

Ref:	NR/L3/INV/3001/902
Issue:	1
Date:	05 December 2020
Compliance date:	31 March 2021

# NR/L3/INV/3001

## Module 902

### Reporting of Accidents, Incidents and Occupational Health

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Published and Issued by Network Rail, 2nd Floor, One Eversholt Street, London, NW1 2DN.



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## User information

This Network Rail document contains colour-coding according to the following Red–Amber–Green classification.

### **Red requirements – no variations permitted**

- Red requirements are to be complied with and achieved at all times.
- Red requirements are presented in a red box.
- Red requirements are monitored for compliance.
- Non-compliances will be investigated and corrective actions enforced.

### **Amber requirements – variations permitted subject to approved risk analysis and mitigation**

- Amber requirements are to be complied with unless an approved variation is in place.
- Amber requirements are presented with an amber sidebar.
- Amber requirements are monitored for compliance.
- Variations can only be approved through the national variations process.
- Non-approved variations will be investigated and corrective actions enforced.

### **Green guidance – to be used unless alternative solutions are followed**

- Guidance should be followed unless an alternative solution produces a better result.
- Guidance is presented with a dotted green sidebar.
- Guidance is not monitored for compliance.
- Alternative solutions should be documented to demonstrate effective control.

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## Compliance

This Network Rail standard/control document is mandatory and shall be complied with by Network Rail Infrastructure Limited and its contractors if applicable from 31<sup>st</sup> March 2021.

Where it is considered not reasonably practicable<sup>1</sup> to comply with the requirements in this standard/control document, permission to comply with a specified alternative should be sought in accordance with the Network Rail standards and controls process, or with the Railway Group Standards Code if applicable.

If this standard/control document contains requirements that are designed to demonstrate compliance with legislation they shall be complied with irrespective of a project's Governance for Railway Investment Projects (GRIP) stage. In all other circumstances, projects that have formally completed GRIP Stage 3 (Option Selection) may continue to comply with any relevant Network Rail standards/control documents that were current when GRIP Stage 3 was completed.

**NOTE 1:** Legislation includes Technical Specifications for Interoperability (TSIs).

**NOTE 2:** The relationship of this standard/control document with legislation and/or external standards is described in the purpose of this standard.

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<sup>1</sup> This can include gross proportionate project costs with the agreement of the Network Rail Assurance Panel (NRAP).

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## Reference documentation

<b>Reference ID</b>	<b>Title</b>
GE/RT8047	Reporting of Safety Related Information
NR/L1/FIR/100	Company Fire Safety Handbook
NR/L3/CIV/176	Management of reports on bridge strikes
NR/L3/OCS/043/7.8	Control of Environmental Incidents Procedure
NR/L3/INV/3001/900	Leading an Investigation
NR/L3/INV/3001/901	Recommendation Management
NR/L1/INF/02232	Information security policy
NR/L3/INF/02226	Corporate records retention schedule
RIS-8047-TOM	SMIS Application matrix

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## 1 Purpose

This module provides a consistent, comprehensive and structured process for the statutory reporting of accidents, incidents and occupational ill health to:

- a) the Safety Management Intelligence System (SMIS);
- b) Rail Accident Investigation Branch (RAIB);
- c) Office of Rail and Road (ORR); the Health and Safety Executive (HSE); or
- d) local enforcing authority.

## 2 Scope

This module 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.

It also applies to inputs to SMIS for:

- 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 occurring on Network Rail - Rail Infrastructure Development Centre infrastructure (RIDC);
- e) events involving rail vehicles operated by Network Rail;
- f) accidents and assaults involving Network Rail employees while on duty, including travelling in in road vehicles (whether owned, leased or hired by Network Rail);
- g) occupational ill health affecting Network Rail employees and contractor staff where Network Rail have been notified;

**NOTE:** *As required by RIDDOR.*

- h) accidents and assaults involving employees of contractors while undertaking work for Network Rail;
- i) accidents to members of the public occurring on NRMI or Network Rail managed stations, including cases of suicide, suspected suicide and attempted suicide.

The requirements of this module are additional to the statutory reporting requirements of the RIDDOR 2013 and RAIR 2005.

Nothing in this module relieves Network Rail of any obligation to report as the employer or responsible person under RIDDOR 2013, or as a duty holder under RAIR 2005.

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### 3 Reporting of accidents, incidents and occupational ill health to SMIS

#### 3.1 General

3.1.1 All employees/contractors shall report any accidents or incidents to the appropriate control office and responsible manager.

3.1.2 The responsible manager shall have arrangements in place to:

- a) notify the appropriate control office of all accidents and incidents;
- b) notify the relevant SHE Reporting team of all accidents, incidents, cases of occupational ill health and preliminary investigations within the timescales shown in table 1.

3.1.4 The SHE Reporting Manager shall confirm that all reports are recorded in SMIS in accordance with the timescales shown in table 1.

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) 2005	Within three working days
All other events	Within five working days

**Table 1 – Timescales for initial SMIS input**

#### 3.2 Events on or affecting Network Rail managed infrastructure (NRMI) or Network Rail managed stations

3.2.1 The responsible manager shall confirm that arrangements are in place to immediately report to the appropriate control office serious events that:

- a) affect the safe operation of trains; or
- b) have an environmental impact on NRMI or Network Rail managed stations.

The responsible manager shall direct any reports received from members of the public or other external sources to the appropriate control office.

The Control Manager shall confirm that the initial notification of such events is communicated to the ORR and recorded in the relevant control log.

Arrangements shall be made to notify the National Operations Centre (NOC) of serious events to be immediately reported to RAIB.

Arrangements shall be made for the immediate reporting of events to the RAIB in accordance with Schedules 1 and 2 of the RAIR 2005.

**NOTE:** Details of serious events that have to be immediately reported to the ORR are available from the ORR website.

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### 3.3 Events not on or affecting NRMI or Network Rail managed stations

3.3.1 The responsible manager shall confirm that arrangements are in place to report to the appropriate control office all events that do not take place on NRMI or Network Rail managed stations but:

- a) involve the activities/operations of Network Rail and/or contractors acting on behalf of Network Rail; or
- b) involve the employees of Network Rail and/or its contractors.

### 3.4 Input into SMIS

3.4.1 Arrangements shall be made for the immediate statutory reporting of events to the HSE and the ORR in accordance with the requirements of RIDDOR 2013.

3.4.2 The SHE Reporting Manager shall confirm that the requirements of the SMIS application matrix, part of the RIS-8047-TOM, shall be complied with.

### 3.5 Input to SMIS by other parties

3.5.1 The SHE Reporting Manager shall confirm any organisation with authority to input into SMIS on behalf of Network Rail reports events in accordance with this module.

### 3.6 Disputes over SMIS reporting responsibility

3.6.1 If there is doubt as to the SMIS event owner for reporting an event, the SHE Reporting Manager shall discuss the SMIS event ownership with the other organisations involved.

3.6.2 If an agreement cannot be reached, the SHE Reporting Manager shall contact RSSB to seek guidance to resolve the dispute.

### 3.7 Requirements for receiving and processing reports

Following the initial notification of an event, the responsible manager shall provide details of the event using the Level 1 (preliminary) investigation form.

**NOTE:** The Level 1 - Preliminary Investigation form is available from the Investigation HUB site. Other Level 1 online forms within an approved system may be used.

3.7.1 The SHE Reporting Manager shall arrange to:

- a) identify other organisations whose physical assets or persons might be involved in the event; and
- b) obtain reports from those organisations, where relevant.

3.7.2 The SHE Reporting Manager shall arrange to receive and process reports of events from:

- a) employees and contractor's employees;
- b) train operators;
- c) other parties – e.g. British Transport Police.



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### 3.8 Control office manager responsibilities

3.8.1 The control office manager shall record details of reported accidents and forward to the SHE Reporting team within 24 hours.

