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| **Scope** |
| This procedure applies to all Company projects, offices, facilities, asset and concession companies and Joint Venture (JV) projects where the Company Management System has been adopted by the JV Board. Where the Company is required to operate another party’s Management System then the requirements of the Joint Venture/Alliance Business Management System (BMS) Assessment (MSC-PR-0002) must be followed in relation to assessing the validity of third-party management systems. |

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| **Purpose** |
| To describe the process of initial response, reporting and investigating incidents and accidents when the incident results in injury to a person, ill-health to a person, property and building damage, environmental damage, a service strike, or loss of production time, as well as those which, although not realised (near misses), are judged to have had the potential for these types of injury, damage, or loss.  The requirements in this procedure are our current standards and must be adopted as part of a safe system of work. However, Projects and Contracts are also encouraged to identify new methods of working as long as these are: developed through rigorous risk assessment, demonstrably improve on current standards, deliver legal compliance and are approved in accordance with the Control of HSES Derogation procedure ([HSES-PR-0004](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6992)). |

**Procedural Requirements (see process map at end of document)**

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|  | **IMMEDIATE INCIDENT RESPONSE** |
|  | Proportionate to type and scale of the incident, ensure that: |
|  | * The site/area is made safe, if necessary, isolating and arranging for testing and examination of any plant involved |
|  | * Any necessary first aid or emergency services have been arranged |
|  | * Access is controlled and necessary steps are taken to preserve the scene and prevent contamination of evidence |
|  | * Photographic evidence is taken of the scene where possible to preserve environmental factors where this has the potential to change, e.g. light & visibility, weather, wet ground etc. |
|  | * The need for drugs and alcohol testing has been considered |
|  | If the incident is deemed to be Major, Balfour Beatty Group [Standard 101 - Major Incident Response](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8640) must be immediately followed. |
|  | **WELFARE OF INJURED PERSON** |
|  | If a person is injured in an incident the First Aid procedure ([HSF-PR-0008](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-1110)) must be followed. If the injured person needs to attend hospital, suitable transportation must be provided, they should be escorted, supported in hospital and further arrangements made for their homeward journey. The escort must also confirm the injuries sustained. |
|  | Where appropriate, Human Resources must be consulted to inform the injured person’s next of kin of the situation and, if the employee is detained in hospital, assistance will be offered by the Company. |
|  | **INTERNAL NOTIFICATIONS** |
|  | All incidents (including near misses) are categorised on a level between 1-5 with a corresponding descriptor scale between insignificant and catastrophic (See Table 1 in Section 6). |
|  | All incidents must be notified as soon as practicable and recorded on the Incident Report and Investigation Form ([HSES-SF-0005a-e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-11882)) as follows: |
|  | * UKCS Notification to Operational Senior Management and HSES Principal/Advisor by Site Lead |
|  | * Major Projects – Notification to Operational Senior Management and HSES Director/Manager by Project Lead or HSES Manager/Advisor. |
|  | * UKCS Ground Engineering – Helpline 0800 376 7966 this is unlikely to continue passed January and they will fall in line with the rest of UKCS |
|  | * Gas & Water, Power T&D and Plant & Fleet – Helpline 0800 121 4444 |
|  | * Power T&D only - Following a medium severity or above incident HSES-TF-0005b-PTD Initial Incident Notification (IIN) must be produced and communicated throughout Power T&D within 24hrs by the SHEQS Department to communicate the initial facts surrounding the incident. The IIN will be completed by the site SHEQS Advisor, Environmental Advisor, PM or SE and sent into the central SHEQS team for final sign off before issue |
