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REPORTING & INVESTIGATION MANUAL

REPORTING OF ACCIDENTS, INCIDENTS AND OCCUPATIONAL ILL HEALTH

1 Purpose

To provide a consistent, comprehensive and structured process for the reporting of safety and environmental accidents, incidents and occupational ill health.

2 Scope

This module of the Reporting and Investigation Manual applies to all safety and environmental accidents, incidents and occupational ill health resulting from or associated with the operation, maintenance, enhancement or renewal of Network Rail assets.

3 Reference documentation

GE/RT8047	Reporting of Safety Related Information
NR/L3/INV/3001/RIM106	Communicating with outside parties on accidents and incidents
NR/L3/INV/3001/RIM113	Statutory reporting of accidents, incidents and occupational ill health
NR/L3/INV/3001/RIM302	Management of recommendations and local actions
NR/L2/OHS/00113	Health Screen and Surveillance for Hand Arm Vibration
NR/L3/OCS/043	National Control Instructions
NR/L1/FIR/100	Company Fire Safety Handbook
	Investigations Matrix
	SMIS Event Matrix

4 Definitions

Accident – An unplanned, uncontrolled event that resulted in personal injury or damage to plant, machinery or infrastructure.

Assault – Any event in which a person is:

- physically assaulted;
- subjected to verbal abuse or has been threatened with violence, whether or not there is physical injury.

NOTE 1 All assaults shall be dealt with in the same manner as an accident.

Close call – An incident that has occurred due to an unsafe condition or act that in other circumstances could have resulted in personal injury or damage to plant, machinery or infrastructure. It should not be confused with a 'near miss' (see definition below).

Contractor – A person undertaking work under contract for Network Rail. This includes:

- a person subcontracted to undertake work for Network Rail; and
- a self-employed person and staff of agencies used by Network Rail or its contractors.

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Control office – This includes the control office that:

- a) controls the day-to-day running of the railway (i.e., Route Operations Controls) or
- b) is relevant to a particular activity (e.g., NDS 24/7).

Environmental close call – A specific unplanned event or occurrence that has the potential to cause an environmental impact.

Environmental event – Term used to include an environmental incident or an environmental close call.

Environmental incident – A specific unplanned event or occurrence that has an environmental impact and requires an immediate response in order to minimise the impact.

Event – An occurrence resulting in an accident or incident.

Fatality – Any injury or condition that results in the death of a person and, in the case of an employee, includes those cases where death occurs within a year of the accident where the injury or condition was suffered. Death from natural causes is not reportable unless it can be shown that there is a good reason to suppose the death arose out of or in connection with work.

Incident – An unplanned, uncontrolled event that, under different circumstances, may have resulted in an accident (includes, and may also be referred to as, a 'near miss' or 'close call').

Investigations Matrix – The matrix used to determine the nominal level of investigation for safety and environmental events within the scope of the Reporting and Investigation Manual.

Member of the public – Applies to persons who are not:

- a) employees of Network Rail and its contractors whilst on duty;
- b) the employees of other Railway Group members and their contractors whilst on duty.

The definition includes:

- c) passengers;
- d) railway neighbours, i.e., persons who may be affected by Network Rail activities, including users of level crossings;
- e) persons on business or with legitimate reasons for being on Network Rail property (e.g., HM Railway Inspectors and others with statutory powers to enter onto Network Rail property);
- f) trespassers.

Near miss – An incident involving a train or rail-mounted plant that has occurred due to an unsafe condition or act and which, in other circumstances, could have resulted in personal injury.

Network Rail managed infrastructure (NRMI) – The infrastructure that falls within the geographic boundaries of Network Rail's operational railway, including the permanent way and land within the lineside fence, and plant used for signalling or exclusively for supplying electricity for traction purposes to Network Rail's operational railway.

It does not include stations (whether or not these are managed by Network Rail), nor does it include depots, yards or sidings owned by, or leased to, other parties. However, it does include permanent way at stations and plant within these locations used for signalling Network Rail's operational railway or exclusively for supplying electricity for operational purposes to the operational railway.

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Structures such as tunnels, bridges, viaducts, underpasses, etc., are deemed to form part of NRM1 only in relation to their potential to transfer risk on to, or from, the operational railway.

Observer – For the purposes of this module, this is a Network Rail employee requested to attend a coroner's inquest.

Occupational ill health – Any case of ill health that is suspected or known to have resulted from the affected person's work environment or work activity, other than ill health caused by personal accident or assault.

NOTE 2 This term only applies to cases of occupational ill health diagnosed or certified by a medical practitioner and includes cases of reportable disease.

Operational close call (formerly irregular working) – An incident that has occurred due to an unsafe act that, in other circumstances, could have resulted in an accident on the operational railway. This includes any 'near miss' or 'close call' that may be the result of such an act by a person.

Examples of operational close calls include:

- a) incorrect placement or type of earthing equipment used;
- b) failed to caution train;
- c) irregular train movement;
- d) equipment fell on running line;
- e) trolley/vehicle runaway.

Personal accident – An uncontrolled, unplanned event that results in an individual being injured or shocked. This includes:

- a) assaults, whether or not physical harm was caused;
- b) ill health that is attributable to a single event whilst an employee is at work and includes inhaling, swallowing or otherwise absorbing any substance, or suffering from lack of oxygen, except where a reportable disease is involved.

Preliminary investigation – A preliminary initial investigation to establish the facts and preliminary causes of an accident or incident, and whether there is a need for further investigation. Also known as a level 1 investigation.

