



ATOOC/GN030
Issue 1
January 2016

ATOOC Guidance Note – Developing Incident Care Team Capabilities

Synopsis

This Guidance Note sets out actions to be undertaken by railway undertakings to generally improve the robustness and resilience of the collective TOC community's capability for providing humanitarian support to survivors of rail related incidents. Its content reflects the recommendations contained in the report 'Provision of Post-Incident Humanitarian Support – Raising the Game' (published October 2015) as endorsed by Operations Council.

Authorised by

Chair, ATOOC Operational Resilience and Security Forum
– Incident Care Team Management Group

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Part A

Issue Record

This Guidance Note will be updated when necessary by distribution of a complete replacement.

Issue	Date	Comments
One	January 2016	Original document

Responsibilities

Copies of this Guidance Note should be distributed by ATOC members to persons responsible for company emergency planning and business resilience arrangements and in particular the Incident Care Team.

Explanatory note

ATOC produces ATOC Guidance Notes for the information of its members. ATOC is not a regulatory body and compliance with ATOC Guidance Notes is not mandatory.

ATOC Guidance Notes are intended to reflect good practice. ATOC members are recommended to evaluate the guidance against their own arrangements in a structured and systematic way. Some parts of the guidance may not be appropriate to their operations. It is recommended that this process of evaluation and any subsequent decision to adopt (or not to adopt) elements of the guidance should be documented.

Guidance Note status

This document is not intended to create legally binding obligations between railway undertakings and should be binding in honour only.

Supply

Copies of this Guidance Note may be obtained from the ATOC members' web site.

Part B

1. Introduction

ATOC Approved Code of Practice (ACOP) ATOC/ACOP011 – Joint Industry Provision of Humanitarian Assistance Following A Major Passenger Rail Incident provides the basis for the inter-railway undertaking co-operation and mutual assistance required to ensure that those involved in or affected by such incidents are dealt with safely, efficiently and compassionately with regard to all aspects of welfare and customer service. It details the agreed roles and responsibilities of railway industry parties necessary to achieve this. The Incident Care Team (ICT) initiative provides the means by which railway undertakings generally meet the requirements set out in the ACOP.

The first ICTs were set up around 2002. By 2010 they had been established in very nearly all railway undertakings and collectively there were around 500 trained Team members. 2011 saw the putting in place of a contract between ATOC and Kenyon International Emergency Services to provide additional support in the event of a very largescale incident. The status quo thus established continued until late 2014, reflecting a general consensus that the prevailing arrangements were broadly fit for purpose and proportionate to the risks faced.

However First Great Western's deployment of their Team to an incident in December 2014 in which a rail replacement coach service was involved in a road traffic accident presented a number of challenges. Some of these were anticipated, some rather less so. Feedback from the deployment was shared at the April 2015 meeting of the ATOC Operations Council at which the Council also received a presentation from the Chair of the UK Aviation Emergency Planning Group on how airlines provide post-incident humanitarian assistance, including lessons learned from the loss of Malaysian Airlines Flights 17 and 370. In light of these inputs, Council concluded that the existing ICT arrangements were not sufficiently robust to meet the challenges that would be presented by a future major incident. In doing so, it noted that societal changes, including the growth of social media, have also substantially changed the way in which the aftermath of such incidents needs to be managed. Hence, continuing with the then current arrangements was not acceptable and the options of 'raising the game' and identifying an entirely new approach should both be explored.

In response to this, a comprehensive review of the existing ICT arrangements was undertaken by ATOC during mid-2015. The key objectives of this were i) to understand and document in detail the current ICT position across the TOC community and ii) to identify what 'good' looks like for each element of the ICT arrangements (drawing on experience from outside as well as within the industry) along with the gaps between current and such 'good' practice and what is required to close them.

The resulting report (see section 3 below) was published on 6 October 2015 and contained 27 recommendations directed variously at individual TOCs, the ATOC Incident Care Team Management Group and the Operations Council itself. These were considered by Council at its meeting on 12 October. Subject to some minor re-wording, all recommendations were endorsed as written and Council directed that they be promulgated within the railway undertaking community by means of an ATOC Guidance Note.

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2. Purpose

The purpose of this Guidance Note is to support the ATOC Operations Council's desire to see the 27 recommendations contained in the report acted upon in order to raise the overall robustness and resilience of ICTs, both individually and collectively, so as to ensure that they remain fit for purpose.

3. Associated documents

This Guidance Note refers extensively to the report 'Provision of Post-Incident Humanitarian Support - *Raising the game*' dated 6 October 2015 (referred to as The Report for the remainder of this Guidance Note) in which full details of the context and basis for each of the recommendations may be found. The Report itself is available here:



Reference should also be made to ATOC/ACOP011 – Joint Industry Provision of Humanitarian Assistance Following A Major Passenger Rail Incident. Copies of the current version of this are available from ATOC or via the RSSB website (<http://www.rsb.co.uk/railway-group-standards>).