3.8.2 The control office manager shall report accidents resulting in fatal or specified injury to ORR and/or the RAIB.

3.8.3 The control office manager shall report all fatal accidents that took place on railway property to the British Transport Police. They shall report all fatal accidents that did not take place on railway property to Civil Police.

### 3.9 Contractors

3.9.1 The responsible manager shall confirm that the contractor has arrangements in place to:

- a) report events for which the contractor has responsibility;
- b) provide the SHE Reporting team with reports, evidence and information on such events.

3.9.2 The responsible manager shall check that the contractor's accident/incident reporting form(s) are acceptable to Network Rail for the reporting of events.

3.9.3 Where a module of the reporting and investigation manual mandates the use of a standard form for reporting accidents or incidents, contractors may use an equivalent form if it contains the information required by the mandated form.

### 3.10 Personal accidents to members of staff

3.10.1 The responsible manager shall report all personal accidents (including assaults) to the SHE Reporting team that:

- a) occur on NRMI, Network Rail managed stations, structures, property leased (including structures, land and or property used temporarily) to Network Rail or a contractor; or
- b) involve employees of Network Rail or contractors undertaking work for Network Rail, on other premises when on duty.

**NOTE:** This includes yards, depots, sidings, the public highway and temporary sites of construction work, including welfare and storage areas.

The report shall be provided on the Level 1 (preliminary) investigation form.

### 3.11 Accidents and assaults to members of the public

3.11.1 The responsible manager shall report all personal accidents (including assaults) to the SHE Reporting team that:

- a) Network Rail managed stations, structures, property leased (including structures, land and or property used temporarily) to Network Rail or a contractor; or
- b) are related to or attributable to the operation of the railway; and
- c) involve members of the public.

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The report shall be provided on the Level 1 (preliminary) investigation form.

3.11.2 The responsible manager shall immediately report all accidents resulting in fatal or specified injury to the relevant route operations control.

3.11.3 The control office manager shall report all accidents resulting in fatal or major Specified in accordance with the national control instructions.

### **3.12 Occupational Ill health**

3.12.1 The employee shall advise their line manager immediately if they suspect, or have been advised by a medical practitioner, that they are suffering ill health that is related to their work activities.

3.12.2 If an employee provides notification of ill health via a medical certificate issued by their GP, the responsible manager shall arrange a referral and assessment by an occupational health physician through the occupational health provider.

3.12.3 The responsible manager shall report occupational ill health events to the SHE Reporting team using the Level 1 (preliminary) investigation form.

### **3.13 Fatalities to members of the public – suicides and suspected suicides**

3.13.1 If British Transport Police suspects a fatal accident involving a member of the public to be a suicide, the SHE Reporting Manager shall arrange for the SMIS record to be updated.

3.13.2 When the Coroner's inquest verdict has been received, the SHE Reporting Manager shall arrange for the SMIS record to be updated.

### **3.14 Fires**

3.14.1 The responsible manager shall report all fires, irrespective of their size, in accordance with NR/L1/FIR/100.

3.14.2 The responsible manager shall complete a Level 1 (preliminary) investigation form and forward it to:

- a) the SHE Reporting team; and
- b) the Head of Fire Safety; and

3.14.3 The responsible manager shall notify the British Transport Police, as soon as possible, if the fire is the result of arson or has a suspicious origin.

3.14.4 The responsible manager shall forward any subsequent reports relating to the reported fire to the above named roles as soon as they are received.

### **3.15 Environmental incidents**

3.15.1 The responsible manager shall report any environmental incidents to their relevant control.

### **3.16 Damage to Network Rail property and premises**

3.16.1 The responsible manager shall report to the relevant senior claims controller:

- a) full details of the event;

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- b) details of the property or premises involved; and
- c) the amount of damage and the cause (if this is known at the time).

5.16.2 The responsible manager shall confirm that correspondence with, and claims for compensation from, outside parties are dealt with in accordance with the legal department's processes.

## 4 Records

### 4.1.1 Retention

The SHE Reporting Manager shall arrange for an event file to be created to collate information, documentation and evidence received and processed relating to the event.

