



**ACCIDENT & INCIDENT REPORTING AND INVESTIGATION**

**1 General Standards**

This Standard applies to all work-related incidents occurring on or off-site in situations under GBM companies’ control or responsibility. In reporting all accidents and incidents, this Standard is to include all employees, contractors, visitors and members of the public; however they must be clearly recorded using either the Company’s relevant Incident Reporting Form ([HS&E-FRM-A01-01](#) Health and Safety, [HS&E-FRM-A01-02](#) Environment) or other approved reporting systems.

As well as recording **all** incidents that have a health, safety or environmental impact, each incident should be investigated appropriately to determine any underlying deficiencies or other factors that may have caused or contributed to the occurrence of the incident. Not all incidents will need to be investigated to the same extent or depth, the level being dependant upon the severity of the incident and the potential for serious injury or environmental damage. (*Note: Item 3 of this Standard refers*)

Where incidents do occur that require corrective or preventive actions these should be recorded either within the [HS&E-FRM-A01-01 /02](#) or by using the corrective / preventive action plan form ([HS&E-FRM-M02-07](#)).

Following any incident that results due to the mode of operation the risk assessment and method statement for the activity should be formally reviewed by its initiator and amended to include additional controls as identified by the findings of any investigation.

*Definitions for Incidents are at the end of this Standard.*

**1.1 Workplace Practice**

The workplace management should communicate to all persons the Company’s requirement to report all incidents, including near misses, to the appropriate manager as soon as possible.

The workplace management should ensure that all incidents are recorded on the relevant form and that a suitable level of investigation is instigated. (See [HS&E-BPG-A01-102](#) Incident Guidance & [HS&E-BPG-A01-101](#) Incident Investigation and Reporting).

The local HS&E Advisors should be contacted to provide guidance and support regarding the level of investigation; to liaise with GBM Management over corrective actions; to provide guidance at local level for preventive action; to ensure that lessons learnt are communicated either locally or Group wide as appropriate; and to recommend improvements to the HS&E Management System as a result of the incident to prevent recurrence.

Where an incident includes any serious injury or serious risk to the environment; or requires a person to be taken to hospital; released from site for treatment; or the incident is likely to result in lost time the workplace management should contact the GBM Director and Health, Safety and Environment Advisor as soon as possible. The Health, Safety and Environment Advisor should complete a notification of incident report form as soon as possible. This form ([HS&E-FRM-C03-01](#)) should be forwarded to the GBM Management and the Health, Safety and Environment Department at the earliest opportunity.

Once the injury is confirmed as a RIDDOR Classification the HS&E Advisor should update [HS&E-FRM-C03-01](#) and forward to the HS&E Department who will ensure that Executive Board members are notified of the incident.

The incident report forms fall under the Data Protection Act therefore incident reporting forms held on site should be held in a confidential manner to prevent unauthorised personnel accessing them. Copies of **all** incident reporting forms should be forwarded to the relevant GBM / or other appointed representative at local level to notify insurers as appropriate.

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The workplace should include all incidents on the Monthly Health, Safety and Environment Report Form ([HS&E-FRM-M02-01](#)) to assist the compilation of the statistics on incidents for the monitoring of health, safety and environmental incidents. This form should be directed to the GBM representative identified for the collation of the forms by the 3<sup>rd</sup> of the month following the incidents.

**2 Incident Reporting Standards**

Whilst reporting of all incidents is very important, priority will always be given to managing the incident first e.g. stopping work operations; containing the extent of environmental damage; making the area safe; stabilising injured parties; summoning assistance and emergency services and administering first aid.

Where the incident is part of the contractor’s works or it involves their employee, the contractor will be directed to make contact with the relevant enforcing authority and checks should be made by the operations management team that this has occurred. Where there is doubt that the contractor has made the necessary notification to the enforcing authority, the operations management team should seek advice from the HS&E Department.

**2.1 Reporting of Major Incidents**

*(Note: please refer to definitions and classifications of major incident versus major injury)*

Major incidents should be notified, by site, to the GBM Director and the Health, Safety & Environment Department as soon as practicable, but no later than ½ hour after awareness / knowledge of the incident occurrence. GBM Directors and the Health, Safety & Environment Department will then determine further notification requirements, e.g. legal teams.

Following contact with the Health, Safety & Environment Department and where there is a legal requirement (e.g. work-related fatality, rail incident or a pollution incident) the relevant enforcing authority (e.g., Health and Safety Executive(HSE), Office of Rail Regulators (ORR), Environmental Agency (EA), Scottish Environment Protection Agency (SEPA) or local authority) should be contacted by the site (if not already contacted by other means e.g., Police) as soon as practicable, but no later than 1 hour after incident occurrence.

The emergency contact details for the HSE, ORR, EA / SEPA are:

Health and Safety Executive	Phone: 0845 300 9923 (local rate) Or <a href="http://www.riddor.gov.uk">www.riddor.gov.uk</a> Local HSE office telephone number
Environment Agency and Scottish Environment Protection Agency	0800 80 70 60 (24 hour emergency Hotline)
Office of Rail Regulators	020 7282 3910 (0900 hrs to 1730 hrs) 020 7944 5445 (Outside the above hours)

**2.2 Major Injuries and Dangerous Occurrences**

Major injuries and dangerous occurrences should be notified, by site, to the GBM Directors and the Health, Safety & Environment Department as soon as details are confirmed, but no later than 4 hours after awareness of incident occurrence. GBM Directors and the Health, Safety & Environment Department will then determine further notification requirements, e.g. legal team.

Following contact with GBM Directors and the Health, Safety & Environment Department, the Health and Safety Executive should be contacted by the site via e-mail, fax or telephone as soon as practicable, but no later than 8 hours after major injury or dangerous occurrence is confirmed (refer to contact details above).

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Further information on details on the classification of major injuries and dangerous occurrences can be located in [HS&E-INF-A01-201](#).

**2.3 Over 3 Day Injuries**

Any injury where an individual has to leave site or does not return to work the next day should be notified, by the workplace management, immediately to the GBM Directors and HS&E Advisor.

Confirmation of an over 3 day injury will be given to the GBM Directors and the Health, Safety & Environment Department on the fourth day of absence after, but not including, the day of the injury. The Health and Safety Executive should be contacted by e-mail, fax or telephone no later than 10 days after the day of the injury (refer to contact details above).

**2.4 Industrial Diseases**

Reports relating to industrial diseases should be completed as soon as practicable after medical confirmation, and should include, where known, a full history of the individual's actual and potential exposure to associated workplace hazards. The Health, Safety and Environment Department should be contacted for further advice on the reporting of industrial diseases before the Health and Safety Executive is contacted.

**2.5 Significant Environmental Incident**

Significant environmental incidents should be notified, by site, to the GBM Directors and the Health, Safety & Environment Department as soon as details are confirmed, but no later than 1 hour after awareness of the incident occurrence.

Following contact with GBM Directors and the Health, Safety and Environment Department, and where appropriate, the Environment Agency / Scottish Environment Protection Agency or local authority should be contacted by the site by telephone as soon as practicable, but no later than 1 hour after incident confirmed (refer to contact details above).

The form [HS&E-FRM-A01-02](#) should then be completed; thereafter, an appropriate investigation should be conducted with the results being formally documented e.g. via completion of a Significant Environmental Incident Investigation Report. Regional Environmental Advisors with support from both the local HS&E Advisor and GBM management will generate a Significant Environmental Incident Investigation Report, where deemed necessary.

**2.6 First Aid Injuries & Minor Environmental Incidents**

In terms of first aid injuries and minor environmental incidents, the relevant Incident Report Form ([HS&E-FRM-A01-01](#) / [HS&E-FRM-A01-02](#)) should be completed by a member of the operational management team, as a minimum, as soon as possible or within 5 working days, and retained by the GBM. Where additional support or advice is required in completing the report the site's HS&E Advisor should be contacted. This reporting format replaces the need for a proprietary Accident Book to be present on site. Sites may wish to maintain proprietary Accident Books at their discretion, but this does not replace the need to complete the Company's own Incident Report Form.

GBM is responsible in conjunction with the local HS&E Advisor for identifying corrective actions and close out of these incidents, however, all incident reports will be reviewed during the HS&E Advisors' 4 week visit, and close out and effectiveness of the corrective actions commented on. Failure to investigate; identify corrective action, close out or ineffective corrective actions should be reported on and brought to the attention of GBM Management as appropriate.

**2.7 Near Miss Reporting**

Near miss reporting should be driven by the workforce itself; the GBM Near Miss Observation Card (NeMO) has been introduced into the Group as a universal process for all GBM sites to encourage the local workforce to bring to managements' attention any potential unsafe acts or situations using a simple reporting format. These cards should be available at every workplace and all employees advised of their use, whereabouts and who to pass them on to.

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Details for ordering the GBM NeMO Cards and other Group procured documents are available via the GBM [Intranet HS&E Supporting Information](#) section.

The operations management team should ensure that all near misses are investigated and feedback is given to the workforce on the action taken. Where the NeMO Card identifies a significant near miss the level of corrective action and formal recording of the near miss by using [HS&E-FRM-A01-01](#) should be appropriate to the magnitude of the near miss. Where in doubt whether [HS&E-FRM-A01-01](#) should be completed in addition to the NeMO Card contact should be made with the local HS&E Advisor.

**3 Incident Investigation**

Any incident should be viewed as a non-conformity and as such all incidents should be investigated by a competent person as soon as it is safe and practicable to do so. The level of investigation should be suitable and sufficient in relation to the severity and frequency of the incident, i.e. members of the operations management team with relevant health, safety and environmental supervision training are deemed competent to carry out low level investigations, however, in cases where the incident becomes legally reportable to an enforcement agency, additional support by a HS&E advisor will be required and a decision made on the level of competency required by the person undertaking the investigation.

The HS&E Advisor will review all incident reports during his 4 weekly visit for sufficient detail, close out and effectiveness. Where necessary the HS&E Advisor will undertake further investigation and report to GBM management findings that may require additional training, communication or amendments to local systems of work / processes.

GBM's Directors should ensure that incident investigations are completed and that relevant information from the investigation is distributed throughout GBM, as appropriate. The Health, Safety & Environment Department should distribute relevant information throughout the Group from any investigation as appropriate and make any changes to the Health, Safety & Environment Standards, as applicable.

Where an investigation has been carried out by a member of the HS&E Department, the Regional HS&E Manager / Environmental Manager will review the investigation and once satisfied that the investigation is satisfactory and the report findings etc have been closed out, they should complete the HS&E Incident Review [HS&E-FRM-A01-04](#) and return to the Group HS&E Director.

The purpose of any investigation is to attempt to identify:

- Direct and indirect causes
- System failures
- Training requirements
- Organisational failures
- Actions to prevent any recurrence.

Subsequently, investigation reports should include, as a minimum:

- The facts of the incident
- Immediate and root causes
- Corrective actions taken in the short term to prevent recurrence
- Preventive actions / lessons learnt
- All relevant documentation i.e. risk assessments; method statements; inspections etc

The Best Practice Guide (Incident Investigation Guidance [HS&E-BPG-A01-101](#)) provides information to assist in completion of incident investigations and contains a schedule of potential contents for full investigations.

Due to Data Protection legislation, copies of Incident Report Forms, accident / incident investigation reports etc. should be controlled so as to prevent unauthorised access. Workplace management should be responsible for maintaining confidentiality of completed reports.

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Copies of the investigation report, including Incident Report Forms as a minimum, should be issued by the investigation team to:

- GBM
- Regional HS&E Managers / Regional Environmental Managers as appropriate
- Insurance Company
- Workplace Manager

Legal privilege may be placed on such documents and, in such event, report holders may change as advised by legal teams.

Copies of the incident report should not be issued to any other third party without authorisation from the GBM Senior Management. The injured party may request copies of the incident report – the incident report is Page 1 & 2 of [HS&E-FRM-A01-01](#) only.

Reports should be produced and distributed within two weeks. If further time is required for a full report then an interim report is to be published, along with timescales for the investigation completion.

GBM Management Boards should be consulted on the investigations' corrective and preventive actions and ensure they support and understand them and provide the necessary resources for their implementation.

**3.1 Investigation of Major Incidents**

Major incidents should be investigated by a GBM investigation team which will include at least one member of the Divisional / GBM Board Member, a health, safety or environment professional and operations team representative. The most senior GBM representative will act as chairperson of the investigation team.

A senior member of the Health, Safety & Environment Department will be assigned to support the incident investigation.

