

RS800 issue 1

Subject	Five-year review of Good Practice Guide RS800 issue 1, <i>Managing Drivers on Routes Undergoing Significant Change</i>		
Sponsor:	James Webb – Interim Professional Head of Rail Operations		
Author	Priya Shah – Senior Human Factors Specialist		
Lead industry committee:	Traffic Operation and Management Standards Committee (TOM SC)	Date:	06 December 2022
Supporting industry committee:	Control, Command and Signalling Standards Committee (CCS SC)	Date:	15 December 2022
Supporting industry committee:	Plant Standards Committee (PLT SC)	Date:	05 January 2023

1. Purpose

- 1.1 This paper sets out the assessment of the five-year review of good practice guide RS800 issue 1, *Managing Drivers on Routes Undergoing Significant Change*. It seeks the standards committees' approval and support of the recommendation and way forward outlined in section 4.
- 1.2 This paper replicates the content of the five-year review paper submitted to standards committees previously, with additional description of the outcome of the consultation added as section 4.4.

2. Background

- 2.1 Network Rail (supported by Great Western Railway and CrossCountry Trains) submitted a research idea to look at opportunities to help manage and support drivers on routes undergoing significant change. This led to the publication of RS800 in December 2015.

3. Assessment

- 3.1 This assessment considers how the following may have an impact on RS800 issue 1.

Business case for change

- 3.2 There is no business case for change associated with RS800. That is because at the time RS800 was published RSSB had not introduced the business case for change process.

Deviations

- 3.3 Transport operators do not need to deviate from good practice guides. Therefore, there are no deviations associated with the document.

Projects or proposals

- 3.4 There are no projects or proposals that impact the document.

Limited change release

- 3.5 There are no limited change releases associated with the document.

Enquiries

- 3.6 There are no enquires associated with the document.

Research projects

- 3.7 T1212 *Understanding the barriers and enablers to applying rules and standards changes* – outcomes included a rule change readiness and adoption framework, developed to provide guidance for operators at each stage to bring about greater consistency in rule application. The framework is a short, user-friendly document that details requirements for each stage of the rule change process, the actions required, and the outputs that need to be created, with a focus on cross-organisation collaboration to establish route-wide consistency. There are clear links between the overall process in which the framework can be applied to managing change for drivers and this should be clearly established and reflected in RS800.
- 3.8 T1139 *Researching the impact of railway automation on health and wellbeing* – research into the impact of introducing Automatic Train Operation (ATO) at London Underground on health and wellbeing. One of the recommendations was that employers should look to support their staff's ability to thrive at work, as well as preventing them from becoming unwell as a result of automated technologies being introduced. They should apply particular focus on effective change management and the planning that is required when job design changes occur. The good practice contained within the project can be captured within RS800 to ensure effective change management includes the impact of automated technologies on health and wellbeing.
- 3.9 T1108 *Achieving a step change in route knowledge management* – the research investigated route knowledge requirements for train crew which covered identification of international and domestic practices, evaluation of current training and assessment processes, and creation of good practice. This good practice is linked to RS800, containing learning and change management which needs to be reflected in the guidance.
- 3.10 The *Taking Safe Decisions* framework's diagram for the Common Safety Method for Risk Evaluation (CSM-RA) was updated in 2019. This has an impact on RS800, which will need to be updated to reflect the change.
- 3.11 A preliminary high-level literature review has revealed no significant new models of change management since 2015. However, some research has been found which adds detail to existing models. There is also evidence that question elements of some of the major models used by RSSB and Network Rail. A wider review of the literature and application to rail is required in relation to the topics covered in RS800 to ensure they are up to date. Key areas of the review would be around change management and significant areas of development since 2015, such as digital technology.

Changes in regulations

- 3.12 The United Kingdom (UK) left the European Union (EU) on 31 January 2020 and entered a transition period during which EU law continued to apply in the UK. This transition period

ended on 31 December 2020, which means that European legislation no longer applies in the UK.

- 3.13 The 2019 Exit Regulations¹ correct the directly applicable EU legislation setting out the requirements for risk evaluation and assessment². This means that the requirements for anyone proposing a technical operational or organisational change to the GB mainline railway remain the same as they were prior to 1 January 2021. Therefore, the references in RS800 to the common safety method for risk assessment and evaluation (CSM RA) remain valid. How the UK refers to them, however, has changed.

Changes in technology

- 3.14 Not applicable to this good practice guide.

National Technical Specification Notices (NTSNs) and European standards (ENs)

- 3.15 Not applicable to this good practice guide.

Published list of national technical rules (NTRs)

- 3.16 Not applicable to this good practice guide.

Any other observations

- 3.17 The members of a Train Operations Group looking at Non-Technical Skills integration have reported that they are seeing an increase in operational incidents in their companies. They are concerned that the new National Rail Contracts (NRCs) are very performance-focused with little mention of safety measures or collaboration. It is difficult to get senior leaders' attention and buy-in to safety initiatives because revenue is at the forefront of their minds. The scale and volume of change currently happening in the industry (including changes in personnel) means that individuals are perceived to be less receptive to any proposed changes, including those that may improve safety. This group feels it is important that the industry collectively remembers that its positive safety record is a result of continued effort and that this effort must continue.
- 3.18 Several figures in the document are blurred and unreadable and therefore do not add value.
- 3.19 Looking at the Standards Catalogue page on the RSSB website, we can see that there was a spike in page views around the time of the UK's withdrawal from the EU (autumn 2021 to spring 2022). It is likely that RS800 would have been downloaded and used much more immediately post-publication in 2015, however there are no records available from that time.

4. Conclusion and recommendation

- 4.1 RS800 will benefit from being split into 2 parts:

¹ <https://www.gov.uk/guidance/railway-safety-legislation-stakeholder-guidance#risk-evaluation-and-assessment>

² Commission Implementing Regulation (EU) No 402/2013 on the common safety method for risk evaluation and assessment and repealing Regulation (EC) No 352/2009

- (1) a guidance note on the key principles of change management; and
- (2) guidance relating to change management good practice, hosted on the RSSB website.

The guidance note on change management would be a key document which can support industry during this significant period of change, providing easy-to-use guidance and good practice to support change processes across the industry. This would align with RSSB's support of the whole industry strategic plan (WISP) and sector assurance work. The remaining materials relating to good practice could be hosted on the RSSB website and periodically updated with relevant case studies where possible.

- 4.2 A review of the available literature is required to update the document. This review would include RSSB research and other literature, in particular those related to the key topic of change management and significant areas of development since 2015, such as digital technology. The review needs to consider how the impact of change can be applied within the framework of a devolved railway and the principles applied across different types of change (infrastructure, operational, organisational or technological). This will be particularly pertinent in supporting industry during this significant period of change.
- 4.3 There is a need to conduct research to understand how the document has been applied to railway projects in the intervening years since the document has been published and create newer practical examples on topic areas where relevant, for example the application of the Common Safety Method for Risk Evaluation and Assessment (CSM-RA), Driver Training Working Group (DTWG) and West Coast Main Line (WCML).
- 4.4 Industry consultation was completed in August 2022 and supports the review of the document (see Appendix B). This includes splitting the document into 2 parts, incorporating the latest research outputs and good practices in change management, updated case studies, referencing relevant publications where appropriate, technological innovations, and developments and links to the wider industry initiatives such as the WISP and assurance work. The review should include stakeholder input to create the content and case studies in formats which match their needs.
- 4.5 The recommendation of this review of RS800 is to:
- Conduct a review of available literature;
 - Research how the document has been applied;
 - Update or create new case studies where possible; and
 - Reformat information into 2 parts: a guidance note, and broader guidance for the RSSB website.

5. Decisions

- 5.1 The lead standards committee is asked to:
- a) **Discuss** the outcome of consultation with industry on the findings of this five-year review and the following proposed recommendations:

- i) **APPROVE** the responses to industry consultation as indicated in this document at Appendix B.
- ii) **APPROVE** the creation of a change project to address the recommendations in this review at 4.5.

5.2 The supporting standards committees are asked to:

- a) **DISCUSS** the outcome of consultation with industry on the findings of this five-year review and the following proposed recommendations:
 - i) **SUPPORT** the responses to industry consultation as indicated in this document at Appendix B.
 - ii) **APPROVE** the creation of a change project to address the recommendations in this review at 4.5.

Appendix A Information supporting the review

Decision audit trial

Standards Committee	Meeting date	Recommendation approved	Minute numbers	Next review date
Traffic Operation and Management	26 April 2022	Yes	TOM/04262022/12.2	Click here to enter a date.

Other supporting information

Item	Supporting information	
Deviations	Approved: - Nil	In progress: - Nil
Request for help	Nil	
Proposals	Approved: Nil	In progress: - XXX
RSSB standards programme	Nil	
Amendments and clarifications	Nil	
Limited changes releases	Nil	
Enquiries	Nil	
Business case for change	Nil	
Information from RMDB Note: update RMDB to reflect action/decision	Nil	

Appendix B Consultation comments and responses

Document Title: Managing Drivers on Routes Undergoing Significant Change.

Document number: RS800

Consultation closing date: 11 July 2022

Document Title: Managing Drivers on Routes Undergoing Significant Change.

Document number: RS800

Consultation closing date: 11 July 2022

1. Responders to consultation

No	Name	Company
1	Martin Bloomfield	Network Rail

2. Summary of comments

Code	Description	Total
-	Consulted	
CE	Critical errors	
ED	Editorial errors	
TY	Typographical errors	
OB	Observations	12
-	Total comments returned	12

Classification codes for a way forward:

- DC – Document change
- NC – No change

3. Collated consultation comments and responses

No	Document	Page	Clause	Comment	Suggestion	By	Way forward	Page	Clause	Response
1	RS800	P.4, 15, 93, 94, 128.	Appendix 2	PACE - my understanding is that PACE is intended to replace the process GRIP within NR projects.	Update as necessary using the PACE model.	1				Thank you for informing us about this. Governance for Rail Investment Projects (GRIP) process has been in place for more than a decade. The impact of the new Project Acceleration in a Controlled Environment (PACE) process can be assessed and updated in RS800 as required.
2	RS800	P.45	Consideration of Human Performance in design.	ETCS - With the introduction of ETCS Overlay on NCL line and planned ETCS on ECDP encompassing both Overlay and Level 2 operation some overview of these projects, may be useful within RS800 to encompass these aspects.	With introduction of ETCS on NCL and migration from Overlay to Level 2 on ECDP there is an opportunity to update the examples using the shared learning from this project. Maybe consider Start of Mission (SoM) with L-NTC TPWS> and TPWS Fixed around human performance in design.	1				Thank you for the suggestion. We can consider this as a useful update to the example.
3	RS800	P.104	Mentioned within Section 7	Post implementation assurance review - following a significant change process – there is a need to establish and confirm that the changes have been effectively managed, to identify any areas for industry review and shared learning going forward.	I would be keen to see that a post implementation review is mentioned within RS800 maybe with more details around how this can be delivered to provide business and industry assurance. Maybe add to the T-XX table.	1				Thank you for the suggestion. Post implementation reviews tend to happen outside of change model processes (outlined in appendix 5). It would be useful to discuss this further to understand how post implementation reviews are carried out in practice and how this knowledge is effectively used for future change projects.
4	RS800	P.104	Mentioned within Section 7	Lesson Learnt - within highlighted examples shown consider adding lessons learnt from the Bristol Temple Meads re signalling scheme project.	Various examples are shown within the document which offer the facility to understand and share lessons learnt therefore, consideration should be given to this project for those using RS800 Good Practice Guide.	1				Noted. Thank you for the suggestion.
5	RS800	P.56	DTWG	Best Practice sharing of schemes where certain areas have made a significant contributory factor.	This is an area that I feel could be further explored within RS800 to highlight what does Best Practice look like through a learning box with an example.	1				Noted. Thank you for the suggestion.
6	RS800	P.89	A good practice example of change management	Review of route documentation - some further explanation around review and updating of individual company Route Risk Assessments and National Electronic Sectional Appendix following changes to the route portfolio.	This is an area that I feel should be highlighted and shared within the document as a checklist of tasks to be fulfilled, completed, and reviewed, both pre and post implementation.	1				Thank you for the suggestion. It would be useful to understand how this is carried out in practice and showcase this has an example that could be included within RS800.
7	RS800	P.31	Assessment of the brief – general comment	Cascading the brief – Train the Trainer.	The brief is discussed in depth however a key element is how knowledge and understanding of the route is delivered for the briefers. Ideally this should be provided by the Signal Sighting Specialist for the scheme and provides a baseline of competency for Train the Trainer to establish an auditable, recorded and assured cascade of knowledge.	1				There is coverage of communication during the brief on page 24 – it looks at how to ensure engagement with drivers, and upskilling briefers, which could be the Signal Sighting Specialist where appropriate. Training the trainers is an important consideration before briefing is carried out – it would be helpful to understand how you would like to see this section strengthened further.

No	Document	Page	Clause	Comment	Suggestion	By	Way forward	Page	Clause	Response
8	RS800	-	General comment	Competency – normally businesses retain Driver's competency records for routes and traction within an IT data base like CrewPLAN. Maintaining and updating the data base during numerous remodelling stages is a key to positive rostering to avoid possible performance delays.	I feel that some guidance should be provided within RS800 of how to manage this key area especially when re-modelling schemes have numerous stages with training requirements allocated to multi scheme days. Rostering of Drivers normally takes place four days in advance so ensuring that CrewPlan is up to date at rostering stage is key, both from a financial and operating perspective.	1				Noted. Thank you for the suggestion. Managing the CMS and rostering can be mentioned in the document and referenced to other guidance where applicable, e.g. RS100.
9	RS800	-	Generally, throughout RS 800	Train Drivers definitions - the description provided within RS800 around staff to be trained identifies TOCs, FOCs, IMCs...	Would like to see this group of Drivers defined as requiring training such as from TOCs, FOCs, IMCs to be further as passenger, freight, loco hauled, OTMs and Heritage. This would define those types of Drivers who require the signalling brief to operate over the line based on individual business needs.	1				Noted. Thank you for the suggestion.
10	RS800	P.65 p.89	General comment	Branding – already noted in the standards review paper for review TOC ownership have changed e.g., Virgin Trains P.65 and Arriva Trains Wales P.89	Please review as part of overall update of RS800.	1				Noted. Thank you.
11	RS800		General comment	Technology - already noted in the standards review paper as an area to review.	Driver training material tends to be Cloud based within the businesses provided by suppliers like AirWatch. The issuing of electronic tablets to Drivers for reviewing training material has become much more customary so should be considered as part of the RS800 review.	1				Noted. Thank you for the suggestion.
12	RS800	P.70	General comment	Cited re-modelling projects - already noted for review signalling examples such as Reading re-modelling project could be updated with newer schemes e.g., Birmingham New Street Phases.	Please review as part of overall update.	1				Noted. Thank you for the suggestion.