4. Structure of Guidance Note

The 24¹ of the 27 recommendations from The Report that require further work or action are essentially repeated in the following sections – in some cases recommendations that are closely related have been combined. Recommendations where responsibility for implementation is at individual railway undertaking level are grouped together within Section 5. Recommendations where action on the part of railway undertakings acting collectively through the ATOC Operations Council or ATOC ICT Management Group is required are grouped together within Section 6.

For each recommendation the key requirements taken from The Report are presented in summarised form along with a suggested timescale for implementation and any other relevant information.

While the content of this Guidance Note is advisory only, the ATOC Operations Council will maintain an interest in the industry's ability to respond effectively to major incidents. The ICT initiative is a significant component of this response and thus it should be expected that the Council will wish to periodically review the progress of individual railway undertakings against the recommendations.

¹ Recommendation 25 was for Operations Council to provide a steer to the ICT MG on the extent to which Operations Council considers it likely that TOCs will agree to common maximum amounts for specific items/areas of expenditure during a deployment – this is expected to be provided on an item by item basis in response to proposals from the ICT MG.
Recommendation 26 was for the option of replacing ICTs by fully outsourcing humanitarian response provision to be rejected – this has already been agreed by Council.
Recommendation 27 was for the need to retain the contract between ATOC and Kenyon irrespective of any increase in overall Team size be recognised – that has already been agreed by Council.

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5. Recommendations for individual railway undertakings

5.1 Role of ICT Champion to be formally recognised, documented and resourced (Recommendations 1, 11 and 12)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Define the accountabilities, responsibilities, tasks, personal qualities and behaviours associated with the ICT Champion role.	April 2016	See appendix A.
Incorporate these in a formal role description	April 2016	
Provide the person charged with delivering them sufficient dedicated time to do so.	April 2016	See appendix B.

5.2 Role of Deputy ICT Champion to be similarly formally recognised, documented and resourced (Recommendation 2)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Appoint Deputy ICT Champion with role defined as per Recommendation 1/Section 5.1 above.	April 2016	

5.3 Consistent approach to determining Incident Care Team size (Recommendation 6)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Railway undertakings to carry out a review to determine the appropriate size of their ICT team. In order to achieve a consistent approach to this, the assessment should be in line with the guidance provided in The Report. Railway undertakings should then recruit/ appoint additional Team members accordingly.	April 2017	See note 1 below.

Note 1: The Report considered but rejected a risk based approach to determining optimum Team size. Instead, an approach based on linking Team size to size of organisation was advocated. Were this to be broadly comparable with the ratio in the airlines cited in The Report, it would mean Team sizes equating to around 2% of the individual TOC workforce, providing around 1200 Team members nationally. However, quite apart from other considerations, this will require a sufficient number of suitable volunteers coming forward and railway undertakings are advised against appointing as members of the Team individuals who may not be appropriate for the role simply to make up numbers.

5.4 Adoption of a common Team structure across all ICTs (Recommendation 9)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Railway undertakings to ensure that the structure of the ICT is consistent with the agreed common Team structure.	April 2017	See section 6.2.

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5.5 Formalisation of Team member refresher training and exercising (Recommendation 15)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
A minimum frequency for refresher training/ exercising of Team members of once per annum to be adopted (with attendance at this becoming a condition of continuing membership of the Team).	April 2017	

5.6 Executive level sponsorship of ICT (Recommendation 3)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Executive level sponsorship of the ICT to be provided where this is not already in place.	April 2016	

5.7 Senior management team visibility of ICT (Recommendation 4)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Process to be put in place to provide feedback to railway undertaking senior management from ICT Champion on a regular basis.	April 2016	

5.8 ICT familiarity training for non-ICT roles within TOC (Recommendations 17, 18 and 19)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
ICT familiarisation training be provided to Control Office staff.	April 2016	And to continue on an on-going basis.
ICT familiarisation training be provided to TOLO.	April 2016	And to continue on an on-going basis.
ICT familiarisation training be provided to comms/media teams.	April 2016	And to continue on an on-going basis.

5.9 Team member access to funds during deployment (Recommendation 23)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
All Team members should have access to sufficient financial resources during a call out.	April 2016	See note 1 below.

Note 1: Credit cards are the recommended option as these provide team members with access to funds anywhere in the UK bearing in mind they may be working away from their home TOC. Such cards need only be activated as required for a deployment.

