HERITAGE RAILWAY ASSOCIATION

GUIDANCE NOTE

EMERGENCY PLANNING

Purpose
This document describes good practice in relation to its subject to be followed by Heritage Railways, Tramways and similar bodies to whom this document applies.

Endorsement
This document has been developed with, and is fully endorsed by, Her Majesty’s Railway Inspectorate (HMRI), a directorate of the Office of Rail Regulation (ORR).

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Supply
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1. **Introduction**

A. This Guidance has been provided to assist the duty holder of heritage railways, tramways and similar bodies in meeting the requirements for emergency plans and associated train evacuation issues in their Safety Management System (SMS) as required under the Railways and Other Guided Transport Systems (Safety) Regulations 2006: SI 2006 / 0599 (ROGS). It may also be of use to those operators of systems, such as rail mounted cableways, that do not come under these regulations but do need to have an emergency plan.

B. Schedule 1, paragraph 2(j) of ROGS requires duty holders to address Emergency Planning in their SMS.

C. Duty holders should be aware that they have a legal obligation to passengers, contractors, other visitors and staff under the Health and Safety at Work etc Act, 1974.

D. The term ‘man’ or ‘men’ in this Guidance note should be read as applying equally to men and women and ‘he’, ‘him’ and ‘his’ should be similarly interpreted.

E. The term ‘staff’ in this Guidance note should be taken to include unpaid volunteer workers as well as paid staff.

F. The term ‘railway’ should be taken to include heritage tramways and similar bodies where appropriate and ‘train’ should be similarly interpreted.

2. **Recommendations**

A. This Guidance note is issued as recommendations to duty holders.

B. Many railways are already operating systems, which, in some cases, are to a higher standard than those set out in this Guidance note. This highlights the fact that it is the responsibility of the duty holder having undertaken the necessary risk assessments, to implement controls that are applicable and necessary relative to the operating conditions on their railway.

C. Where railways decide to take actions that are not in conformity with these recommendations, following appropriate risk assessments or for other reasons, it is recommended that those decisions are reviewed by the senior management body of the organisation and a formal minute is recorded of both the decision reached and the reasons for reaching it.

3. **Definition of an Incident, Accident and Emergency**

A. Accident: Unplanned, uncontrolled event leading to death, injuries, ill health, damage or other loss.

B. Incident: Unplanned, uncontrolled event, which could have resulted in death, injuries ill health or other loss.

C. Emergency: When an incident/accident takes place which results in, or threatens, loss of life, significant casualties, evacuation of persons or facilities, serious infrastructure damage or requires the assistance of the Emergency Services.

D. The term “incident” is hereinafter to be taken as including “accident”.

4. **Purpose of the Emergency Plan**

A. The purpose of an emergency plan is to ensure that the railway and its staff have the skills and information necessary to deal with any emergency.

B. It is not specific to a particular incident but should provide a management structure to ensure normal operations are restored as quickly as the situation will safely allow.

C. The plan should be available for information to the Emergency Services, Local Government and any other key partners.

D. “Emergency Services” mean: the police service, the ambulance service, the fire and rescue service, coastguard and the mountain rescue service.
5. Creating a Plan

A. Emergency planning for heritage railways should be proportionate to the scale and likelihood of accidents and emergency situations and hence it is inappropriate to produce a single model plan for heritage railways which range from large standard gauge railways to small narrow gauge operations with open passenger coaches.

B. The basis of each railway’s Emergency Plan should be a risk assessment process, which will help in determining the likelihood and scale of incidents.

C. The situations to take into account might include:
   1. Trains travelling on high embankments or viaducts where even a low speed derailment presents a serious risk of a train or parts of it falling from height.
   2. Travel through tunnels where there might, for example, be a risk of fire in a disabled train.
   3. Landslides.
   4. Level crossings used by vehicular traffic where there might be a risk of collision with buses or fuel tankers.
   5. Possible incursions from road vehicles on adjacent roads.
   6. The need to evacuate a station or other location in any emergency.
   7. The need to ensure, wherever possible, that objects of any nature are kept clear of the track.

