


Accident / Incident Reporting and Investigation Procedure	Document location/reference: PROC001		
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This document will be updated when necessary by distribution of a complete replacement. A vertical back line in the margin will mark amendments or additions.

Amendment Record

Issue	Date	Comments
1	June 2020	New Document
2	May 2023	References to safety consultant replaced with HSQE Manager

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1. Purpose

The purpose of this procedure is to establish a documented system for reporting and investigating then taking corrective and preventive action in the event of an accident or incident including environmental spillages/incidents involving personnel or external providers and members of the public who are injured as a result of the company's undertakings.


It also takes into account the requirements of Network Rail Business Document NR/L3/INV/002 Accident & Incident Reporting & Investigation when working on the Network Rail Infrastructure.

Near misses and Close Calls will be reported and investigated as if an actual accident/incident/environmental spillage occurred. Throughout this procedure the term accident/incident/environmental spillage is deemed to include any near miss.

Safety & Sustainable Development Events and Close Calls resulting from work on behalf of Infrastructure Projects will be reported and investigated via PP002A which is compliant to NR/L3/OHS/0046 The Reporting, Investigation & Recording of Safety & Sustainable Development Events & Close Calls within Infrastructure Projects

2. Scope

The scope of this procedure covers the reporting and investigation of any accident/incident/environmental spillage including environmental spillages involving staff or external providers, members of the public and the client's employees either on site or within company premises it will when deemed necessary also apply to Road Traffic Accidents.

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3. Responsibilities

It is the responsibility of Managing Director with assistance from the HSQE Manager to:

- Ensure arrangements are in place for the investigation of accidents/incidents.
- Ensure appropriate corrective and preventive action is taken following an accident/incident/environmental spillage, including visits to the accident site when deemed necessary.
- Cascade information of all accident/incident/environmental spillage/dangerous occurrence throughout the business.
- Provides analysis of accidents and incidents for the Management Team members
- Analyse all accidents and incidents to monitor progress against the Business Objectives.
- Ensure that safety related information has been reported to the client in accordance with their requirements.
- Ensure all reportable accidents/dangerous occurrences have been reported to the relevant Enforcing Authority (ORR /HSE).
- Operate and subsequently update this procedure in accordance with the Safety Management System.
- Ensure Close Calls are reported via the www.closecallsystem.co.uk website.
- Either act as or nominate a Designated Competent Person (DCP) responsible for managing the investigation in the event of an incident.
- To act as Response Manager in the event of enforcement action from an enforcing authority.

Operations Director is responsible for ensuring:

- This procedure is briefed down to their workforce prior to work taking place.
- Ensuring any accident/incident/environmental spillage is reported to Managing Director and the client as per their procedure.

Employees/External providers are responsible for:

- Reporting all accidents/incidents including near-misses no matter how minor or trivial they may seem to their Manager/Supervisor in accordance with this procedure, local rules and any other documented procedure in relation to the site they are working on.


4. Procedure

Accident/incident/environmental spillage Reporting

There are three levels of mandatory reporting requirements detailed on this procedure. The first level is the company reporting structure, which covers all accidents and incidents and can be seen at Annex A.

The second is the statutory “**Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (2013)**”, known as RIDDOR.

These regulations require that specified injuries, fatalities, dangerous occurrences and environmental incidents to be reported to the Health and Safety Executive (HSE)/ORR on form

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2508/2508RA depending on location of accident or Local Authority (the 'enforcing authority'). (Environmental Incidents to be reported to the Environmental Agency)

The third is the reporting structure of accidents/incidents, which occur whilst on our client's Premises.

Statutory Accident Reporting (RIDDOR)

The RIDDOR Reporting covers but is not limited to:

- Fatalities and Specified Injuries.
- Injuries resulting in incapacity for more than three days
- Specified Diseases.
- Dangerous occurrences.

Full details of all statutory reporting can be found within the legislation and guidance.

The enforcing Authority (HSE/Health Department) should be noted in the Site Safety Plan and (Accident Book) with the contract address and telephone number.

