

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

REPORTING & INVESTIGATION MANUAL

STATUTORY REPORTING OF ACCIDENTS, INCIDENTS AND OCCUPATIONAL ILL HEALTH

1 Purpose

To provide a consistent, comprehensive and structured process for the statutory reporting of accidents, incidents and occupational ill health to the Rail Accident Investigation Branch (RAIB), the Office of Rail Regulation (ORR) and the Health & Safety Executive (HSE) or a local enforcing authority.

2 Scope

2.1 This module applies to:

- a) events occurring on Network Rail managed infrastructure (NRMI), including Network Rail managed stations.
- b) accidents involving Network Rail employees whilst on duty and not occurring on NRMI, including whilst travelling in road vehicles (whether owned, hired or leased by Network Rail).
- c) accidents involving employees of contractors whilst undertaking work for Network Rail;
- d) accidents to members of the public occurring on NRMI or Network Rail managed stations, including cases of suicide, suspected suicide and attempted suicide.

2.2 The requirements of this module are additional to the statutory reporting requirements of the RIDDOR 1995 and RAIR 2005.

2.3 Nothing in this module relieves Network Rail of any obligation to report as the employer or responsible person under RIDDOR 1995, or as a duty holder under RAIR 2005.

Copyright Network Rail

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

3 Reference documentation

GE/RT8047	Reporting of Safety Related Information
GE/RT8250	Reporting High Risk Defects
NR/L2/OPS/035	Dissemination of Urgent Operating Advice
NR/L3/INV/3001/RIM101	General requirements for the reporting of accidents, incidents and occupational ill health
NR/L3/INV/3001/RIM102	Reporting of accidents, incidents and occupational ill health to SMIS
NR/L3/OCS/043/2.3	National Control Instructions – Incidents
	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:

- physically assaulted,
- 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 to 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, and
- a self-employed person and staff of agencies used by Network Rail or its contractors.

Control office – This includes the Control Office that:

- controls the day-to-day running of the railway (i.e. Route Operations Controls) or
- is relevant to a particular activity (e.g. Asset Management Control Centre).

Event – Where this term is used, it means occurrences 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 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').

Ref:	NR/L3/INV/3001/RIM113
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.*

Personal accident – An uncontrolled, unplanned event that results, or could in similar circumstances result, 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.

RAIR 2005 – The Railway (Accident Investigation and Reporting) Regulations 2005.

RIDDOR 1995 – The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995.

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

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

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

5 General requirements

5.1	<p>Arrangements shall be in place for the contents of the SMIS Event Matrix relating to the statutory reporting of accidents and incidents to be complied with by the SMIS Input Point.</p> <p><i>NOTE 2 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.</i></p>	Safety Reporting Manager
5.2	<p>Arrangements shall be in place to:</p> <ul style="list-style-type: none"> a) enable the SMIS Input Point to identify events which are required to be reported to the ORR, the HSE and the RAIB; b) obtain, where necessary, further information/evidence (including reports from other parties) to complete the statutory reporting of relevant events. <p><i>NOTE 3 The SMIS Event Matrix provides guidance to assist the identification of such events.</i></p> <p><i>NOTE 4 The arrangements should include a check of the relevant Control logs.</i></p>	Safety Reporting Manager
5.3	<p>For any event reported or requiring to be reported to the RAIB under Schedule 1 or Schedule 2 of RAIR 2005, arrangements shall be in place for the initial reporting of the event to SMIS be undertaken within 3 working days of the event occurring.</p> <p><i>NOTE 5 The event categories shown in GE/RT8047 should be reported into SMIS in accordance with modules NR/L3/INV/3001/RIM101 and NR/L3/INV/3001/RIM102.</i></p> <p><i>NOTE 6 Normally, initial reporting of an event to SMIS is undertaken within 5 working days of the event occurring in accordance with NR/L3/INV/3001/RIM102.</i></p> <p><i>NOTE 7 The National Operations Centre (NOC) will undertake the immediate reporting to the RAIB of events reportable under Schedules 1 and 2 of RAIR 2005 (see Appendix C).</i></p>	Safety Reporting Manager
5.4	<p>Arrangements shall be made for the reporting of relevant events, within their area of responsibility, to the appropriate enforcing authority.</p> <p><i>NOTE 8 The ORR will be the enforcing authority for events occurring on the operational railway and for offices physically connected to the operational railway. For offices away from the operational railway, the enforcing authority may be the HSE or the local council; the statutory health & safety notice poster for the building should provide details of the relevant enforcing authority.</i></p>	Line manager