|  | * Rail – All incidents, including those involving plant operating under the BB Rail operating licence, will be notified to the Rail Control Centre immediately after the basic facts surrounding the incident are known. The HSES Director for Rail will ensure that incidents are notified and escalated to all relevant parties within the Strategic Business Unit (SBU)/Project/Depot and to satisfy contractual and legislative requirements |
|  | * Investments – notify immediately the HSES Director, General Manager, Safety, Health and Environment or the Office Manager or Health and Safety Coordinator |
|  | BB Fleet compliance must be notified of any incident involving the carriage of dangerous goods (ADR) – 01332 476 071. |
|  | For incidents of actual Level 3-5 or potential Level 4-5 the Site Lead must arrange a teleconference/meeting as soon as practicable with the Organisation’s management team and HSES Manager, to determine the level of investigation, the investigation team, application of legal privilege (see section 5), and client liaison. [HSES-TF-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13477) is available as a template to support this meeting |
|  | For actual Level 4-5 incidents a Notification Form for Major Incident must be completed and issued within 24 hours and the parties in the Major Incident Contact list must be contacted, including SafetyNet personnel ([HSES-RM-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9414)). See Balfour Beatty Group [Standard 101 - Major Incident Response](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8640) Appendix A. |
|  | All incidents must be recorded onto iSMS within 24 hours of the incident time. |
|  | All incidents must initially be given a potential severity rating and incident classification type when the incident is entered onto iSMS the incident should then be updated when the actual severity rating is determined. |
|  | **NOTIFICATIONS TO REGULATORY AUTHORITIES AND CUSTOMERS** |
|  | If the incident is deemed to be Major (level 4) or Catastrophic (level 5), then Balfour Beatty Group [Standard 101 - Major Incident Response](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8640) must be immediately followed. |
|  | The HSES SBU/BU Leads (Head or Manager) and the project HSES Advisor must be involved in the initial incident reporting to any regulatory body to ensure the reporting category is classified correctly |
|  | In the following events the HSES SBU/BU Lead (Head or Manager) must notify the regulator as follows: |
|  | * For a RIDDOR reportable injury, disease or dangerous occurrence, notify the Health and Safety Executive by the quickest practicable means without delay |
|  | * For a work-related death, a serious incident where there have been multiple casualties, and following an incident which has caused major disruption such as evacuation of people or closure of roads, via the Incident Contact Centre on 0345 300 9923 (opening hours Monday to Friday 8.30 am to 5 pm). Outside these times, call the HSE duty officer on 0151 922 9235 |
|  | * For all other reportable incidents, online at [www.riddor.gov.uk](http://www.riddor.gov.uk/) |
|  | * A full report must be made within ten days for a specified injury, fifteen days for an over seven-day lost time injury, or ten days for a dangerous occurrence |
|  | * Copies of any notification report must be uploaded onto the iSMS database along with the corresponding event and the notification recorded in the event data |
|  | In the event of an environmental incident please refer to [ENV-RM-0005a Environmental Incidents](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/WordViewer.aspx?id=/ghoreferencecentre/Group%20BMS/BMS%20Documents/Health%20Safety%20Environment%20and%20Sustainability/Environment/Reference%20Material/ENV-RM-0005a%20Environmental%20Incidents.docx&Source=https%3A%2F%2Fhome360%2Ebalfourbeatty%2Ecom%2Fghoreferencecentre%2FGroup%2520BMS%2FPages%2F01EnvIncidents%2Easpx&DefaultItemOpen=1&DefaultItemOpen=1) and [ENV-RM-0005e Environmental Incident Severity Classification Table](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/WordViewer.aspx?id=/ghoreferencecentre/Group%20BMS/BMS%20Documents/Health%20Safety%20Environment%20and%20Sustainability/Environment/Reference%20Material/ENV-RM-0005e%20Environmental%20Incident%20Severity%20Classification%20Table.docx&Source=https%3A%2F%2Fhome360%2Ebalfourbeatty%2Ecom%2Fghoreferencecentre%2FGroup%2520BMS%2FPages%2F01EnvIncidents%2Easpx&DefaultItemOpen=1&DefaultItemOpen=1).  Any level 4 or above environmental incident occurring as a result of the Company’s work activities the HSES Manager must ensure that the following action is taken: |
|  | * Notify the relevant Regulatory Authority, as soon as possible, by telephone (Environment Agency (EA)/Scottish Environmental Protection Agency (SEPA)/Northern Ireland Environment Agency (NIEA) Incident / Pollution hotline 0800 80 70 60) |