**3.2 Investigation of Major Injuries, Over 3 Day Injuries and Dangerous Occurrences**

Major injuries, over 3 day injuries and dangerous occurrences should be investigated by appropriate operational staff on behalf of the GBM with support from a Health, Safety and Environment Advisor. Where the local HS&E Advisor deems it is necessary for a member of the senior management team to be included in the investigation this will be identified on the Notification of Incident Form sent into the GBM. The GBM should then nominate a senior member to attend the investigation with the HS&E Team.

**3.3 Investigation of Significant Environmental Incident**

Significant environmental incidents should be investigated by the local HS&E Advisor with support from the Regional Environmental Manager. The HS&E Advisor will identify on the Notification of Incident Form if a Regional Environmental Manager or senior management from GBM are required to be part of the investigation team. Where this is deemed a requirement, GBM will appoint a senior manager to attend.

**3.4 First Aid Injuries, Near Misses & Minor Environmental Incidents Investigation**

First aid injuries, near misses and minor environmental incidents should be investigated by the operations team / line managers as appropriate, with support from the Health, Safety & Environment Advisor as necessary.

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**4 Associated Documentation / Guidance**

- [HS&E-FRM-A01-01](#)    [H&S Incident Report Form](#)
- [HS&E-FRM-A01-02](#)    [Environmental Incident Report Form](#)
- [HS&E-FRM-A01-03](#)    [Witness Statement](#)
- [HS&E-FRM-A01-04](#)    [HS&E Incident Review](#)
- [HS&E-FRM-M02-01](#)    [Monthly Health, Safety & Environmental Return Form](#)
- [HS&E-FRM-M02-07](#)    [Corrective Action Plan](#)
  
- [HS&E-BPG-A01-101](#)    [Incident Investigation and Reporting](#)
  
- [HS&E-INF-A01-201](#)    [Major Injury and Dangerous Occurrences Schedule](#)
- [HS&E-INF-A01-202](#)    [Incident Reporting Guide](#)

**5 Definitions**

<b>Company</b>	Any operating unit that belongs to the GBM Group
<b>Major Incident</b>	<ul style="list-style-type: none"> <li>• Death or life threatening injury to employee, contractor or member of the public;</li> <li>• Fire or explosion resulting in widespread losses to the site;</li> <li>• Any enforcement actions taken by regulatory authorities are also included.</li> </ul>
<b>*Major Injury</b>	Any work-related injury resulting in major effects to employee, contractor or member of the public, e.g., <ul style="list-style-type: none"> <li>• Major injury as defined by RIDDOR</li> <li>• *Industrial disease as defined by RIDDOR</li> </ul>
<b>*Over 3 Day Injury</b>	Any work-related injury to an employee or other individual at work that results in that person being off work for four days / shifts or more following, but not including, the day of the injury.
<b>First Aid Injury</b>	Any work-related injury to an employee or other individual at work that results in first aid treatment and/or that person being off work for up to a maximum of 3 days / shifts following, but not including, the day of the injury. This may include hospital visits and subsequent discharge of less than 24 hours.
<b>*Dangerous Occurrence</b>	Any dangerous occurrence as defined by RIDDOR.
<b>Near Miss</b>	Any unplanned or uncontrolled work-related event that has the potential to cause physical harm or injury. This will include damage to plant or property and cable strikes.
<b>Significant Near Miss</b>	A near miss where the potential outcome may have resulted in loss of life or severe injury / damage.
<b>Significant Environmental Incident</b>	<ul style="list-style-type: none"> <li>• Any release to land, water or air resulting in a breach of an environmental regulation</li> <li>• A spill of a hazardous material that cannot be controlled or has entered, or could enter, a drain or watercourse</li> <li>• Receipt of any enforcement action from a regulatory body.</li> </ul>
<b>Minor Environmental Incident</b>	<ul style="list-style-type: none"> <li>• Any emission of dust, odour, noise, vibration and / or light to the external environment such that it results in a complaint from project and / or non-project personnel</li> <li>• A spill of a hazardous material that can be controlled or has not entered, and cannot enter, a drain or watercourse</li> <li>• Any action that has the potential to cause a negative visual impact e.g., mud on the public highway; poor soil management that could result in poor agricultural or amenity reinstatement standards.</li> </ul>

\*See [HS&E-INF-A01-201](#)

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