4.1.2 The SHE Reporting Manager shall confirm that arrangements are in place for all reports and records to be maintained in accordance with NR/L1/INF/02232.

4.1.3 The SHE Reporting Manager shall confirm that reports and records are retained for the periods shown in table 2.

Event type	Record retention period
Any event subject to: <ul style="list-style-type: none"> <li>• A public inquiry</li> <li>• RAIB investigation</li> <li>• Level 3 and 2 investigations</li> </ul> (except in the case of SPADs)	Minimum of 7 years from the date when all accepted recommendations have been completed
Personal accident to a member of staff (not subject to an RAIB, level 3 or 2 investigation)	For the active life of the file, plus 6 years
Occupational ill health suffered by a member of staff	For the active life of the file, plus 40 years
SPADs	For the active life of the file, plus 40 years
Other Signal Passed Events	For the active life of the file, plus 6 years
RIDDOR Reportable Fires	For the active life of the file, plus 10 years
All other events	For the active life of the file, plus 3 years

**Table 2 – Record retention period**

### 4.2 SMIS records

4.2.1 The SHE Reporting Manager shall confirm that the SMIS event record:

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- a) includes details of the cause;
- b) is reported in accordance with this module;
- c) is finalised and formally closed within 10 working days of the completion of the event investigation.

### 4.3 SMIS asset registers

4.3.1 The SHE Reporting Manager shall confirm that arrangements are in place to maintain asset registers within SMIS.

### 4.4 SMIS monitoring

4.4.1 The SHE Reporting Manager shall confirm that arrangements are in place to monitor and measure the quality of SMIS input.

## 5 Definitions

For the purpose of this document, the following terms and definitions apply.

Term	Definition
Accident	An unplanned, uncontrolled event that resulted in personal injury or damage to plant, machinery or infrastructure.
Active Life	A file is considered active until it is signed off and published by the DCP.
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. <b>NOTE:</b> All assaults are dealt with in the same manner as an accident.
Close call	An incident that has occurred due to an unsafe condition or act that could have resulted in personal injury or damage to plant, machinery or infrastructure. <b>NOTE:</b> It should not be confused with a near miss.
Contractor	A person or organisation undertaking work under contract for Network Rail; this includes: a) a person sub-contracted to undertake work for Network Rail, and b) a self-employed person and staff of agencies used by Network Rail or its contractors.
Control office	This includes the Control Office that: a) controls the day-to-day running of the railway; or b) is relevant to a particular activity.
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

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Term	Definition
	occurs within a year of the accident where the injury or condition was suffered.  <b>NOTE:</b> <i>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.</i>
Incident	An unplanned, uncontrolled event that under different circumstances might have resulted in an accident.  <b>NOTE:</b> <i>Includes and may also be referred to as a 'Near miss' or 'Close call'.</i>
Level 1 (preliminary) investigation form	A preliminary 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 preliminary investigation.
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.
Network Rail Managed Infrastructure (NRMI)	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.  <b>NOTE:</b> <i>It does not include stations (apart from those 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.</i>  <i>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.</i>
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, as defined by RIDDOR 2013.
RAIR 2005	The Railway (Accident Investigation and Reporting) Regulations 2005.

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<b>Term</b>	<b>Definition</b>
Responsible Manager	For the purposes of this module, this includes: a) Persons with the competence and responsibility within their function for: <ul style="list-style-type: none"> <li>• the safe and sustainable operation, maintenance or renewal of the railway;</li> <li>• briefing the reporting or investigation process to employees;</li> <li>• managing or supporting the reporting or investigation process.</li> </ul> b) Persons responsible for managing, administering and delivering contracts either for major or minor works schemes, e.g. Project Managers.
RIDDOR 2013	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
Safety Management Intelligence System (SMIS)	Owned by the RSSB and used by Railway Group members for the retention of data applicable to safety events.
SHE Analysis & Reporting Manager	Also known as the SHE Reporting Manager, the lead manager for the Safety Technical & Engineering - Safety, Health and Environment, Analysis and Reporting team.

**Table 3 – Terms and definitions**