|  | * If the incident involves a suspected wildlife crime the Police should be called on 101.  Other animal welfare issues should be reported to the Royal Society for the Prevention of Cruelty to Animals (RSPCA) 0300 1234 999, Scottish Society for the Prevention of Cruelty to Animals (SSPCA) 03000 999 999 or the Ulster Society Prevention Cruelty to Animals (USPCA) |
|  | * Reference material is available to assist with the completion of Level 4 environmental incidents (See [HSES-RM-0005e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9132), [HSES-RM-0005f](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9133), [HSES-RM-0005g](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9134) and [HSES-RM-0005h](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9135)) |
|  | Notification to customers and their representatives should be carried out as per contract specific requirements. Details of any lessons learned as a result of the incident investigation must also be shared with the customer. |
|  | All Close Calls raised on projects working on the Network Rail Managed Infrastructure must be recorded on the [RSSB Close Call System](http://www.closecallsystem.co.uk/maximo/webclient/login/login.jsp?welcome=true). |
|  | **LEGAL PRIVILEGE** |
|  | The SBU/BU Managing Director supported by the Health, Safety, Environment and Sustainability (HSES) Function (or in the case of a joint venture, the most senior member of the JV Board) will consult with the in-house Legal Function to determine whether an investigation should be conducted in contemplation of prosecution or legal action. |
|  | If prosecution or legal action is possible, the in-house Legal Function will formally instruct the investigation to be conducted and reported to them under legal privilege. This action should preserve the ability to claim legal privilege for all information arising, to keep all investigation information confidential to the company, and to prevent uncontrolled disclosure of draft reports and advice. This means that only summary facts of the incident should be shared outside of legal privilege and all detailed information should only be shared under legal privilege within the communications heading, with the appointed legal-council representative copied in as a recipient of the communication. |
|  | Legal privilege may be released at any future date by the in-house Legal Function, if this protection is no longer required. |
|  | Note: Privileged information must not be loaded into iSMS - only summary facts must be recorded until privilege is released. |
|  | **TYPE OF INVESTIGATION REQUIRED** |
|  | The level of detail in the investigation, report and subsequent review are governed by the level of potential severity of the incident (including near misses). |
|  | Level of Severity |
|  | The levels of severity are detailed below in Table 1: |

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| Table 1   |  |  |  |  |  | | --- | --- | --- | --- | --- | | Scale(level) | Health | Safety | Environment | Legal action | | Catastrophic (5) | * Multiple deaths e.g. asbestosis, cancers | * Multiple deaths | * Catastrophic environmental incident resulting in irreversible, long term or widespread damage | * High profile prosecution * Public Inquiry * Class action | | Major (4) | * Single death * Life-shortening health effect * Health effect causing significant irreversible disability e.g. lung diseases | * Single death * Multiple major injuries (worker or third party) * Significant irreversible   disability | * Major environmental incident resulting in local damage that is reportable to authorities and requires high level of resource and time to ensure recovery | * Company or individuals facing prosecution * Citation * Major fine * Loss of licence/safety case | | Moderate (3) | * Irreversible health effect e.g. loss of hearing, HAVS cases * Serious illness from which there is full recovery e.g. poisoning, Legionnaires disease, MRSA, serious dermatitis | * Single major injury (worker or third party) * Worker injury resulting in three days away from work | * Moderate local impact requiring management action to enable recovery | * UK Prohibition Notice * Ban on operational activity by enforcing authority until stated requirements are met * Minor fines | | Minor (2) | * Reversible health effect,   e.g. minor dermatitis, asthma, tinnitus   * Minor illness, e.g. slight poisoning * Restricted work * Medical treatment beyond   first aid | * Minor injury (worker or third party) * Injuries resulting in one day away from work * Restricted work * Medical treatment beyond   first aid | * Minor local impact requiring management action that leads to immediate recovery | * UK Improvement Notice * Actions required by enforcing authorities for continued operations * Warning from enforcing authorities | | Insignificant (1) | * Mild health effect for short period with no lost time e.g. local skin irritation | * First aid case with no lost time * Negligible safety impact | * Minimal local environmental impact | * Recommendations by enforcing authorities | |

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|  | Investigation Level | |
|  | Two levels of incident investigation and reporting have been determined and their applicability is detailed in Table 2 below: | |
|  | Table 2   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | Severity Level | Type of Investigation | Investigation  Lead | Investigation team members | Investigation team appointed by | Management Review | | Actual 4/5 | Integrated Incident Investigation | Independent Director or Senior Operational Manager | Independent Level 4-5 trained HSES or operational investigator  Operations  HSES Advisor  Technical expert (as required) | SBU lead in conjunction with HSES Director | CEO & Group HSES Director | | Potential 4/5 | Integrated Incident Investigation | Director or Senior Operational Manager | Level 4-5 trained HSES or operational investigator Operations HSES Advisor Technical Expert (as required) | BU or Project Lead in conjunction with HSES Director | SBU or BU Director and HSES Director | | 3 | Local or if deemed appropriate upgrading to an Integrated Investigation | Senior Operational Manager or HSES Advisor | Operations HSES Advisor  Technical Expert (as required) | Site Lead i.e. Project Manager/Director in conjunction with HSES Lead | Senior Site Lead/Function Head & HSES Head | | 1/2 | Local | Line Manager | Operations | Site Lead i.e. Project Manager/Director | Site Lead & HSES Advisor | | |
|  | All persons leading and managing an investigation team must be technically competent (SMSTS (or Company accepted equivalent)) and have knowledge of the incident investigation process and techniques ([HSES-RM-0005k](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13195) Incident Investigation Short Guide for Local Investigation). | |
|  | All persons leading an integrated investigation team must either be drawn from the small expert team of level 4-5 trained skilled and experienced investigators or be supported in the investigation team by a level 4-5 trained colleague drawn from the expert team. When an integrated investigation team has been established, at least one person in an integrated investigation team must also have knowledge of the incident investigation process and techniques ([HSES-RM-0005k](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13195) Incident Investigation Short Guide for Local Investigation). | |
|  | If there is doubt over the level of potential severity, and therefore whether to initiate an Integrated Incident Investigation, the Organisation’s Senior Leader must consult with the relevant HSES Director whose decision will be final. In respect of any M&E incidents, the HSES Principal Engineer’s decision will be final. | |
|  | Local Investigations (level 1-3) must be recorded on the Incident Report and Investigation Form ([HSES-SF-0005a-e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-11882)). An initial report is required within 7 days and the final report must be ready for management review within 14 days of the incident notification. | |
|  | Integrated Incident Investigations (level 4-5) will be recorded on the Principal Investigation Report ([HSES-SF-0005f](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8576)) using Human Factors Analysis and Classification System for reference ([HSES-RM-0005a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8573) or appendix B of [Standard 102](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13186). An interim report must be produced and reviewed by SBU’s Managing Director and Head of HSES within seven days of the event occurring and the final report must be issued within 21 days of the incident occurring ([HSES-TF-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13477)) | |
|  | Investigations into diagnosis of Hand Arm Vibration must be recorded on the HAVS Investigation Form ([HSF-SF-0060a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8568)) and undertaken in accordance with the Hand Arm Vibration Procedure ([HSF-PR-0060](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8571)). | |
|  | High Potential Incidents | |
|  | An incident of potential level 4 or greater High Potential (Hipo) events must be notified to HSES Director and SBU Managing Director as soon as possible. | |
|  | Work Related Health Condition | |