D. A risk assessment of the likelihood of incidents and their locations should be an essential part of emergency planning.

E. An outline of the contents of such a plan is given in Appendix A.

F. Obtaining specialist advice where needed.

G. All aspects of the Emergency Plan together with procedures for testing it should be documented as part of the SMS.

H. The rest of this document and the Appendices cover issues that should be taken into account when formulating an Emergency Plan together with associated guidance.

6. Phases of an Incident

A. There are six distinct phases of any incident, each of which requires specific activity to take place, to ensure a correct return to normal service. These phases are:
   1. Managing the Incident – normally defined as the period when rescue of individual passengers, contractors or staff takes place.
   2. Consequence Management – usually the period when damage at site is dealt with or Emergency Service ‘stand down’ takes place. This may also include arrangements for emergency alternative transport (buses, taxis, etc.).
   3. Managing the Media – appoint a Media Liaison Officer to act for and to coordinate media activities on behalf of the railway and liaise with the Emergency Services Media Relations Officer.
   4. Business Recovery – the period when there is some or total resumption of passenger train service.
   5. Lessons Learned – what went well, what needs to be considered, and the person who has to take any specific action.
   6. Prepare for the Future – the time when the lessons learned in 5 above are put into place.
7. **Guidance to Staff Involved in an Incident**
   
   A. Staff may have been affected by the incident, so there must be provision for a check to be made to ensure they are fit and able to continue before they undertake any further work.
   
   B. The first action of the crew is to protect the train to prevent any further incidents. Then they must take the following action:
      1. ensure all passengers are in a place of safety and are under no further threat.
      2. ensure all other train movements have stopped.
      3. secure the locomotive and vehicles, and maintain any boiler in a safe condition which may involve dropping the fire. This will require an evaluation of water availability and fire risk. The emergency service at the site needs to be told why this is essential.
      4. ask passengers if any of them have medical or first aid knowledge, and if so ask them to assist.
   
   C. In addition, all staff should be prepared to:
      1. Advise passengers to remain in a place of safety.
      2. Give passengers information and update regularly.
   
8. **Contacting the Emergency Services**
   
   A. Duty holders should ensure that all emergency calls to the Emergency Services are made via the 999 system.
   
   B. Duty holders should ensure in their Emergency Plans that there is a clearly identified person who is responsible for contacting the Emergency Services when there is an accident or other emergency requiring their assistance.
   
   C. Duty holders should contact their local police force HQ as part of their emergency planning. Duty holders should make it clear to their local police force that heritage railways are their responsibility, and that British Transport Police normally have no responsibility for heritage railways except for those parts where the heritage railway runs over Network Rail controlled infrastructure.
   
9. **Identification of Location and Access points**
   
   A. Duty holders should include in their Emergency Plans a clearly understood and agreed method of informing the Emergency Services of both:
      1. the location of an incident, and
      2. the most appropriate access points to the railway to reach the location concerned.
   
   B. Duty holders should include in their Emergency Plans how to identify all access points and major operational features by both grid reference and, where available, post code. Both systems are in use by the different Emergency Services, and should be given equal prominence on access location maps and directions etc.
   
   C. Duty holders should also consider providing appropriate individual grid references and post codes for reference at all manned stations, depots and signal boxes, etc., so that staff on the ground can inform Control (and the Emergency Services if instructed by the Controller to do so) of the exact locations of any incident that they are involved in.
   
   D. Duty holders should similarly display the grid reference and, where available, post code of the location in any lineside telephone cabinets.
   
   E. In order to inform the public who may be involved in an incident at a level crossing (including accommodation and occupation crossings), duty holders should consider publicly displaying:
      1. the railway’s Control phone number;
      2. the railway’s internal identification of the crossing, either by name or by mileage; and
      3. the grid reference and, where available, post code of the crossing.
F. Duty holders should offer to supply the Emergency Services with suitable maps in order to assist with the location of Access Points. Such maps could be:

1. An OS map of the line and the surrounding area. Ideally the duty holder should mark access points on the map before handing it to the Emergency Services. (If a duty holder is using a section or sections of a relevant OS map then copyright requirements should be observed.)

2. Alternatively, the map could be a specialised Access Map. It should be specially prepared to show, as clearly as possible, all Vehicle Access Points, which should be numbered in sequence from one end of the line to the other. Identified locations should include the following:
   i. Stations with road access;
   ii. Level crossings, including accommodation and occupation crossings where access is possible through farms or other private land;
   iii. Pipelines;
   iv. Electricity transmission lines;
   v. Signal Boxes with road access;
   vi. Loco Sheds, Workshops, etc. with road access;
   vii. Specific Access Points;
   viii. Over and under bridges, and the amount of access available at them (for example are there steps between the road and railway levels?). Any bridge number or mileage plaque should be shown if this will assist with identification;
   ix. Adjacent roads with numbers (if applicable);
   x. Useful landmarks, such as churches, public houses etc.

G. Duty holders should consider holding discussions with adjacent landowners with a view to reaching an agreement or understanding regarding access across their land in an emergency. This is particularly important in relation to farms where access may be gated and livestock involved. Duty holders should document the key points agreed within the Emergency Plan.

10. Train Evacuation

A. In certain circumstances there may be no alternative other than to completely evacuate a train. This should be avoided if at all possible.

B. Splitting (dividing) the train may be an option, if this can be done safely. In these circumstances, passengers should be moved to the safe part of the train prior to the splitting operation and the railway rule book should set out how such splitting operations are to be undertaken.

C. All rostered staff on trains should be trained in how to safely evacuate passengers, making allowance for any particular locations where this may be unusually difficult, such as embankments, viaducts and tunnels.

D. Appropriate consideration should be given to the needs of passengers with disabilities, including those in wheelchairs.

E. Suitable ladders should be carried on all trains.

11. Station and other Area Evacuation

A. It may be necessary to evacuate buildings or other areas in a number of circumstances, including:
   1. Fire (see separate Guidance Note)
   2. Structural defect / failure
   3. Security Alert
   4. Overcrowding
   5. External factors
B. For all locations where significant numbers of people may congregate, an evacuation plan should be prepared.
   1. All staff should be trained in its requirements
   2. It should be tested regularly by way of practical exercises

12. Assembly Points
   A. Assembly points for evacuated people, where used, should be clearly marked.
   B. It is important that in the event of a Security Alert (such as a bomb threat) all people are asked to disperse as far away as possible, and not to congregate at a defined “Assembly Point” (such as that used in a Fire Evacuation). Dispersal is the essential requirement. This is because an Assembly Point could itself be targeted with a bomb.

13. Communicating Advice of an Incident
   A. Any member of staff becoming aware of an emergency should follow the following course of action:
      1. Identify accurately the location of the incident.
      2. Use any means of communication to advise the Controller of the nature, extent and location of the emergency and to request that the Emergency Services are summoned unless it is absolutely clear they are not needed.
   B. The Duty Controller will refer to the contents of his Emergency Response Bag (see Appendix C) and call the Emergency Services if appropriate and then:
      1. appoint the Railway Incident Officer (RIO), see next section; and
      2. ensure that the site has been protected (e.g. signals have been replaced to danger to prevent other trains approaching).
   C. The Duty Controller should appoint a person responsible for liaison with the media.

14. Appointment of a Railway Incident Officer (RIO)
   A. The Duty Controller should appoint a competent person who was not a member of any train staff or signalmen that was rostered for duty on the day of the incident to act as the RIO.
   B. The RIO will:
      1. take overall charge of the incident, initially attending the scene to ensure the objectives of the Emergency Plan are met;
      2. ensure that all passengers are in a place of safety;
      3. act as the single point of contact with the emergency services and those conducting the investigation into the cause of the incident;
      4. assess the site so that hazards e.g. fuel, steam leaks can be identified at an early stage and so that the likely extent of casualties and environmental hazards can be ascertained;
      5. determine what resources are needed and, with other members of staff, who will act in the various capacities;
      6. ensure support is provided for the welfare of passengers and staff involved in the incident;
      7. ensure the site is managed safely; and
      8. determine when the incident can be considered closed (stand down).
15. When and where to Report an Incident
   
   A. Specific incidents require different procedures:
      
      1. All railway related incidents need to be reported to the ORR under RIDDOR, see HGR-A0550 - Incident Reporting.
      
      2. In addition specified railway related incidents need to be reported to the RAIB, see HGR-A0550 - Incident Reporting.
      
      3. Incidents arising from problems of hygiene come under the Food Standards Agency and are enforced by Local Authority Environmental Health Officers.
      
