

21-015 Improving the management of change in train dispatch with effective collaboration with staff affected

[This page should be deleted at the publication stage of the project]

Version:	1.2		
Purpose:	Approval to proceed to development and approval to proceed to consultation		
Authors:	Zyanya Flores, Principal Rail Operations Specialist		
Sponsor:	Gary Portsmouth – Professional Head of Rail Operations		
Lead industry committee:	Traffic Operation and Management Standards Committee (TOM SC)	Date:	01 March 2022

Decision

Traffic Operation and Management Standards Committee (TOM SC) is asked to:

APPROVE the proposal for change.

DECIDE the amount of the existing standard that should be subject to the change process.

IDENTIFY any specific organisations or individuals to be included in the consultation.

DECIDE on the method of consultation, we propose this is a targeted consultation.

DECIDE if the proposed RIS-3703-TOM issue 5 delivers the intentions of the proposal for change.

DECIDE if the proposed RIS-3703-TOM issue 5 is in a suitable state for consultation.

APPROVE that the proposed RIS-3703-TOM issue 5 is consulted on.

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This business case for change has been developed to support standards committees in taking decisions related to changes to standards, it includes an assessment of the predicted impacts arising from the change.

Proposed documents

Number	Title	Issue
RIS-3703-TOM	Passenger Train Dispatch and Platform Safety Measures	5

Superseded documents

Number	Title	Issue
RIS-3703-TOM	Passenger Train Dispatch and Platform Safety Measures	4.1

Summary

Background and change

ASLEF submitted a request for help to RSSB requesting guidance on decisions to review, modify or implement a method of dispatch, so trade unions are involved in the process. The trade union was concerned of an increased risk to safety for driver only operation (DOO) trains at the platform train interface (PTI) when changes are made to the methods of train dispatch without consulting with affected parties.

The proposed change revises guidance in RIS-3703-TOM issue 4.1 in two topic areas: 'Assessment responsibilities' and 'Requirement to review'. These clauses contain guidance that has been redrafted to make it clearer that trade union health and safety representatives are key stakeholders of a risk assessment.

Industry impact due to changes

Impact areas	Scale of impact	Estimated value £
A. Legal compliance and assurance	Low	Not proportionate to quantify
B. Health, safety and security	Low	£50,000 over five years
C. Reliability and operational performance	N/A	-
D. Design and maintenance	N/A	-
E. People, process and systems	Neutral	-
F. Environment and sustainability	N/A	-
G. Customer experience and industry reputation	N/A	-
Total value of industry opportunity =		£50,000 over five years
The standards change contribution to the total value of industry opportunity		
<input type="checkbox"/> None or low	<input checked="" type="checkbox"/> Minor but useful	<input type="checkbox"/> Moderate
		<input type="checkbox"/> Important / essential
		<input type="checkbox"/> Urgent / critical

Detail

1. What were the objectives associated with this change?

Objective 1 – Encourage better collaboration when changing train dispatch arrangements

- 1.1 ASLEF submitted a request for help to RSSB requesting guidance on decisions to review, modify or implement a method of dispatch, so trade unions are involved in the process. Their request was based on the findings of RSSB research project T743 (2008) *A review of passenger train dispatch*. The trade union was concerned of an increased risk to safety for DCO trains at the platform-train interface when changes are made to the methods of train dispatch without consulting with affected parties. For example, when close doors (CD) and right away (RA) indicators are removed at stations that were formerly staffed, and self-dispatch for DCO trains put in place.
- 1.2 In 2017, RSSB published an update¹ to the risk analysis carried out in T743. The findings of the updated analysis show that there is no additional risk for passengers boarding and alighting DCO trains. Therefore, the objective of this change is to encourage better collaboration with trade union health and safety representatives in the process of changing train dispatch arrangements. This is intended to foster better decision making when reviewing, modifying, or implementing methods of dispatch.

2. How has the content in the standard changed to achieve the objectives?

Objective 1 – Encourage better collaboration when changing train dispatch arrangements

- 2.1 RIS-3703-TOM issue 4.1 contains requirements and guidance for the review and implementation of passenger train dispatch processes and measures to manage the safe behaviour of passengers at the PTI. The standard sets out a PTI risk assessment process. The risk assessment process includes a requirement on assessment responsibilities. It also provides guidance on which stakeholder organisations can be part of the assessment team and the experience, knowledge and skills they should bring to the process.
- 2.2 The proposed change revises guidance in two topic areas: ‘Assessment responsibilities’ and ‘Requirement to review’. These clauses contain guidance that has been redrafted to make it clearer that trade union health and safety representatives are key stakeholders in the risk assessment process– clauses G 2.3.6 f), and G 2.7.12 d).