Initial Accident/incident/environmental spillage Response


Initial Actions – Accidents, Incidents or Emergencies on the Railway Infrastructure including those involving Train Operations.

On Site

Initial Actions

Staff on site shall carry out the following actions: -

- Establish a safe situation
- Advise the Owning Manager/Signaller/other Staff
- Stop Railway traffic as per the rulebook or local arrangements (if applicable)
- Request isolation of electric traction supply (if applicable)
- Keep people away
- Get Help:
- Summon the Emergency Services and request assistance giving as much as the following information as possible:
 - Location
 - Casualties
 - Hazards
 - Access arrangements
 - Emergency Services required
 - Type of Accident/incident/environmental spillage
- Stay on the PHONE until relieved then contact your Manager/Supervisor, advising him of the incident and confirming that you have summoned the emergency services.
- Ensure that all persons are in a position of safety and that any necessary evacuation has taken place.
- Identify and minimise any other hazards

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- All messages regarding the incident must be treated, as messages concerning Safety and the requirements of the Rule Book Section “A” Clause 5 must be observed.

Those Emergencies, Accidents or Incidents involving the Network Rail Infrastructure you may find that local staff may undertake many of the initial actions. Alternatively, other rail staff or other persons reporting the emergency may undertake these.

Once the extent of the emergency, accident or incident has been assessed and the information communicated to the emergency services, responsibility of the scene of the emergency and any subsequent responsibilities should be handed over to the emergency services or the senior Network Rail person to implement their own plan.

Preservation of Evidence

In some cases of an Accident/incident/environmental spillage, the Police may treat the site, as a scene of crime therefore in all cases evidence must be preserved.

Assisting Enforcing Authorities

An Inspector from the Enforcing Authority i.e. The BT Police, or the client may wish to carry out their own investigation. Rail Power & Construction Ltd shall do everything to assist in these investigations.

Accident/incident/environmental spillage reporting on the client's premises/property

In the first instance of an accident/incident/environmental spillage on the client's premises the procedures laid down in their induction training/site rules/emergency arrangements should be acted upon, and then reported via PF002.1 Initial Accident Incident Report Form to the main office.

When additional information is required by the client Managing Director will pass on the required information in accordance with the client's instructions/requirements.

Accident/incident/environmental spillages occurring on Rail sites must be reported immediately to the client with a full report made within four days.


It may be necessary to invoke the “For Cause Drug Testing Process” both the Managing Director and the Supervisor have the Pin Number Reference necessary to call out the For Cause Drug Testing Contractor.

The Manager or Supervisor will make appropriate arrangements for people who are waiting for testing as detailed within PROC003 Alcohol & Drugs Procedure:

Documentation

Each accident/incident/environmental spillage shall be reported in the first instance to the Manager/Supervisor who will then complete the PF002.1 or the client's own reporting form to save duplication, which should be completed at the earliest opportunity. The form should give a unique number then be cross referenced in the accident book.

The Accident Book will then be completed by the Administrator responsible at the office as per the flowchart at Annex A.

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The site copy must be kept in a file for a minimum of three years. All records relating to the investigations in to any accident are kept for audit purposes.

In compliance to the GDPR 2018 any S&SD report submitted to Clients shall not include the names or details of the people involved in the event. People shall be referred to by the role they fulfilled at the time the event occurred e.g. Safe Work Leader, Operative 1, Site Manager, etc.

Near Misses/Close Calls

All near misses and close calls will be reported and if necessary investigated as if it was an accident, incident or environmental spillage.

A Close Call

A close call is defined as an event that had the potential to cause injury or damage. It is not to be confused with a near miss which is an event involving a train or On Track Plant (OTP) or with other events required to be reported into SMIS. This is designed to be a simple definition to support those reporting a close call and others in the process. See also PP002A Reporting & Investigation of S&SD Events and Close Calls within Infrastructure Projects

Accident/incident/environmental spillage Investigation

Learning from our mistakes plays an important part in improving the safety of our staff members and third parties. Do not just take action relating to the incident itself, but see what we can learn from this for other areas of activity to improve Health and Safety on the site and pass relevant suggestions to other related sites.