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5.10 Delegation of decision making authority to Team members (Recommendation 24)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Determine appropriate level of delegation of decision making as to whether or not particular survivor requests are reasonable to Team members, noting that this should be to the maximum extent possible.	April 2016	
Brief Team members accordingly.	June 2016	

5.11 Potential additional items

It should be noted that some of the work associated with the recommendations for which the ICT Management Group or Operations Council has responsibility (as listed in Section 6) may generate additional recommendations for TOCs, for example with regard to budgets, funding and expenditure during deployment, approach to recruitment, application of Non-Technical Skills, etc. This Guidance Note will be updated as necessary to reflect the work being carried out during 2016.

6. Recommendations for railway undertakings acting collectively

6.1 Overall national Team size to be significantly increased (Recommendation 5)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Overall national Team size to be significantly increased.	April 2017	Dependent on Recommendation 6/Section 5.3.

The ICT Management Group should monitor the size of individual railway undertaking ICTs and hence the total number of trained Team members nationally and report back to Operations Council on a twice-yearly basis.

6.2 Create a common Team structure able to be adopted across all ICTs (Recommendations 9 and 10)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Develop a model Team structure for adoption across the TOC community, including all roles along with associated tasks, responsibilities, knowledge, skills, behaviours, training needs etc.	September 2016	See note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to create and propose a model Team structure has been added to the Forward Business Plan of the ICT Management Group.

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6.3 Increase the pool of suppliers of ICT training (Recommendation 13)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Further attempts be made to identify additional suppliers of training.	April 2016	Being progressed by ATOC on behalf of ICT Management Group.

6.4 Continue funding of refresher training through ATOC Operations Scheme (Recommendation 14)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
ICT refresher training should continue to be funded through the ATOC Operations Scheme budget with recognition that the number of such events may need to be increased in line with the total number of Team members.	On-going	Funding for such training has been included within the budget proposed for the ATOC Operations Scheme for 2016-7 ² .

6.5 Dedicated ICT budget – items for inclusion and indicative values (Recommendation 7)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Consideration to be given to which items should be included within a dedicated ICT budget and guidance provided on indicative values of each.	December 2016	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to create a proposed list of expenditure items to be included in a TOC dedicated ICT budget along with indicative values has been added to the Forward Business Plan of the ICT Management Group.

6.6 Identification of good practice in recruiting Team members (Recommendation 8)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Consideration to be given to undertaking a small exercise to investigate the relative success of different methods of recruiting Team members with a view to identifying and promoting good practice in this area.	April 2016	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to identify good practice in Team member recruitment has been added to the Forward Business Plan of the ICT Management Group. This will be initiated by an online survey of Team Champions which will seek to identify what approaches have been used and the relative merits and success or otherwise of each.

² The budget as a whole comes before the Council for sign off on 22 January 2016.

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6.7 Potential use of online training for Team members (Recommendation 16)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
A close eye be kept on Kenyon's stated intention to develop online training (and any other similar initiatives) with a view to identifying whether this could be developed for ICT members.	On-going	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to explore the potential use of online training for Team members has been added to the Forward Business Plan of the ICT Management Group. It is not yet possible to provide any timescales for specific deliverables from this workstream.

6.8 Application of Non-Technical Skills (NTS) to Team members (Recommendation 20)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Consideration to be given to defining a set of NTS applicable to the ICT member role (and potentially the other ICT associated roles).	April 2017	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to follow up existing initial exploratory work with RSSB with a formal request for them to investigate the potential application of Non-Technical Skills to ICT members has been added to the Forward Business Plan of the ICT Management Group.

6.9 Possible 'Resource Kit' for Team members (Recommendation 21)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
Consideration to be given to whether the issuing of something similar to the Kenyon 'Resource Kit' to ICT members upon deployment would be both beneficial and practical.	September 2016	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to review the Kenyon Special Assistance Team (SAT) Resource Kit for possible adaptation for ICT members' use during deployment has been added to the Forward Business Plan of the ICT Management Group.

6.10 Back room support requirements for an ICT deployment (Recommendation 22)

<i>Requirement</i>	<i>Suggested timescale</i>	<i>Additional information</i>
A realistic level and scope of back room support that would be needed in the event of a major ICT deployment to be identified, drawing further on Kenyon's experience in this area.	April 2017	See Note 1 below.

Note 1: As of the date of issue of this Guidance Note, a workstream to identify what roles would be required for back room support during an ICT deployment has been added to the Forward Business Plan of the ICT Management Group.