|  | A low-level investigation must be carried out on all potential work-related health conditions. The Lead Investigator must contact the Occupational Health team for advice if the condition is caused by or worsened by the individuals work activities | |
|  | Late Reporting and Non-Work-Related Injuries | |
|  | Any injury incident that was reported after the injured person has left the site or where there is doubt that the injury was a result of a work-related incident must be investigated as described above. | |
|  | **INVESTIGATION PROCESS** | |
|  | Guidance on how to conduct a level 1-3 investigation is in [HSES-RM-0005k](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13195) Incident Investigation Short Guide for Local Investigation and level 4-5 investigation is in [HSES-RM-0005j](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13194) Principal Investigation Guide. The aim of the investigation is to establish all the factors surrounding the incident where improvement can be made to prevent recurrence. The effort and resource required by the investigation should be proportionate to the incident and it is stressed that there is no ‘right’ way to conduct analysis and the investigation team should avoid getting overwhelmed by the process. The important point is that some critical and logical analysis of the facts to establish the causal factors and identify preventive and corrective actions. | |
|  | Once complete all investigations reports must be attached to the iSMS database (unless under Legal Privilege) | |
|  | Where a work-related ill health or disease case has originated from a pre-claim disclosure or formal letter of claim, documents must be shared between the insurance team and the investigation team and attached to the iSMS incident as background evidence. | |
|  | The outputs from the investigation reports must be subject to a management review before completion, which will confirm whether the injury must be included on Balfour Beatty statistics, and/or reported to the HSE (for RIDDOR reportable injuries). | |
|  | The decision from this review must be endorsed by the Client and Business Unit Director. | |
|  | **CORRECTIVE ACTIONS** | |
|  | Corrective Actions will be developed and agreed for each incident. | |
|  | Corrective Actions must: | |
|  | * Directly address the causal factors identified | |
|  | * Restore any absent control measures that should have been in place | |
|  | * Implement any additional controls that could have prevented the incident | |
|  | * Eliminate or reduce the risk of recurrence | |
|  | * Be specific, measurable, achievable, realistic and time bound (SMART) | |
|  | Actions must be developed and agreed with the action owner prior to the investigation report being released. The action owner is then responsible for the closure of the action. | |
|  | The closure of actions will be tracked within iSMS. Actions must only be closed when satisfactory evidence of completion of the action is made available to the Lead Investigator. | |
|  | **MANAGEMENT REVIEW** | |
|  | Investigation reports must be subject to a management review before being issued. The level of review is dependent on the potential severity of the incident. See Table 2. The purpose of the Management Review is to: | |
|  | * Review the investigation report and agree any revisions | |
|  | * Discuss the recommendations and agree the actions to be taken to prevent a recurrence | |
|  | SERIOUS INCIDENT REVIEW (SIR) AND WIDER LEARNING | |
|  | Principal investigation reports must be subject to management review and approved in accordance with HSES-PR-0005, before agreeing wider distribution to **share learning**. | |
|  | A Serious Incident Review must be held for incidents that have resulted in a fatality or have been categorised with a potential severity of 5 or 4. A SIR may also be held for an incident or series of incidents that have been categorised as a 3 or below that due to their nature have been subject to in depth investigation and completion of a principal investigation report. | |
|  | The SIR must be held 2 weeks from completion of the investigation report, but this may be changed at the discretion of the Senior Management Team due to the nature, or severity or complexity of the incident. The purpose of the SIR is to review a summary of the event(s) and the investigation findings and identify wider learning relevant across SBUs. [HSES-TF-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13477) is available as a template to support this review. | |
|  | The key objectives from the SIR should be: | |
|  | * To consider how effectiveness of the investigation findings and recommendations, their implementation for preventing a reoccurrence, and to ratify and agree the recommendations | |
|  | * To consider the wider implications of the incident (or series of incidents) to business as a whole | |
|  | * Whether any further improvements should be considered to improve health and safety performance | |
|  | The SIR Chairperson must be a Director appointed by the Operational Director and will be supported by the Lead Investigator, Operational Senior Manager for the project, the investigation team, a senior member of the HSES function, the individuals directly involved in the incident, and subcontractors involved. | |
|  | **SUPPLY CHAIN INVESTIGATING AND REPORTING** | |
|  | The Supply Chain has a duty to report accidents/incidents to the Balfour Beatty representative and enforcing authority in the same way as the Company. | |
|  | Supply Chain incidents must be investigated, reported and reviewed in an identical manner to those of Company employees. All level 4/5 Incidents will be investigated by Balfour Beatty, regardless of Supply Chain procedures. Supply chain partners can assist the Investigation team, but Balfour Beatty always leads. For Level 1-3 Incidents, Supply chain partners must carry out their own investigation alongside a Balfour Beatty investigation and according to Balfour Beatty timescales. | |
|  | A copy of Supply Chain’s regulatory authority report forms must be received and attached to the relevant Investigation report. | |
|  | **JOINT INVESTIGATIONS** | |
|  | Contractual requirements may require a joint investigation with the client or partner organisation. In these cases, an agreement must be made on the report format and timescales of the investigation | |
|  | Where a client or partners report template is used, this report must be attached to the relevant incident within the iSMS database and information transferred from the report into the investigation and corrective action fields of the iSMS incident log. | |
|  | **RECOMMENDATIONS FOR IMPROVEMENTS** | |
|  | Where a Principal Investigation has identified or recommended improvements to the BMS, [HSES-SF-0005i](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-14285) BMS Change Request (Investigation Learning) must be completed and forwarded to [HSE@balfourbeatty.com](mailto:HSE@balfourbeatty.com) for review. Agreed changes will be incorporated into the BMS on the next scheduled update, unless it is deemed to be safety critical, whereupon the change to the BMS will be incorporated as soon as practicable. | |
|  | **WORKS CARRIED OUT ON THE NETWORK RAIL MANAGED INFRASTRUCTURE** | |
|  | **For the purposes of works carried out on the Network Rail Managed Infrastructure the following definitions must apply:** | |
|  | **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. |
|  | **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. |
|  | Wherever a “Near Miss” is solely referred to in the Business Management System and whilst working on the Network Rail Managed Infrastructure, it should be interpreted as meaning either a “Close Call” or “Near Miss”, as appropriate, in accordance with the above definitions. | |
|  | The Site Lead must liaise with the Network Rail Site Lead and ascertain if they will accept the use of the Balfour Beatty Incident Investigation and Report form. | |
|  | If the Balfour Beatty Incident Report and Investigation Form ([HSES-SF-0005a-e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-11882)) is not accepted, the following must apply: | |
|  | The Network Rail document “Reporting and Investigation Manual – [NR/L3/INV/3001](https://home360.balfourbeatty.com/kc/EngTech/Pages/IHS.aspx)” should be referred to. This document will signpost which form, either NR2072A – Initial Accident Report Form or NR2072B Detailed Accident Report Form is to be completed. | |
|  | In the case of an assault involving an employee Network Rail Standard [NR/L3/INV/0103](https://home360.balfourbeatty.com/kc/EngTech/Pages/IHS.aspx) – Reporting of Personal Accident and Assaults to Employees and Contractors should be referred to. The British Transport Police (or Civil Police if the accident did not occur on railway property) are to be advised by the Project Manager. In addition, a Supplementary Report – Assaults from, NR2072S must be completed and accompany the form NR2072A – Initial Accident Report. | |
|  | In the case of an accident occurring on an escalator at a Network Rail Managed Station Supplementary Report – Escalators form, NR2072E must be completed and accompany the form NR2072A – Initial Accident Report. | |