A Board of Inquiry may be set up, at the discretion of Managing Director to investigate any accident/incident/environmental spillage reported to his office.


Normally a Board of Inquiry will only be constituted when the accident/incident/environmental spillage is notifiable under RIDDOR as a major injury/incident or at the request of our client.

This however should only be considered as a basic guideline. The majority of accidents/incidents are not reportable nevertheless this does not mean that there are no lessons to be learnt, similarly there will be occasions when no value will accrue from a Board of Inquiry set up to investigate a major injury.

Constitution of the Board

Each Board of Inquiry will, normally, consist of three members, or their deputies, as follows:

- Chairperson - Managing Director
- Members - HSQE Manager
- Manager of the involved person/persons

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Additional members (persons being technically competent in specific fields) may be co-opted if it is considered that the Board lacks the required technical competence to complete the investigation and evaluate the findings.

Meetings

The number of meetings convened will depend upon the amount of work entailed in the investigation. Generally a Board will meet three times excluding any visit to the scene of the accident/incident/environmental spillage.

The business of the three meetings shall be as follows:

- | | |
|------------------------|--|
| <u>Initial Meeting</u> | <ul style="list-style-type: none"> - To receive a verbal report from the responsible person. - To review the F2508/F2508A forms (if applicable) & any other documentation submitted to the enforcing authority or client. |
| <u>Inquiry Meeting</u> | <ul style="list-style-type: none"> - To plan the detailed work of the investigation. - To review written reports from persons involved and from witnesses. - To conduct any interviews required in connection with the investigation. |
| Report Meeting | <ul style="list-style-type: none"> - To review and approve the report of the Board of Inquiry prior to distribution. |

Note: That the Chairperson will, communicate the findings of the Board to the relevant client Manager or his representative.

All documentation presented to the Board shall be filed and, together with all papers, reports, photographic evidence, minutes of meetings, etc. prepared by the Board, shall be retained by the Company for the period required by statute law.

Timings

The initial meeting will take place within 24 hours or the next working day unless in exceptional circumstances when the Board will convene outside office hours.


The immediate cause of the event shall now be established. The following list, although not exhaustive, gives examples of what should be considered.

Unsafe Acts

- Operating equipment without authority
- Failure to secure
- Operating at improper speed
- Making safety devices inoperative
- Using defective equipment
- Under influence of alcohol or other drugs
- Unclear messages, both written & verbal

Unsafe Conditions

- Inadequate:
 - safety inspection prior to starting
 - protection arrangements
 - equipment
 - warning system
 - safe system of work
- Defective tools, equipment or materials
- Congestion or restricted access
- Fire and explosion hazards

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The Inquiry meeting will take place within 7 days of the accident/incident/environmental spillage by that time all necessary documentation and reports should be available for review. The investigation should be aimed at establishing the underlying causes of the event some examples could be:


- Mental/psychological capability
- Training or briefing
- Tools or equipment
- Physical or physiological stress
- Lack of knowledge
- Under the influence of Drugs or Alcohol
- Leadership or supervision
- Maintenance
- Instruction or information
- Mental or psychological stress
- Improper motivation
- Engineering
- Purchasing
- Systems
- Lack of Skill
- PPE

The Board of Inquiry shall complete its work and present its final report within 7 days (4 days for rail related accidents/incidents) of the accident/incident/environmental spillage occurring. In the event that there are valid reasons why this time scale cannot be achieved, the Chairperson of the Board shall provide the client with written justification for the delay, together with a revised completion date, no later than 5 working days after the accident/incident/environmental spillage.