3. How urgently does the change need to happen to achieve the objectives?

- 3.1 ASLEF submitted a request for help in March 2021 with the request above and expects revision to RIS-3703-TOM to be published by September 2022.

¹ Risk associated with train dispatch – Summary of risk analysis and consolidation of current knowledge, RSSB, July 2017.

4. What are the positive and negative impacts of implementing the change?

A. Legal compliance and assurance

- 4.1 The proposed change supports the requirement in the Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) (ROGS) for transport operators to show how persons carrying out work or voluntary work directly in relation to the operation, and their representatives, are involved with the safety management system. ORR's guidance to ROGS² shows what a 'suitable and sufficient' risk assessment does, which includes involving staff and their representatives as they are well placed to contribute practical knowledge to the risk assessment process. The proposed change has a positive impact on legal compliance and assurance. However, this impact is low and not proportionate to quantify.

B. Health, safety and security

- 4.2 Involving relevant staff representatives when reviewing, modifying or implementing a method of dispatch helps transport operators take better decisions on a full range of control measures for the risks identified. The risk related to train dispatch is estimated to be 1.8 fatalities and weighted injuries (FWI) per year. If the changes to the standard allow transport operators to make better decisions on the method of train dispatch to at least 25% of the future train dispatch review, and therefore the risk was lowered by 1% this could save the industry nearly £50,000³ over five years.

C. Reliability and operation performance

- 4.3 This is not directly applicable to the proposed change.

D. Design and maintenance

- 4.4 This is not directly applicable to the proposed change.

E. People, process and systems

- 4.5 The proposed revisions to the standard do not change any requirements, however it is clearer in the guidance that trade union health and safety representatives may have the experience, knowledge and skills to contribute to assessments. Although this is likely not to affect transport operators' processes and procedures, they will need to ensure they do involve the right representatives in future assessments or their reviews.

F. Environment and sustainability

- 4.6 This is not directly applicable to the proposed change.

G. Customer experience and industry reputation

- 4.7 This is not directly applicable to the proposed change.

² The Railways and Other Guided Transport Systems (Safety) Regulations 2006 (as amended) (ROGS) – A Guide to ROGS, October 2021, pp 61.

³ The risk related to train dispatch is 1.8 FWI/year and the value of preventing a fatality is £2,100,000. If the risk is reduced by 1% on 25% of future methods of dispatch decisions, the savings to industry are £9,450 per year of £47,250 over five years (1.8 FWI/year x 0.01 risk reduction x 0.25 decisions x 5 years).

5. What is the contribution of this standards change in realising the value to industry opportunity?

- 5.1 Involving a range of representatives with experience, knowledge and skills supports a robust risk assessment process, therefore the contribution of this change is minor but useful.

6. What was the effort required by RSSB to make the change?

- 6.1 Discussions between rail operations and human factors experts.

7. Can RSSB deliver against industry's expected timescales?

- 7.1 Yes, RIS-3703-TOM issue 5 can be published in September 2022.

8. How will the industry implement the change?

- 8.1 The change to the standard is minor. It will be communicated to industry through the quarterly standards webinar after the publication of the standard and presented at cross-industry forums such as RDG's Operations Standards Forum (OSF) and the Leading Health and Safety Strategy PTI Working Group.

9. How will RSSB assess whether the change is achieving the objectives?

- 9.1 RSSB will review the standard 12 months after its publication to determine if the change is achieving its objective. RSSB will also seek feedback from trade unions.

Appendix A Disposition Table

Table A1: RIS-3703-TOM issue 4.1 to RIS-3703-TOM issue 5

From RIS-3703- TOM issue 4.1	To RIS-3703- TOM issue 5	Way forward	Comments	Objective
G 2.3.6	G 2.3.6	Redrafted	Redrafted to include the term 'good practice' with the aim of strengthening the experience and knowledge of an assessment team.	1
G 2.3.6, f)	G 2.3.6, f)	Revised	Revise to incorporate the words 'trade union' in the 'health and safety representatives'. This brings consistency with the rest of the document, where the term was already used.	1
G 2.3.7	G 2.3.7	Revised	'Trade unions' have been removed from other 'stakeholder organisations' as they are now mentioned in G 2.3.6 f).	1
G 2.7.12	G 2.7.12	Revised	Redrafted to include the term 'good practice' to strengthen the review arrangements, which include who will be consulted.	1
G 2.7.12, d)	G 2.7.12, d)	Revised	This is guidance on the arrangements of the review of a risk assessment. The revision makes it clear that part of the arrangement is to determine who will be consulted, incorporating trade union members.	1
NA	Definitions	New	The definition for 'good practice' was added to support G 2.3.6.	1