|  | Where an injured employee returns to work 1, 2 or 3 days after the accident occurred (not including the day of the accident), and regardless of the nature of the injury, the injured employee must advise the Site Lead whether the injury sustained prevents them from carrying out any part of their normal duties. The Project Manager must record this information on Part 2 of the Initial Accident Report form, NR2072A. | |
|  | Where an incident involves a member of the public, Network Rail standard [NR/L3/INV/0105](https://home360.balfourbeatty.com/kc/EngTech/Pages/IHS.aspx) – Reporting of Personal Accidents and Assaults to Members of the Public must be referred to. Network Rail for NR2072C Public Accident Report Form must be completed. In the case of an assault involving a member of the public form NR2072S – Assaults form must also be completed. | |
|  | In accordance with the Network Rail Standard NR/L3/INV/0103 – Reporting of Personal Accidents and Assaults to Employees and Contractors, shock or traumatic stress affecting any person who has been involved in, or witness to, an event must be regarded as an injury and reported on the relevant form. | |
|  | Investigations must be undertaken for all Network Rail classification “High” and “Medium” events as detailed in The Network Rail Accident/Incident Category ([HSES-RM-0005b](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8574)) reference material. A Principal Investigator will be nominated and must ensure that the correct investigation team is established. | |
|  | The Accident/Investigation Report must be submitted to Network Rail within 5 working days. Where a longer time period is required to complete the investigation, an interim report must be issued. There may be the requirement to hold event reviews for significant and/or complex investigations. All investigations must be in accordance with iSMS and Balfour Beatty Requirements. | |
|  | Network Rail’s Senior Programme Manager will contact the Chief Executive Officer within 24 hours of the event occurring, In the case of a: | |
|  | * Fatality | |
|  | * RIDDOR major injury | |
|  | * RIDDOR dangerous occurrence | |
|  | * RIDDOR lost time accident not classified as major | |
|  | * Possession/operational/construction irregularity resulting in greater than 1000 minutes delay or damage to equipment, trains or infrastructure with losses likely to occur over £10,000 | |
|  | The Chief Executive Officer will contact the B&C Director within 72 hours of the event to give details of the initial investigation and the immediate actions being implemented, the details of the full investigation to identify root causes and mitigating measures and timescales for sending a full report to Network Rail. | |

| **Abbreviations / Definitions** | |
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| **SITE LEAD** | The person directly responsible for the Health and Safety of all employees, subcontractors and third parties, and for the care of the environment, affected by our works. i.e. Project Manager or Project Director. |
| **MAJOR** | Any level 4 or above Health, Safety or Environmental incident or High Potential Incident as per iSMS Incident Severity Classifications Matrix in Balfour Beatty Group Standard 101 – Major Incident Response |
| **INCIDENT** | Any unplanned event which result in harm or potential harm to people, property or the environment. In this context, incident includes both accident and near misses. |
| **ACCIDENT** | Any unplanned event which result in harm or potential harm to people, property or the environment. |
| **NEAR MISS** | An event which, in slightly different circumstances, could have resulted in harm to people, the environment or damage to property. |
| **DISEASE** | An illness caused by infection or a failure of health rather than by an accident. |
| **WORK RELATED ILL HEALTH** | Any abnormal condition or disorder, other than one resulting from a work-related injury, caused by repeated exposure to factors associated with employment. Examples include musculoskeletal disorders, stress, depression, skin disease, respiratory disease, hearing loss and vibration related disorders. |
| **HIPO** | High potential incidents requiring a potential severity rating of 4 or 5 |
| **ISMS** | The Balfour Beatty Group database for recording, storing and retrieving:   * Event details including safety, health and environmental incidents, injuries, ill health cases and near misses * Investigation details and course of events * Results of risk assessments, audits and safety observation tours * Actions arising from these and their subsequent closure. |
| **DANGEROUS OCCURRENCES:** | Defined dangerous occurrences as defined in [RIDDOR](http://www.legislation.gov.uk/UKSI/2013/1471/contents/made) Legislation/Regulations. |
| **HFACS** | Human Factors Analysis Classification System |