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

5.5	<p>Arrangements shall be made to check that a contractor has arrangements in place to:</p> <ul style="list-style-type: none"> a) carry out the statutory reporting of those accidents for which the contractor has sole responsibility to the appropriate enforcing authority, and b) undertake the direct input to SMIS or have arrangements in place to provide the appropriate Network Rail SMIS Input Point with the required information/details. <p>NOTE 9 <i>In the case of an injury to a contractor's employee that requires to be reported to the ORR/HSE/local enforcing authority, the contractor, as the employer, is responsible for reporting details of the injury.</i></p> <p>NOTE 10 <i>Where any other event occurs on NRMI or at a Network Rail managed station, involving a Network Rail contractor and which requires to be reported to the ORR, reporting to the ORR should be undertaken by Network Rail.</i></p> <p>NOTE 11 <i>In the case of reporting to the RAIB an event that involves a Network Rail contractor, the contractor may also report the event to the RAIB where the contractor is considered to be a duty holder for the purposes of RAIR 2005.</i></p>	Line manager/project manager responsible for contract
-----	--	---

6 Immediate reporting of events

6.1 General

6.1.1	Where an event is reported in accordance with clauses 6.2 and 6.3 , arrangements shall be made to complete the required form and to forward it electronically to the relevant Safety Reporting Specialist (SRS).	Route Control Manager
6.1.2	Arrangements shall be made for the form received from the Route Control Manager to be retained by the relevant SMIS Input Point.	Safety Reporting Manager

6.2 Events occurring on or affecting NRMI

6.2.1	<p>Arrangements shall be made for the relevant Control Office to undertake the immediate reporting of serious events to the ORR in accordance with NR/L3/OCS/043/2.3.</p> <p>NOTE 12 <i>Details of those serious events that require to be immediately reported to the ORR are available from the ORR website – click on this link ORR Serious Incidents to obtain the current details. A summary of those events that will need to be immediately reported is provided at Appendix B of this module.</i></p>	Route Control Manager
6.2.2	Arrangements shall be made to notify the National Operations Centre (NOC) of serious events that require to be immediately reported to the RAIB in accordance with NR/L3/OCS/043/2.3 .	Route Control Manager

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

- 6.2.3 Arrangements shall be made for the immediate reporting of events to the RAIB in accordance with Schedules 1 and 2 of the RAIR 2005 and [NR/L3/OCS/043/2.3](#).

NOTE 13 A summary of those events that will need to be immediately reported is provided at Appendix B.

NOC Duty Manager

6.3 Events not occurring on or affecting NRMI

Arrangements shall be made for the immediate statutory reporting of events to the HSE's Information Contact Centre in accordance with the requirements of RIDDOR 1995.

NOTE 14 The contact details of the HSE's Information Contact Centre may be found on the location's statutory health & safety notice.

Control Office Manager

7 Written reports – RIDDOR 1995

7.1 Individually reportable events

- 7.1.1 Arrangements shall be made for the SMIS Input Point to undertake the statutory reporting of relevant accidents, personal accidents (including assaults), incidents, and cases of occupational ill health to the relevant enforcing authority within the required timescales and in accordance with the guidance contained in the [SMIS Event Matrix](#).

Safety Reporting Manager

- 7.1.2 For events occurring within their area of responsibility, arrangements shall be made for the SMIS Input Point to provide, where appropriate, written reports using the relevant RIDDOR 1995 report form available within SMIS. Such reports shall be sent within 10 days of the event occurring.

Safety Reporting Manager

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

NOTE 15 *Guidance on the dangerous occurrences and statutory reporting requirements under RIDDOR 1995 is set out in the HSE publications 'Guidance for Railways, Tramways, Trolley Vehicle Systems and other Guided Transport Systems in RIDDOR 1995' and the general 'Guide to RIDDOR 1995' (booklets L75 and L73 respectively).*

NOTE 16 *The RIDDOR 1995 report forms are:*

*F2508RA (Form A),
F2508RB (Form B) and
F2508.*

NOTE 17 *In the case of those events not reported promptly the written report should be sent within 10 days of the event being reported.*

NOTE 18 *Forms F2508RA (Form A) and F2508RB (Form B) can be created within SMIS upon correct completion of the classification questions and, in the case of personal accidents, the completion of fields concerning the nature and degree of injury sustained.*

NOTE 19 *See further guidance at Appendix A for creating written reports.*

7.1.3

The written reports prepared for the HSE or local enforcing authority shall be checked before they are despatched and then sent under cover of their signature with the actual forms signed by the Safety Reporting Assistant.

Safety Reporting
Manager

NOTE 20 *Forms are sent electronically to the ORR directly from within SMIS.*

7.2 Causation details

Where the cause of the event is not known at the time a written report is provided in accordance with clause 8.1, arrangements shall be made for the SMIS Input Point to inform, in writing, the ORR/HSE/local enforcing authority the cause(s) of the event once the investigation has been completed.

Safety Reporting
Manager

NOTE 21 *A new and revised form (F2508, F2508RA (Form A) or F2508RB (Form B)) should not be created and sent.*

Ref:	NR/L3/INV/3001/RIM113
Issue:	1
Date:	3 December 2011
Compliance date:	3 March 2012

7.3 'Bulk' reportable events

Arrangements shall be made by the person identified in **Table 1** for 'bulk' reports to be sent to the ORR within 10 days of the end of the month for relevant events occurring within the relevant route.

See Table 1

NOTE 22 *In the case of the 'bulk' reporting of broken rails and wrong side signalling equipment failures, the information for the 'bulk' reports will be obtained from systems other than SMIS.*

NOTE 23 *Whilst SMIS is able to produce the bulk report (based on answers to the SMIS classification questions, creating the appropriate RIDDOR 1995 dangerous occurrence number, i.e. DO72), 'bulk' reporting does not need to be undertaken for category A SPADs. An exemption to RIDDOR 1995 in respect of the bulk reporting of category A SPADs has been granted by the HSE.*

Event type	Responsibility for reporting
Bridge strikes	Safety Reporting Manager
Broken rails	Engineering Reporting National Specialist Team
Wrong side signalling equipment failures	Delivery Unit Signal & Telecoms Maintenance Engineer

Table 1 – Responsibility for 'bulk' reporting to ORR

8 Written reports – RAIR 2005

8.1 Schedule 1 and 2 events

8.1.1 In accordance with the instructions in [NR/L3/OCS/043/2.3](#) arrangements shall be made for the NOC to:

NOC Duty Manager

- undertake the immediate reporting to the RAIB of Schedule 1 and 2 events using form RAIBN1 in accordance with the required timescales, and
- notify the relevant SMIS Input Point of those events that have been reported to RAIB by providing the relevant SMIS Input Point with a copy of the completed form RAIBN1.

NOTE 24 *Guidance on the statutory reporting requirements under RAIR 2005 is contained in the RAIB's own guidance on the regulations. Further guidance is provided at Appendix C.*

NOTE 25 *The NOC should normally e-mail the RAIBN1 form to the RAIB and the relevant SMIS Input Point. Where this is not possible the form should be faxed to the RAIB and SRS.*