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APPENDIX A – ICT Champion role description

A.1 Accountabilities, responsibilities and tasks

The following are suggested as key accountabilities, responsibilities and tasks associated with the role of ICT Champion:

1. Assume overall responsibility for maintaining the agreed size and effectiveness of the ICT.
2. Assume overall responsibility for the welfare and well-being of Team members during and following any deployment.
3. Ensure that company Directors are aware of the existence, role and capabilities of the Team and the circumstances under which it may be deployed.
4. Ensure that up to date records of all Team members are maintained, including details of line managers; training, exercises and other similar events attended and any deployments.
5. Represent TOC on the ATOC ICT Management Group.
6. Establish and maintain links with key responding agencies in the Local Resilience Forum (LRF) areas served by the TOC. As a minimum these should include Local Authorities, civil police forces and A & E hospitals.
7. Work with these contacts to ensure that a reference to rail ICTs is included in the emergency response plans (or equivalent) of each.
8. Ensure that suitable references to the ICT are included in the Company emergency plan and any associated standards, instructions, etc.
9. Ensure that effective arrangements for activating the ICT are available on a 24/7 basis.
10. Ensure that Control Office staff are trained and briefed in the need to alert the ICT 24/7 contact as a priority in the event of any incident potentially involving the company's passengers, whether on train, station or road transport, of which they become aware. This to also apply in the event of an incident affecting another Operator's services if this is at a location for which the TOC is the designated Primary Support Operator.
11. Ensure compliance with any nationally agreed standards pertaining to the ICT initiative, such as identification of Team members, Team structure, minimum requirements for refresher training and exercising of Team members, etc.
12. Determine guidelines and limits with regard to the support made available to individual survivors.

A.2 Personal qualities and behaviours

To be developed by the ICT Management Group.

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APPENDIX B – Determining how much time should be dedicated to ICT Champion related work

Duties associated with the ICT Champion role combine externally and internally focused elements along with general administration. A realistic assessment of the amount of dedicated time required to undertake these should be undertaken and documented. This appendix seeks to provide assistance in this.

The following table describes the key elements of these various duties and the factors it is suggested be taken into account when determining how much time is required for each. It draws on responses to the survey of TOC Champions undertaken in mid-2015 to support preparation of The Report and includes the range of responses received, in respect of days per annum time spent, from existing TOC Champions and an average time for each factor.

Activity	Factors to take into account	Time requirement (no. of days per annum – range and average)
<i>External liaison¹</i>		
Local authorities ²	How many, what is the journey time if planning to visit, how often ³ is a visit required?	2 – 24 (11)
Police forces ²	How many, what is the journey time if planning to visit, how often ³ is a visit required?	
A & E receiving hospitals ²	How many, what is the journey time if planning to visit, how often ³ is a visit required?	
<i>Internal liaison</i>		
Provide regular feedback to senior management team		1 – 12 (6)
Raise profile of ICT within company	Will depend on the total number of staff and how spread out they are geographically	
Recruitment of new Team members	The overall size of the Team will influence this (the larger the Team the greater the number of Team members that will need to be recruited to replace those who leave)	1 – 6 (3)
Organise and deliver refresher training for Team members	Dependent on size of Team and also preferred choice of format for such training	1 – 12 (4)
Organise exercising of Team members	Dependent on size of Team and also preferred choice of format for such exercising	1 – 12 (4)
Maintain Team momentum more generally (newsletters, briefings, communications, etc.)		1 – 12 (6)

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<i>General Administration</i>		
General administration	Dependent to some extent on size of Team	1 – 12 (9)
Attend ATOC ICT MG meetings		2 – 12 (5)
Attend external meetings/events		1 – 12 (5)

¹ The key objective of external liaison is to ensure that other agencies which would be involved in the response to a major rail incident and alongside whose representatives ICT members would be deployed are familiar with the existence, role, capabilities and functioning of the ICT. Where multiple railway undertakings serve the same agency then it is recommended that they liaise between themselves to share out rather than duplicate such liaison.

² All Category 1 responders (which include the emergency services and local authorities) should be represented at LRF meetings. Thus attending such a meeting can provide a useful introduction

³ It is recommended that the initial briefing on the existence, role, capabilities and functioning of the ICT should be achieved by means of a face to face meeting with an appropriate lead in each case. Maintaining the relationship once it has been established will not necessarily require this on an on-going basis, though it may well be that the initial meeting with the organisation lead results in a request for an ICT presentation to be arranged for their colleagues

Overall the survey results as documented above indicate that ICT Champions consider that an average of 53 days per year is required to undertake all their ICT related activities. It is important to note that this figure is based on existing Team size and that the time needed for certain elements (such as organising and delivering training and exercises, keeping up momentum, recruiting new team members and general admin) could be expected to increase if this is expanded. If the suggested time required for each of these were to double then the total number of days would increase from 53 to 79. As there will be some variation in resource demands dependent both on the size of the Team and the geographical area covered, most TOCs should expect that between 5 and 7 days per month will need to be dedicated to ICT related activity.