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Issue:	2
Date:	4 June 2011
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Level 3

The Reporting and Investigation of Accidents and Incidents within Investment Projects and Asset Management Works Delivery

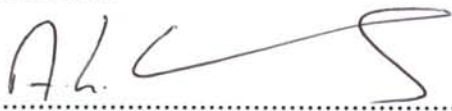
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Issue record

Issue	Date	Comments
1	December 2007	First Issue
2	June 2011	Updated to reflect changes to NR/L2/INV/002 and associated standards and to improve guidance on the application to IP and AMWD

Compliance

This Network Rail standard is mandatory and shall be complied with by Network Rail and its contractors if applicable from 3 September 2011.

When this standard is implemented, it is permissible for all projects that have formally completed GRIP Stage 3 (Option Selection) to continue to comply with the issue of any relevant Network Rail standards current when GRIP Stage 3 was completed and not to comply with requirements contained herein, unless stipulated otherwise in the scope of this standard.

Reference documentation

NR/L2/INV/002	<i>Accident and Incident Reporting and Investigation</i>
NR/L3/INV/0101	<i>General Requirements for the Reporting of Accidents, Incidents and Occupational Ill Health</i>
NR/L3/INV/0110	<i>Irregular Working – Reporting and Risk Ranking</i>
NR/L3/INV/0201	<i>Deciding the Lead Organisation and Level of Investigation</i>
NR/L3/INV/0202	<i>External Agency Investigations</i>
NR/L3/INV/0205	<i>Network Rail led Investigations</i>
NR/L3/INV/0207	<i>Investigation Remit and Report Writing</i>
NR/GN/INV/5101	<i>Guidance on Completion of Accident Report Forms</i>

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1 Purpose

This standard outlines the process to be followed to achieve compliance with NR/L2/INV/002 and the supporting standards and guidance note within the Reporting and Investigation Manual for the reporting and investigation of accidents and incidents occurring during work managed by Network Rail's Investment Projects and Asset Management Works Delivery.

2 Scope

This standard applies to all accidents and incidents resulting from work managed by Investment Projects and Asset Management Works Delivery including:

- accidents and incidents occurring on, affecting, or with the potential to affect, Network Rail Managed Infrastructure (NRMI);
- accidents and incidents which occur off NRMI where the activity was in direct relation to Investment Projects and Asset Management Works Delivery activity;
- accidents and incidents involving contractor staff, Network Rail staff and visitors.

The requirements contained within the standard apply to all projects regardless of their current GRIP stage.

Travel to and from work and manufacturing activities in factory type environments are excluded from the scope of this standard.

3 Roles and responsibilities

Head of HS&E, Investment Projects / AMWD Appointed DCP

The Head of HS&E will:

- act as DCP for all formal investigations which are to be led by their organisation;
- advise relevant parties regarding direction of event investigations;
- facilitate clear and effective reporting lines from their organisation into the wider business;
- issue safety or environmental alerts/bulletins to inform the rail industry of known facts immediately following an event;
- circulation of lessons learnt following an investigation as appropriate;
- provide representation at NRRP.

Programme Heads of HSEA / AMWD Appointed DCP

Programme Heads of HSEA will:

- act as Local DCP and facilitate the implementation of this standard across their respective organization;

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- b) provide guidance on the level of investigation required;
- c) demonstrate clear organisational reporting lines are in place for the communication of events;
- d) guide, review and accept local investigations;
- e) track recommendations and actions arising from investigations, undertake analysis and identify trends;
- f) make sure a mechanism exists in their respective organisation to update the SMIS Input Point with updated event information;
- g) provide representation at RRP.

Project Manager

Project Managers will:

- a) demonstrate clear reporting lines are in place for the communication of events occurring on their projects;
- b) make sure investigations are completed by Principal Contractors and that actions are effectively implemented;
- c) act as lead investigator where appointed.

Health and Safety Manager

Health and Safety Managers will:

- a) provide assistance and professional advice to personnel undertaking investigations;
- b) monitor the progress of event reporting at local level including the completion of investigations and implementation of actions and recommendations.

Note: Where environment is managed as a Function separate to HSEA such as on some major programmes a role such as Environment Manager may undertake some or all of these responsibilities.

Assurance Assistant (Accident Investigation) in the Programme Management Team

The Assurance Assistant will (in conjunction with the SMIS Input Point):

- a) monitor progress and issue of investigations reports;
- b) monitor actions and recommendations for local and formal investigations.

Asset Management Control Centre Duty Manager

Asset Management Control Centre Duty Managers will:

- a) record reported events on the HSEA events log;
- b) determine significance for initial communication purposes;

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- c) communicate details via agreed recipients;
- d) report events occurring on NRMI to the relevant Route Control Managers.

SMIS Input Point

The SMIS Input Point will:

- a) review National, Route and AMCC daily logs and input events into SMIS;
- b) update SMIS entries with reports received and progress updates from project teams;
- c) track progress of investigation reports, recommendations and local actions.

Principal Contractor

The Principal Contractor will:

- a) manage health and safety on a site including the reporting and investigation of accidents and incidents on that site;
- b) undertake investigations for all accident and incidents, track actions through to close out and trend underlying causes;
- c) liaise with the NR project team to make sure adequate remits are produced when they are required to lead a local or formal investigation and provide a copy of the concluded report.

Note: Where a Principal Contractor has not been appointed (e.g. for non-intrusive survey work) the responsibilities in this standard will be undertaken by the Main Contractor.

4 Abbreviations

AMCC	Asset Management Control Centre
AMWD	Asset Management Works Delivery
DCP	Designated Competent Person
GRIP	Governance for Railway Investment Projects
HS&E	Health, Safety & Environment
HSEA	Health, Safety, Environment and Assurance
IWRR	Irregular Working Risk Ranking
NRMI	Network Rail Managed Infrastructure
NRRP	National Recommendations Review Panel
PC	Principal Contractor
PICOP	Person In Charge of Possession
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations