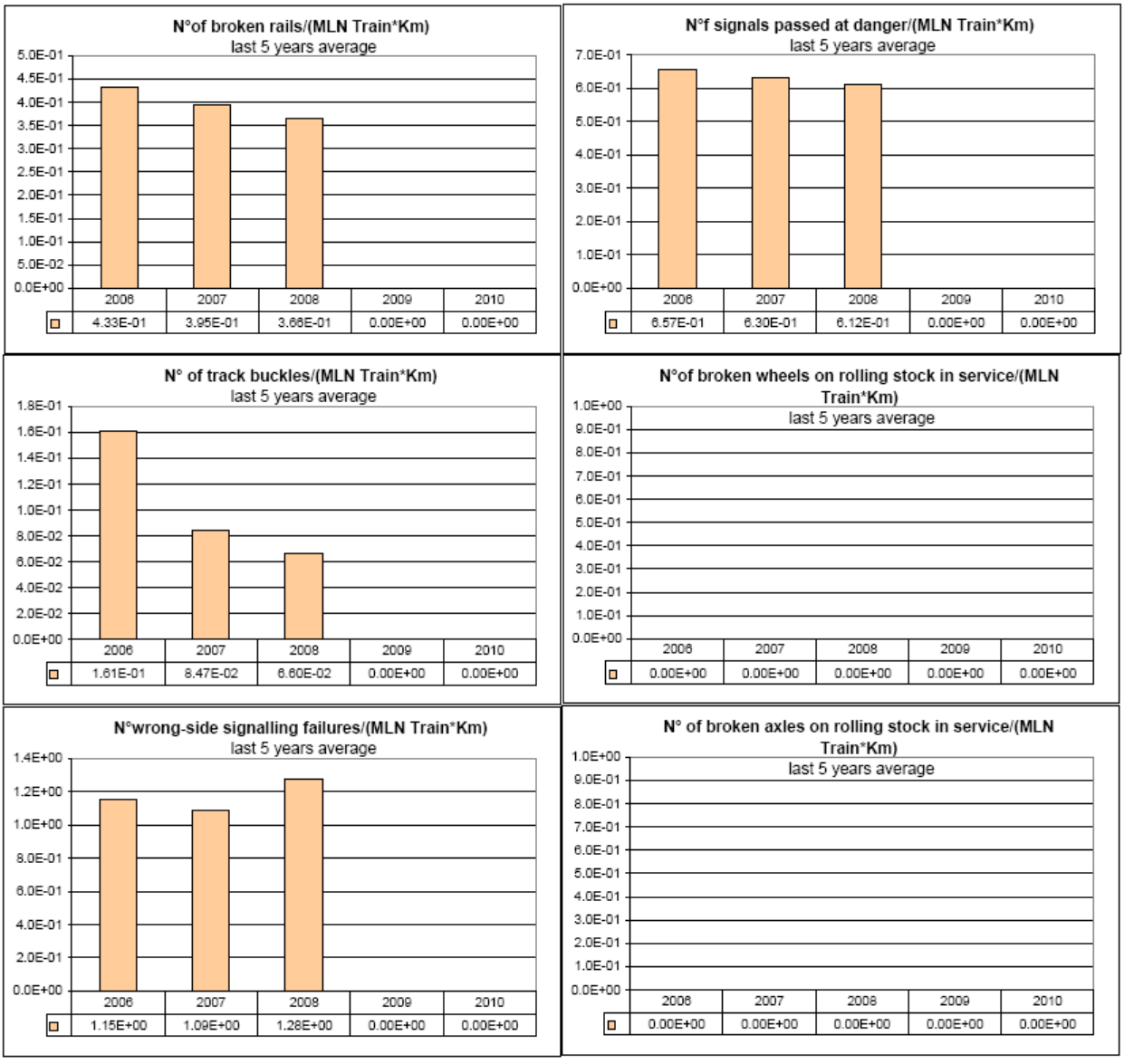






2007 report: values related to 2006.
2008 report: values related to the average between 2006 and 2007.
2008 report: values related to the average among 2006, 2007 and 2008.
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

Precursors to accidents



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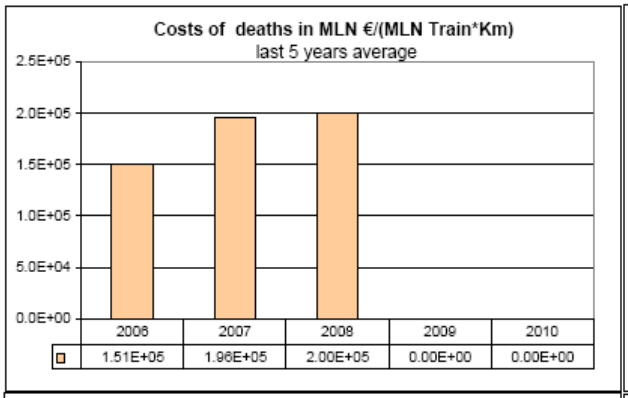
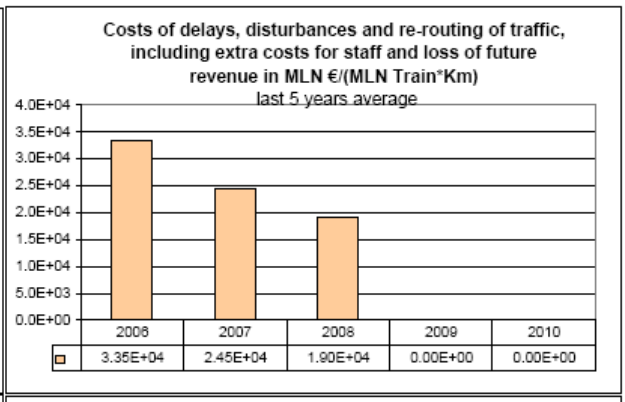
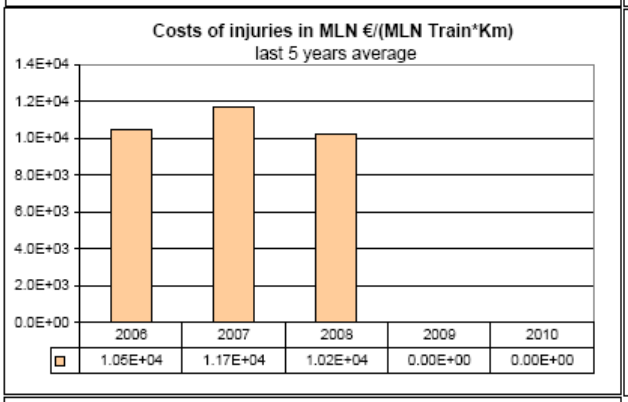
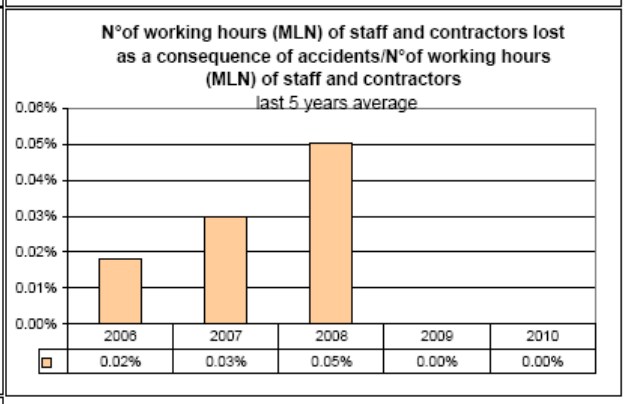
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