Scope of Investigation

The Board of Inquiry shall:

- a) Establish exactly what happened, including the events leading up to the accident/incident/environmental spillage and immediately thereafter.
- b) Establish who was involved, both directly and indirectly.
- c) Examine all relevant documentation, including (where applicable) but not being limited to:
 - Plant inspection & maintenance records
 - Training records
 - Personnel records
 - Certificates of test
 - Permits-to-work
 - External providers
 - "For Cause" Test Result
- d) Review the performance of all individuals involved, reference adherence to Company and client procedures, compliance with all relevant Acts and Regulations. Establish the extent to which, any involved person, or persons, was ignorant of his or her legal obligations or of company procedures. If such is found to be the case, establish the reason for the lack of knowledge.
- e) Establish, if at all possible, the cause or causes of the accident/incident/environmental spillage and the extent to which the various persons involved contributed, either directly, or indirectly.
- f) Review the findings of the investigation and make any recommendations, which may be appropriate to prevent a recurrence of the accident/incident/environmental spillage.
- g) Action is taken to control and correct any areas on non-conformance
- h) Evaluate, with the participation of employees and the involvement of other relevant interested parties, the need for corrective action to eliminate the root cause(s) of the incident or nonconformity, in order that it does not recur or occur elsewhere, by:
- i) Determining if similar incidents have occurred, if nonconformities exist, or if they could potentially occur;
- j) Review of existing Risks Assessments

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- k) Determine and implement any action needed, including corrective action, in accordance with the hierarchy of controls and the management of change
- l) Assess OH&S risks that relate to new or changed hazards, prior to acting;
- m) Review the effectiveness of any action taken, including corrective action;
- n) Make changes to the Integrated Management System, if necessary.

Report/Debrief

The Board of Inquiry shall produce a written report of its findings. The format of the report shall be as follows:

- (a) A simple statement of the facts of the accident/incident/environmental spillage
- (b) A reference list of associated documentation. If necessary include copies as an annex to the report. (e.g. F2508)
- (c) The findings of the Board of Inquiry
- (d) Corrective action

The report shall be concise and strictly factual; no information relevant to the investigation shall be withheld even if such information is considered not to be in the best interests of the company or individuals employed by the company.

It is important to remember that the purpose of a Board of Inquiry is to establish what happened: what part each person played in, or contributed to, the accident/incident/environmental spillage. It is not to apportion blame and must not be seen as any sort of witch-hunt.

An Inspector from the Enforcing Authority or the client may wish to carry out their own investigation. Rail Power & Construction Ltd shall do everything to assist in these investigations.

All recommendations shall be actioned and any improvement or prohibition notices if issued shall be actioned and complied with. Managing Director shall report these notices to the client.

A review of the progress against agreed corrective actions will be incorporated into the Monthly Management review process (documented on PF001.1 Management Review Form) until all have been closed out.


Where a large scale debrief would be beneficial for safety culture but distribution of the full report is inappropriate an abbreviated version of the accident/incident report and lessons learned will be issued as a toolbox talk briefing.

Analysis of Accident and Incident Statistics

An analysis of all accidents and incidents shall be prepared by Managing Director and distributed to the Management Team Members. This analysis will take into account the actual and potential loss involved.

Records

Rail Power & Construction Ltd is required to record all work related injuries, regardless of their severity in a centrally held accident book.