      4. Incidents arising from problems that come under the Construction (Design and Management) Regulations 2015 are enforced by the Health & Safety Executive.
      
      5. Environmental incidents need to be reported as appropriate to the:
         
         
         
         iii. Scottish Environmental Protection Agency ([http://www.sepa.org.uk/contact/](http://www.sepa.org.uk/contact/)).
      
16. Passenger Recovery Plan (PRP)
   
   A. If the train service has been suspended due to a serious incident, or passengers are stranded on stalled trains, a PRP should be invoked by the Duty Controller.
   
   B. The PRP needs to take account of the following:
      
      1. Where it is possible to return passengers stranded on trains to their starting locations using the railway; provision should be made to move the disabled train if possible, possibly using an additional engine, or taking an alternative train to the incident site.
      
      2. Passengers who arrived by their own transport will need to be taken to their place of boarding where their transport is parked.
      
      3. Where passengers arrived by coach, consideration should be given to arranging for the coach to move to the closest location to their passengers.
      
      4. Passengers who arrived on foot or by public transport need to be taken to their originating station or an alternative public transport location.
      
   C. In all cases consideration needs to be taken of:
      
      1. Passengers may have young children and pushchairs.
      
      2. The welfare needs of passengers, particularly any “vulnerable passengers”.
      
   D. If the railway cannot use its trains and does not have other transport available, provision for the following needs to be made:
      
      1. Hired buses to approach to the point nearest to the Incident point and pick up stranded passengers. It should be remembered this facility may take some time to mobilise. A formal arrangement with a local bus or coach provider is recommended.
      
      2. Organising a fleet of taxis to shuttle passengers. A list of local Taxi firms is recommended.
      
   E. All arrangements for the emergency provision of transport must be discussed with the RIO on site, who must also liaise with the Emergency Services to discuss approach arrangements.
17. Testing and Revising the Plan
A. The procedure for testing the plan should be documented. This could include:
   1. table-top simulation;
   2. practical exercises with the assistance of other bodies (Police, etc); and
   3. calling out additional expertise such as, vets, utility engineers.
B. Ensuring that all appropriate staff are involved.
C. Records of tests should be made and the lessons from them used to update the plan.

18. References
A. Reporting of Serious Incidents to the ORR
   1. Guidance is available from:
      3. On-line reporting form is available from:
B. Reporting of Incidents to RAIB
   1. Guidance of the reporting regulations and contact information is available from:
C. Association of Train Operating Companies documents
   1. ATOCGN003 Iss 6 Training of Staff in On-Train Emergency Procedures
D. Railway Group Standards
   1. GO/GN3518 Iss01 Guidance on Incident Response Planning & Management
E. Specific HRA Guidance Notes
   1. HGR-A0011 - Risk Assessment
   2. HGR-A0550 - Incident Reporting
Appendix A: Suggested content of an emergency plan.

- Objectives of the plan.
- Roles and responsibilities of railway management and staff responding to an emergency situation.
- The role of the Emergency Services and how to call them.
- Primary contacts, including phone numbers.
- Location and Access information (grid reference and postcode).
- Contact details of landowners and agreements for emergency access.
- Media arrangements.
- Identifying “shock” and traumatised staff, passengers and witnesses.
- Preserving the scene.
- Arrangements for hire of alternative transport, e.g. buses and taxis.
- Refreshments for staff and passengers.
- Reporting procedures (HMRI, RAIB, legal advisers, insurance companies, governing body, etc).
- Establishment that the infrastructure is fit for traffic.
- Resumption of train movements.
- Training of personnel.
- Distribution of the plan and its review/amendment systems.
- Counselling staff.
- Internal incident investigation.

end of appendix
Appendix B: Sample line map showing access points and associated listing.

