

Ref:	NR/L3/INV/3001/RIM102
Issue:	1
Date:	3 December 2011
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REPORTING & INVESTIGATION MANUAL

REPORTING OF ACCIDENTS, INCIDENTS AND OCCUPATIONAL ILL HEALTH TO SMIS

1 Purpose

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

2 Scope

This module applies to the input to SMIS of the following:

- a) events occurring on Network Rail managed infrastructure (NRMI);
- b) events that do not occur on NRMI but which cause, or have the potential to cause, an increase in risk on NRMI;
- c) events occurring on Network Rail managed stations;
- d) events involving rail vehicles operated by Network Rail;
- e) accidents and assaults involving Network Rail employees whilst on duty, including whilst travelling in road vehicles (whether owned, hired or leased by Network Rail);
- f) occupational ill health affecting Network Rail employees;
- g) accidents and assaults involving employees of contractors whilst undertaking work for Network Rail;
- h) accidents to members of the public occurring on NRMI or Network Rail managed stations, including cases of suicide, suspected suicide and attempted suicide;
- i) enforcement action taken by the Office of Rail Regulation or other enforcing authority concerning issues relating to operations or activities on or affecting NRMI and Network Rail managed stations;
- j) judicial inquiries, RAIB investigations, Network Rail led local and formal investigations, and investigations led by other Railway Group members.

Ref:	NR/L3/INV/3001/RIM102
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3 Reference documentation

GE/RT8047	Reporting of Safety Related Information
NR/L3/CIV/176	Management of reports on Bridge Strikes
NR/L3/INV/3001/RIM101	General requirements for reporting accidents, incidents and occupational ill health
NR/L3/INV/3001/RIM205	Network Rail led investigations
NR/L3/INV/3001/RIM301	Tracking of investigations, recommendations and local actions
NR/L1/INF/02232	Information Security Policy
NR/L3/INF/02226	Corporate Records Retention Schedule
	SMIS Event Matrix
	Reporting and Investigation Manual

4 Definitions

Accident – An unwanted or unintended sudden event or a specific chain of such events which have harmful consequences; for example, accidents include the following: collisions, derailments, vehicles struck at level-crossings, persons struck by trains, fires and others.

Assault – Any event in which a person is:

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

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

Close call – A close call is 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, infrastructure or the environment. 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 sub-contracted to undertake work for Network Rail.

This includes a self-employed person and staff of agencies used by Network Rail or its contractors.

Event – Where this term is used, it means occurrences resulting in an accident or incident.

Enforcement action – For the purposes of this specification, this means Improvement Notices (except Improvement Notices served under the Fire Precautions Act 1971), Prohibition Notices and prosecutions by the Health and Safety Executive (HSE), Environment Agency or other enforcing authority.

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').

Ref:	NR/L3/INV/3001/RIM102
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

Member of the public – This definition 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 crossing;
- 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 – A 'Near miss' is 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) – Network Rail Managed Infrastructure is 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.

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

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

Recommendation – A proposal made following an inquiry or investigation to:

- a) change an existing control measure, or
- b) define a new control measure

to eliminate or mitigate a risk derived from the cause(s) or contributor(s) of an event, as described in an inquiry or investigation report.

Reporting and Investigation Manual (RIM) – A Network Rail produced manual comprising the company's processes, and supporting guidance, for accident and incident reporting and investigation.

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

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SMIS Event Matrix – The SMIS Event Matrix 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.

SMIS Input Point – That part of the organisation or function responsible for reporting events to SMIS.

5 Event categories to be reported

5.1	Arrangements shall be in place for the event categories shown in the SMIS Event Matrix to be reported to SMIS.	Safety Reporting Manager
	<p><i>NOTE 2</i> The SMIS Event Matrix contains guidance on reporting for the event categories and is available on Connect (click on this link SMIS Event Matrix) and also on the SMIS on-line help.</p> <p><i>NOTE 3</i> See also separate modules in the Reporting and Investigation Manual for reporting of specific event categories.</p> <p><i>NOTE 4</i> NR/L3/CIV/176 contains the requirements for the reporting of bridges strikes.</p> <p><i>NOTE 5</i> See Appendix D for details of the contents of the SMIS Event Matrix.</p>	
5.2	The requirements of the SMIS Event Matrix and associated guidance shall be complied with.	SMIS Input Point
	<p><i>NOTE 6</i> Clause 2 of this module details the general scope of the requirements for reporting and Appendix A provides some examples of the events that should and should not be reported.</p>	

6 Input to SMIS by other parties

6.1	It is permissible for Network Rail, where it is the SMIS event owner for a particular event category, to arrange for another organisation with direct access to SMIS to input to SMIS on Network Rail's behalf.	Safety Reporting Manager
6.2	Where arrangements are in place for another organisation to input to SMIS on behalf of Network Rail, arrangements shall be in place with the organisation concerned to require events to be reported to SMIS in accordance with this module.	Safety Reporting Manager