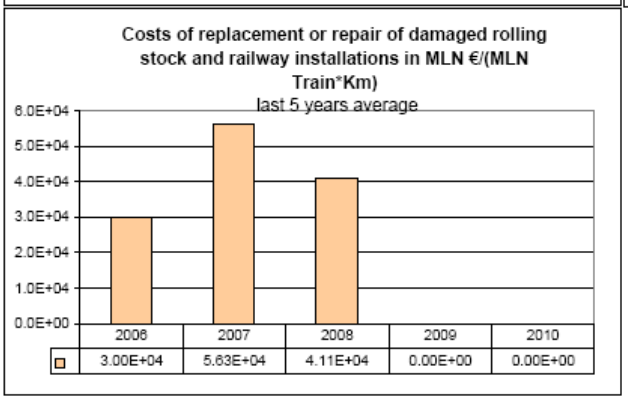
Cost of all accidents, number of working hours of staff and contractors lost as a consequence of accidemts











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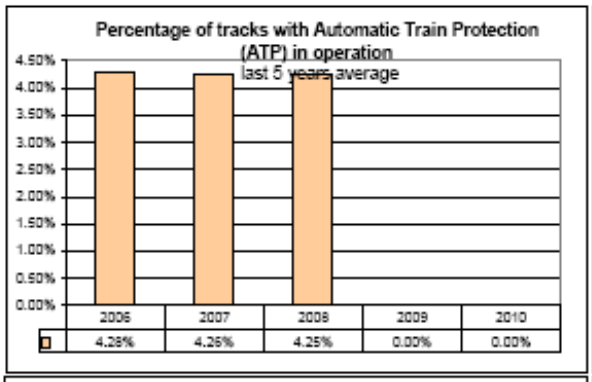
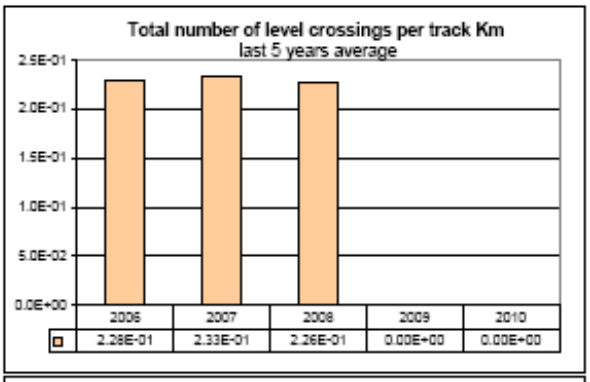
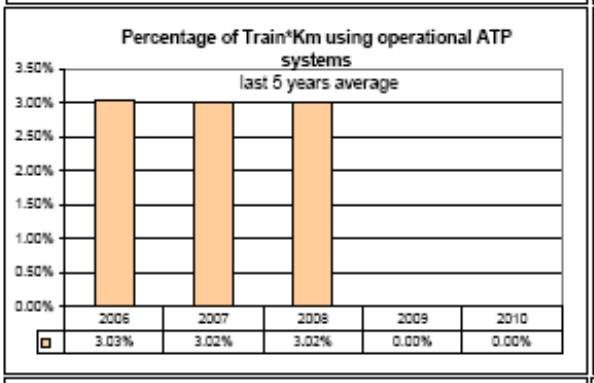
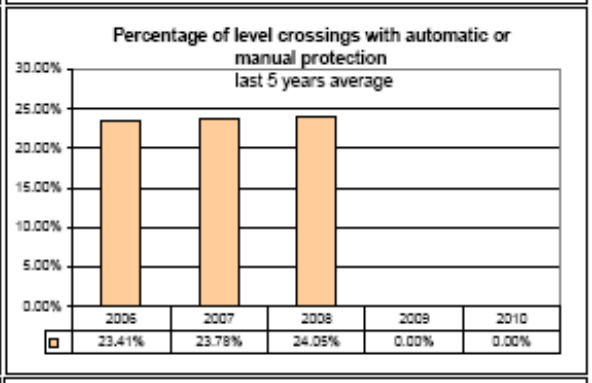
2009 report: values related to the average among 2006, 2007, 2008 and 2009.

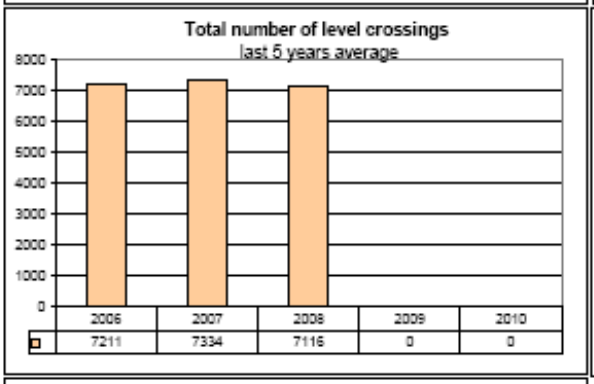
Technical safety of infrastructure and its implementation, management of safety

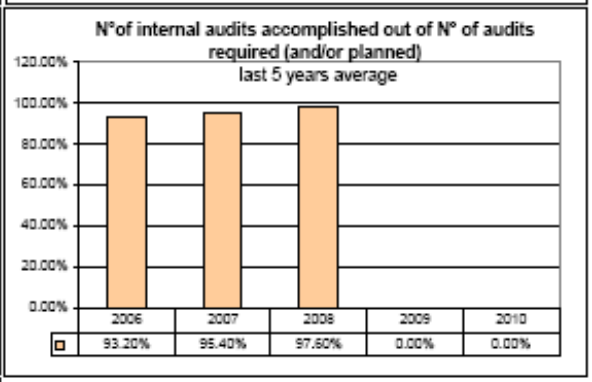


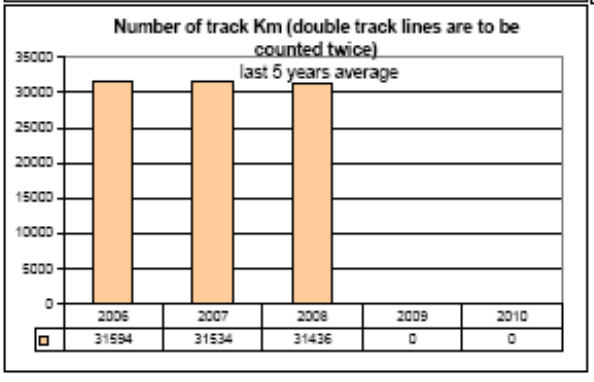












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Annex D

Development of safety certification and authorisation numerical data in Great Britain

		New	Updated / amended	Renewed
Number of valid Safety Certificates Part A held by Railway Undertakings in the year 2008 being registered	in your Member State	16	2	1
	in another Member State			

		New	Updated / amended	Renewed
Number of valid Safety Certificates Part B held by Railway Undertakings in the year 2008 being registered	in your Member State	16	3	1
	in another Member State			

			A	R	P
Number of applications for Safety Certificates Part A submitted by Railway Undertakings in year 2008 being registered	in your Member State	new certificates	14		
		updated / amended certificates	2		
		renewed certificates	1		
	in another Member State	new certificates			
		updated / amended certificates			
		renewed certificates			

			A	R	P
Number of applications for Safety Certificates Part B submitted by Railway Undertakings in year 2008 being registered	in your Member State	new certificates	14		
		updated / amended certificates	3		
		renewed certificates	1		
	in another Member State	new certificates			
		updated / amended certificates			
		renewed certificates			

A = Accepted application, certificate is already issued
R = Rejected applications, no certificate was issued
P = Case is still pending, no certificate was issued so far

	New	Updated / amended	Renewed
E.3.1. Number of valid Safety Authorisations held by Infrastructure Managers in the year 2008 being registered in your Member State	8		

		A	R	P
E.3.2. Number of applications for Safety Authorisations submitted by Infrastructure Managers in year 2008 being registered in your Member State	new authorisations	6		
	updated / amended authorisations			
	renewed authorisations			

A = Accepted application, certificate is already issued
R = Rejected applications, no certificate was issued
P = Case is still pending, no certificate was issued so far

Please note we do not record the mean time for assessment of safety certificate/ authorisations applications and therefore are unable to provide this information.

Annex E

Network map of Northern Ireland