

Recommendation(s) Status: Signal passed at danger and subsequent near miss, Chalfont & Latimer station

This report is based on information provided to the RAIB by the relevant safety authority or public body.

The status of implementation of the recommendations, as reported to us, has been divided into eight categories:

Key to Recommendation Status

Implemented:	All actions to deliver the recommendation have been completed.
Implemented by alternative means:	The intent of the recommendation has been satisfied in a way that was not identified by the RAIB during the investigation.
Implementation ongoing:	Work to deliver the intent of the recommendation has been agreed and is in the process of being delivered.
Insufficient response:	The end implementer has failed to provide a response; or has provided a response that does not adequately satisfy ORR that sufficient action is being taken to properly consider and address a recommendation.
Progressing:	The relevant safety authority has yet to be satisfied that an appropriate plan, with timescales, is in place to implement the recommendation; and work is in progress to provide this.
Non-implementation:	Regulation 12(2)(b)(iii) = recommendation considered and no implementation action to be taken.
Closed - carry forward:	ORR intends to take no further action as it has been superseded by another recommendation.
Awaiting response:	Awaiting initial report from the relevant safety authority or public body on the status of the recommendation.

RAIB concerns on actions taken by organisations in response to recommendations are reflected in this report and are indicated by one of the following:

Red – RAIB has concerns that no actions have been taken in response to a recommendation.

Blue – The blue triangle shows recommendations where the RAIB has concerns that the actions taken, or proposed, are inappropriate or insufficient to address the risk identified during the investigation.

White – The white triangle shows recommendations where the RAIB notes substantive actions have been reported, but the RAIB still has concerns.

Recommendation Status Report



Report Title	Signal passed at danger and subsequent near miss, Chalfont & Latimer station
Report Number	04/2021
Date of Incident	21/06/2020

Rec No.	Status	RAIB Concern	Recommendation	RAIB Summary of current status
04/2021/01	Implemented	None	<p>The intent of this recommendation is to reduce the risks arising from human performance by improving Chiltern Railways' management of drivers.</p> <p>Chiltern Railways should review its driver management processes and introduce improved processes based on the review findings. The review should include consideration of:</p> <ul style="list-style-type: none"> ● providing drivers with adequate training and assessment of tripcock reset procedures on both Network Rail and London Underground infrastructure ● identifying conditions such as sleep apnoea during periodic medical examinations ● sharing the key findings of the route risk assessment process with drivers and driver managers ● adopting ORR fatigue guidance when designing driver rosters ● how to promote good quality working relationships within the driver management function ● resourcing, training and ongoing support for those managing drivers ● periodic assessment and retraining in assessment techniques for staff undertaking competence assessments ● providing guidance on driver assessment methods, frequency, duration and time of day, which covers: <ul style="list-style-type: none"> o an appropriate range of routine and unusual activities on both London Underground and Network Rail infrastructure; and o the identification of situations such as loss of attention due to fatigue 	<p>ORR has reported that Network Rail has reported that it has completed actions taken in response to this recommendation. ORR proposes to take no further action unless they become aware that the information provided becomes inaccurate.</p>

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			<p>and/or other causes.</p> <ul style="list-style-type: none"> • how best to highlight important information in operational documents to draw drivers' attention to rules that are critical to safe train operation. (paragraphs 154a, 154b, 154c, 155, 156b and 156c) 	
04/2021/02	Progressing	None	<p>This recommendation is intended to improve the understanding and management of risk at the interface between the national rail network and London Underground operations.</p> <p>Chiltern Railways and London Underground Ltd should jointly establish an effective process for the management of safety at the interfaces between their respective operations. This should include further assessment of the risk associated with operation of Chiltern Railways trains on London Underground Ltd's infrastructure and the implementation of any further risk controls deemed necessary (paragraph 156a).</p> <p>This recommendation may also apply to other passenger and freight train operators working onto London Underground Ltd infrastructure.</p>	<p>ORR has reported that LU has a proposed action plan and timescale for delivery to be taken in response to the recommendation. ORR will advise RAIB when actions to address this recommendation have been completed.</p>
04/2021/03	Progressing	None	<p>The intent of this recommendation is to reduce the likelihood of a collision with another train due to a driver resetting tripcock equipment and proceeding without authority.</p> <p>Chiltern Railways and London Underground Ltd (LUL) should jointly review the design of train protection equipment with the objective of reducing the risk associated with resetting of train protection equipment after activation due to a SPAD on LUL infrastructure. The review should consider:</p> <ul style="list-style-type: none"> • ways of discouraging the immediate resetting of train protection equipment following its activation (known as 'reset and go') • the need for limiting the speed of train movements after train protection equipment has been activated (similar to SCAT); and • ways of minimising unnecessary brake activations on non-LUL lines. 	<p>ORR has reported that LU has a proposed action plan and timescale for delivery to be taken in response to the recommendation. ORR will advise RAIB when actions to address this recommendation have been completed.</p>

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			<p>The review should take into account any planned upgrades of signalling equipment on LUL lines. Any additional measures found to be justified should be implemented in accordance with a timebound plan agreed between Chiltern Railways and London Underground Ltd (paragraph 154b).</p> <p>This recommendation may also apply to other passenger and freight train operators working onto London Underground Ltd infrastructure.</p>	
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