Map of Adjacent Landowners and Access Points
### Description of Access Points

The alphanumeric access points are shown on the Map of Adjacent Landowners and Access Points, where An = Vehicular Access Point, Ba = Other Access Point. Numbered access points 1 – 18 run from west to east along the Railway and are described below.

<table>
<thead>
<tr>
<th>Number</th>
<th>Post Code</th>
<th>OS Grid Ref.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td>LL36 9EY</td>
<td>SH 586005</td>
<td>Wharf Road Bridge, Bryn Hyfryd Road: Access from A493 via Wharf station to track.</td>
</tr>
<tr>
<td>B2</td>
<td>LL36 9HG</td>
<td>SH 588006</td>
<td>Llys Cadfan footbridge: Pedestrian access only; ladders required to reach track from overbridge.</td>
</tr>
<tr>
<td>B3</td>
<td>LL36 9EF</td>
<td>SH 590008</td>
<td>Flordd Cadfan road &amp; pedestrian bridges (&quot;School Bridge&quot;); Ladders required to reach track from overbridge.</td>
</tr>
<tr>
<td>A4</td>
<td>LL36 9EL</td>
<td>SH 591009</td>
<td>Pendre level crossing: Road level access to track both east and west of crossing.</td>
</tr>
<tr>
<td>B5</td>
<td>LL36 9LW</td>
<td>SH 594011</td>
<td>Pendre Industrial Estate: Access from A493 road to side of Railway embankment, thence through fence/bridge.</td>
</tr>
<tr>
<td>B6</td>
<td>LL36 9HP</td>
<td>SH 596011</td>
<td>Ty Mawr Bridge: Ladders required to reach track from overbridge.</td>
</tr>
<tr>
<td>B7</td>
<td>LL36 9RU</td>
<td>SH 599013</td>
<td>Hendy Farm Halt and Bridge: Access through farm; ladders required to reach track in narrow cutting from overbridge.</td>
</tr>
<tr>
<td>A8/A9</td>
<td>LL36 9RB</td>
<td>SH 611020, SH 605016</td>
<td>Fach Goch Halt and Cyfnal bank/Halt: Narrow metalled road from B4405 at Pen y Parc to Cyfnal bridge A9, then via gate to semi-metalled track for ca. 600 metres south-west alongside Railway to Fach Goch Halt, A8.</td>
</tr>
<tr>
<td>A10/A11</td>
<td>LL36 9RD</td>
<td>SH 615022, SH 617023</td>
<td>Rhdyrenon station A10 and Tyndalwy Caravan Park A11: Narrow metalled road from Pen y Parc, road/track through caravan site to Railway crossing.</td>
</tr>
</tbody>
</table>

### General Notes on Access

The land between Fach Goch and Hendy, Cyfnal bridge and Rhdyrenon and Tyndalwy Caravan Park and Brynglas does not have road / vehicular access. Most of the land is in agricultural use and is crossed by sandy drainage ditches, etc.; the same applies to the land between Brynglas and Nant Gwernol which also often has a steep rising embankment to the Railway which would require the use of ladders to gain access to the trackside. Access to the Railway by emergency vehicles is therefore limited to the points shown and numbered.

Additionally, access to the Railway from the south ("hill") side of the line to the east of Brynglas station is from steep hillsides and is also not considered as being able to provide emergency vehicle access.

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(This appendix has kindly been provided by the Talyllyn Railway Company as an illustration only)

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end of appendix
Appendix C: Emergency Response Bag contents

- A hi-visibility vest marked “Rail Incident Officer"
- Protective headwear for RIO
- A copy of the Emergency Plan
- A copy of the Location and Access information
- A copy of the Emergency Roles & Responsibilities
- Drugs and Alcohol for-cause testing information
- Key internal and external numbers telephone directory
- A clipboard
- Paper, pens and pencils
- A tape measure
- A voice recorder
- A digital camera
- A torch
- Heavy duty gloves
- A stock of disposable gloves.

end of appendices