| **LEGAL PRIVILEGE** | It protects all communications between a professional legal adviser (a solicitor, barrister or attorney) and their clients from being disclosed without the permission of the client, in anticipation of legal proceedings. |
| **LOCAL INVESTIGATION** | A local investigation process to commence immediately into all incidents. The investigation provides details of the incident, identifies the assessed potential severity level, incident causations and the actions proposed to prevent a recurrence. In addition, HSE Advisers and Senior Operational Management will assist, if required. |
| **INTEGRATED INCIDENT INVESTIGATION** | A higher level and more detailed investigation which incorporates the Human Factors Analysis and Classification System (HFACS). |
| **RED TEXT** | Not yet available, use current BMS for relevant document. |

| **INPUTS** | | |
| --- | --- | --- |
| **Reference** | **Type** | **Title** |
| MSC-PR-0002 | Procedure | Joint Venture/Alliance Business Management System (BMS) Assessment |
| [HSES-PR-0004](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6992) | Procedure | Control of HSES Derogation |
| [HSF-PR-0008](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-1110) | Procedure | First Aid |
| [INDG453](http://www.hse.gov.uk/pubns/indg453.pdf) | Legislation/Regulations | Reporting of injuries, diseases and dangerous occurrences regulations 2013 |
| [HIS Link](https://home360.balfourbeatty.com/kc/EngTech/Pages/IHS.aspx) | Network Rail Standards | NR/L3/INV/3001  NR/L3/INV/0103  NR/L3/INV/0105 |
| [Standard 101](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8640) | Standard | Major Incident Response (Balfour Beatty Group) |
| [Standard 102](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13186) | Standard | Incident Investigation (Balfour Beatty Group) |
| [HSES-RM-0005k](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13195) | Guidance | Incident Investigation Short Guide |
| [HSES-RM-0005j](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13194) | Guidance | Principal Investigation Guide |
| [HSF-PR-0060](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8571) | Procedure | Hand Arm Vibration |
| [HSES-RM-0002a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-5096) | Guidance | Powers of HSE Inspector and Interviews |
| [GHO/HSEN/GL/032-A01](https://home360.balfourbeatty.com/ghoreferencecentre/GHO%20BMS%20Library/Legal%20Privilege%20in%20the%20UK.pdf) | Guidance | Legal Privilege in the UK |
| [HSES-RM-0005a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8573) | Reference Material | Human Factors Analysis and Classification System |
| [HSES-RM-0005b](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8574) | Reference Material | Network Rail Accident-Incident Category |
| [HSES-RM-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9414) | Reference Material | SafetyNet |
| [HSES-RM-0005e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9132) | Reference Material | Level 4 – Desktop Study Guide for Environmental Investigations |
| [HSES-RM-0005f](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9133) | Reference Material | Level 4 – Guide to Environmental Factual Report Details |
| [HSES-RM-0005g](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9134) | Reference Material | Level 4 – Environmental Investigation Questions |
| [HSES-RM-0005h](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-9135) | Reference Material | Level 4 – Immediate Response to a Potential Environmental Incident |
| [HSES-RM-0005i](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-11883) | Reference Material | iSMS Category Selection Guidance |

| **OuTPUTS** | | | |
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| **Reference No.** | **Document Title** | **Retention Period** | **Responsibility** |
| [HSES-SF-0005a-e](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-11882) | Incident Report and Investigation | 3 years | Site Lead |
| [HSES-SF-0005f](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8576) | Principal Investigation Report | 3 year injuries, 40 year health | Site Lead |
| [HSF-SF-0060a](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-8568) | HAVS Investigation | 40 year health | Occupational Health |
| [HSF-SF-0005g](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13395) | Witness Statement | 3 year injuries, 40 year health | Site Lead |
| [HSES-TF-0005c](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-13477) | Significant Incident Review | 3 years | SIR Chairperson |
| [HSES-SF-0005i](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-14285) | BMS Change Request (Investigation Learning) | 3 Years | Site Lead |

**Process Map**