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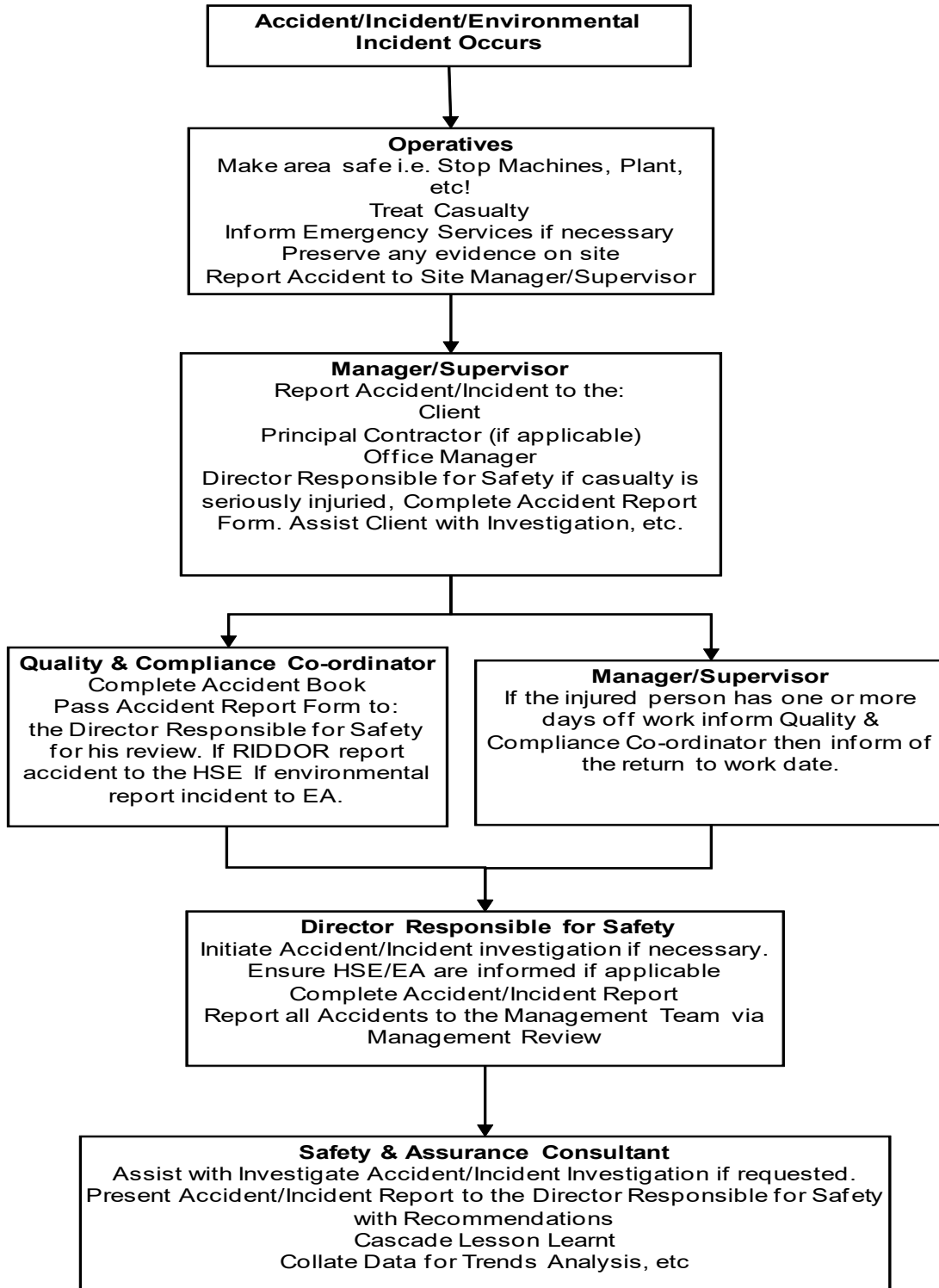
Once an entry is made into the accident book it is then liable to the conditions of the Data Protection Act therefore the entry should be torn out and put in the injured person's personal file.

All Accident/incident/environmental spillage forms will be for 3 years from the last entry into the accident book.

5. References

Health & Safety at Work Act 1974
Reporting of Injuries, Diseases, Dangerous Occurrence Regulations 2013 (RIDDOR)
Social Security Regulations 1979
NR/L3/INV/3001 Reporting and investigation Manual.
NR/L3/OHS/0046 The Reporting, Investigation & Recording of Safety & Sustainable Development Events & Close Calls within Infrastructure Projects
21 Emergency Preparedness Procedure
45 Pollution Incident Control Plan
PF002.1 Initial Accident Incident Report Form
F2508 Report of an Injury or Dangerous Occurrence

Appendix A Accident/Incident Reporting Flowchart



Appendix B Response to Enforcement Action Flowchart