Responsible manager – For the purposes of this module, this includes:

- a) persons with the competence and responsibility within their function for:
 - the safe and sustainable operation, maintenance or renewal of the railway;
 - briefing the reporting or investigation process to employees;
 - managing or supporting the reporting or investigation process.
- b) persons responsible for managing, administering and delivering contracts, either for major or minor works schemes, e.g., project managers.

Safety Management Information System (SMIS) – The system owned by RSSB and used by Railway Group Members for the retention of data applicable to safety, environment and occupational ill health events.

SMIS Event Matrix – This sets out the requirements for compliance with GE/RT8047. It has been issued by the RSSB as guidance to infrastructure managers and railway undertakings but is mandatory in accordance with this module.

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S&SD Reporting Team – Responsible for the reporting and analysis of events and the management of reporting in SMIS.

5 General

5.1	<p>Arrangements shall be in place for:</p> <ul style="list-style-type: none"> a) the initial notification of all accidents and incidents to the appropriate control office; b) preliminary investigation and reporting of all accidents, incidents, and cases of occupational ill health to the relevant S&SD Reporting Team to enable the timescales shown in Table 1 to be met. <p>NOTE 3 All staff/contractors are responsible for the initial notification to the appropriate control office; however, it is the responsibility of responsible managers to put appropriate arrangements in place to facilitate this.</p> <p>NOTE 4 Details of the S&SD Reporting Team are available on Connect (click on this link Safety Reporting).</p>	Responsible manager
5.2	All accidents, incidents, and cases of occupational ill health reported in accordance with this module, shall be input to SMIS.	Corporate S&SD Reporting Manager
5.3	The input to SMIS of all reports is to be undertaken within the timescales shown in Table 1.	Corporate S&SD Reporting Manager

Event type	Timescale for initial SMIS input
Event reportable to Rail Accident Investigation Branch (RAIB) under schedule 1 or 2 of Railway (Accident Investigation and Reporting) Regulations 2005	Within 3 working days
All other events	Within 5 working days

Table 1 – Timescales for initial SMIS input

NOTE 5	The statutory reporting of events should be undertaken in accordance with NR/L3/INV/3001/RIM113.
NOTE 6	Where an event is not immediately reported, it is acceptable to input the report to SMIS within 5 working days of receipt of the first report of the event.

6 Initial notification

6.1 Events on or affecting NRMI or Network Rail managed stations

6.1.1	Arrangements shall be in place to report events that affect the safe operation of, or have an environmental impact on, NRMI or Network Rail managed stations to the appropriate control office as soon as possible.	Responsible manager
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6.1.2	Direct all reports received from a member of the public or other external source, advising of such events to the appropriate control office.	Responsible manager
6.1.3	The initial notification of such events shall be communicated in accordance with the instructions contained in the National Control Instructions NR/L3/OCS/043 and recorded in the relevant control log.	Control Office Manager

6.2 Events not on or affecting NRMI or Network Rail managed stations

6.2.1	<p>Arrangements shall be in place to report all events that do not occur on and do not affect NRMI or Network Rail managed stations, but involve the activities/operations of Network Rail and/or the employees of Network Rail or its contractors, to the appropriate control office.</p> <p><i>NOTE 7 This includes events occurring in Network Rail corporate offices, i.e., those offices owned or leased by Network Rail and wholly or partly occupied by Network Rail employees.</i></p> <p><i>NOTE 8 In the case of Network Rail corporate offices, details of both the 'appropriate control office' and the S&SD Reporting Team for each office are available on Connect (click on this link Safety Reporting).</i></p>	Responsible manager
6.2.2	The initial notification of such events shall be communicated in accordance with the instructions contained in the National Control Instructions.	Control Office Manager

7 Reporting requirements

7.1 General

	<p>Following the initial notification of an event, the details of the event shall be submitted using the preliminary report and investigation form.</p> <p><i>NOTE 9 The preliminary report and investigation form referred to in this module is available from Connect (click on this link Report forms).</i></p>	Responsible manager
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7.2 Personal accidents to members of staff

7.2.1	Use the preliminary report and investigation form to report all personal accidents (including assaults), to the S&SD Reporting Team, that: <ul style="list-style-type: none"> a) occur on NRMI, Network Rail managed stations and property leased to Network Rail; or b) involve employees of Network Rail, or contractors undertaking work for Network Rail, whilst on other premises (including yards, depots, sidings and the public highway) whilst on duty. 	Responsible manager
7.2.2	For the purpose of this module, shock or traumatic stress affecting any person who has been involved in, or witness to, an event shall be regarded as an injury.	Responsible manager
7.2.3	Report all fatal accidents to the British Transport Police (or Civil Police if the accident did not occur on railway property) as soon as possible.	Control Office Manager
<p>NOTE 10 <i>Guidance on the reporting of accidents resulting in death or injury is given in Appendix D.</i></p>		

7.3 Accidents and assaults to members of the public

7.3.1	Use the preliminary report and investigation form to report all personal accidents (including assaults), to the S&SD Reporting Team, that: <ul style="list-style-type: none"> a) occur on NRMI or Network Rail managed stations, or occur on property or within offices owned by or leased to Network Rail; and b) are related to or attributable to the operation of the railway; and c) involve members of the public. <p>NOTE 11 <i>The preliminary report and investigation form referred to in this module is available from Connect (click on this link Report forms).</i></p> <p>NOTE 12 <i>Accidents to be reported include shock or traumatic stress affecting any person who has been involved in, or witness to, an event.</i></p>	Responsible manager
7.3.2	Report all accidents resulting in fatal or major injury immediately to the relevant Route Operations Control.	Responsible manager
7.3.3	Report all accidents resulting in fatal or major injury in accordance with NR/L3/INV/3001/RIM113 and the National Control Instructions.	Control Office Manager