

INTERIM ADVICE NOTE 128/10

'Highways Agency Supply Chain Health and Safety Incident Reporting Requirements'

Summary

This Interim Advice Note IAN 128/10 is relevant to Contractors and Service Providers on Major Project Schemes in construction and the Network Delivery & Development MAC and DBFO network. Area Management Memos, AMM 54/04, AMM 96/08 and AMM 97/08 are now superseded and withdrawn.

Instructions for Use

This Interim Advice Note provides guidance and information and is for immediate use.

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Introduction

This Interim Advice Note (IAN) is a requirement for the use of the new web-based version of the Accident and Incident Reporting System (AIRS) named AIRSweb. The requirements of this IAN are applicable to all Contractors and Service Providers who are engaged in Major Project schemes at options, development and during construction stages and carrying out the Operation and Management of the HA Network. These requirements also apply in similar ways to DBFO projects.

This IAN introduces revised requirements and associated guidance for Contractors and Service Providers for the use of AIRSweb for the reporting of incidents during all construction, operation and maintenance activities on the Network.

The new requirements include the submission of monthly summary information to enable the Highways Agency to produce an accurate Agency-wide Accident Frequency Rate (AFR) and to meet other Ministerial reporting requirements, whilst minimising resource costs for Contractors and Service Providers. In addition, incidents involving fatal or serious injuries, should be reported immediately to the HA, verbally or by other suitable means, as an early warning. Fatal & serious injury incidents should be reported via AIRSweb within 24 hours, with RIDDOR (3+ day) and other reportable incidents reported via AIRSweb within 10 days.

Historical data has already been migrated to AIRSweb, together with the summary information requested in AMM 97/08 for Network Delivery & Development and in accordance with DI 02/06 for Major Projects.

The documents that are now superseded and withdrawn with immediate effect are Area Management Memos – AMM 54/04, AMM 96/08 & AMM 97/08.

Outline

AIRSweb is fully operational and has been released as the official mechanism for recording and reporting to the Highways Agency all incidents and accidents which involve all Contractors, Service Providers and their suppliers.

AIRSweb is a web-based application currently hosted on the Highways Agency's Information Systems and offers greater user functionality and improvements over the previous version of AIRS. The development of AIRSweb was supported and facilitated by representatives from Contractors and Service Providers.

The scope of reporting requirements has been changed to meet Ministerial & other requirements which include the production of an over-arching Highways Agency wide AFR, hence summary statistical information needs to be collated. AIRSweb now allows summary information to be submitted by Contractors and Service Providers directly on-line and performs auto-calculations based on both the new incidents and those already reported.

Implementation

The requirements of this IAN must be applied to all Major Project schemes, where personnel are on site (i.e. at options, development and during construction phases) and during all activities for Network Delivery and Development (NDD) by the MAC, TechMAC and DBFO Contractors. Where incidents occur during the options and development phases the reports should be sent to the Highways Agency Project Manager for entry onto AIRSweb. The requirements are also applicable to Network Delivery and Development Spot Tendered Schemes and Construction Management Frameworks.

In particular, all Contractors and Service Providers must :

- use AIRSweb to meet the requirements detailed in the Network Management Manual at cl. 1.6.2;
- report all RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995), incidents, i.e. fatal, serious and major injury, must be initially reported on AIRSweb within 24 hours of them occurring;
- report any incident involving a fatality or which is likely to generate press interest, must be reported to HA immediately, with follow-up where appropriate, and thereafter make an initial AIRSweb record within 24 hours;
- report all other RIDDORs (i.e. those not classified as a FSM) and non-RIDDOR including Near Misses, as specified in this doc, must be initially reported within 10 days;
- at the earliest opportunity, following completion of the incident investigation, the final investigation report, together with any relevant supporting documentation, must be attached to the original AIRSweb record. The 'completion' record should contain, as a minimum, the key findings; lessons learned; actions recommended; actions that have or will be taken; name of company contact with telephone and e-mail details;
- submit each & every month, within working day 5 of month end and irrespective of there being no incidents, the total number of man-hours worked on site in that calendar month and the number of people working (full or part/time) on site during that month. This figure is to include sub-contractors and suppliers staff.

All Network Delivery & Development Service Providers (MACs, Techmacs and DBFO) must, in addition :

- where they are a Joint Venture, report under the JV banner.
- where the incident occurred on Managed Works schemes (whether Spot Tendered, conventional Works Framework or Construction Management Framework), then information should be reported by the Principal Contractor. In the case of Construction Management Frameworks (CMF) the Principal Contractor is the MAC;
- if they are a MAC, monitor all incident reporting for their Area and ensure that information for Spot Tendered Schemes, Works Frameworks and Construction Management Framework contracts have been submitted in AIRSwebs;

All Major Project Service Providers must, in addition :

- where they are a Joint Venture, report under the JV banner.

Access and User Accounts

Access and User Accounts are required for AIRSweb and the Highways Agency information systems. Security clearance will be required and may take some time.

The HA uses a communication network (Extranet) that allows its business partners to access and provide data to systems installed on the HA business IT network (HABIT). AIRSWeb is one of these systems.

The Extranet is a virtual Private Network currently provided by BT, under contract from Atos Origin. Depending on the terms of the contract you have with the HA, either the HA will pay for and install the Extranet service or you will.

All of the information relating to access to the HAbIT is available in the Technical Architecture document which can be obtained from your Company Highways Agency Liaison Officer (CHALO).

Once a link has been approved between the Agency and your company, accounts may be set up on HAbIT for your staff. Your Agency Project sponsor will nominate a HA Liaison Officer (HALO) who will work with an equivalent person in your organisation (CHALO) to set up these accounts.

AIRS Accounts

Once your staff have received their HA account details they can proceed to obtaining an AIRS account. Requests for these accounts should be made to: airs@highways.gsi.gov.uk providing the following information:

- Name
- Address
- Contact telephone no.
- E-mail address
- Project or contract name that they relate to.

Further information may be requested.

Once created, the user will be provided with log-in details, user guidance and training, if requested from the AIRSweb site.

Reporting Guidance

The following gives guidance for reporting and recording incidents via AIRSweb and the associated investigation requirements – see Annex A for the process flowchart.

Note:

- All fatal and major incidents should be reported to the Highways Agency Project Manager / Area Performance Team Leader immediately
- Contractors are responsible for categorising the incident.
- Contractors are responsible for reporting RIDDOR Incidents to Health & Safety Executive (HSE) and complying with Regulations.

Categories of Incident

There are three categories of incident that should be reported via AIRSweb. These are as follows:

RIDDOR

- All RIDDOR Incidents, Fatal, Serious and Major – immediate contact / 24hrs report.
- For all Other RIDDORs, not Specified above – (i.e. over 3 day injury) - Report within 10 days.

NON-RIDDOR (Report within 10 days):

- a) Personal injury to a Contractor, Service Provider or supplier;
- b) Verbal or physical abuse to staff;
- c) Any member of the public injured within the work area;
- d) Property, equipment or plant damage that presents a potential risk to the health and safety of the contractor's staff or to third parties;
- e) Any item falling from height on or over a live carriageway;
- f) All road traffic accidents involving personal injury to staff, third party or property damage whilst carrying out HA duties;
- g) All road traffic accidents that, as a result of the incident, enters a work area;
- h) Any collision with an Incident Support Unit (ISU), Impact Protection Vehicle (IPV) or contractor vehicle;
- i) A road user's vehicle striking a work area;
- j) Any collision between vehicles or equipment within a work area;
- k) Any construction / maintenance operative struck by a contractor's vehicle / plant or road user vehicle.

Note: The following circumstances fall outside the scope of this IAN and should not be reported on AIRSweb:

- Road traffic accidents involving an employee incident or injury when not at work, e.g. Journey to/from home and normal place of work, or on other private journey.
- Road traffic accidents involving road users that are not directly affected by or impact on construction / maintenance activities or work areas.

Near Misses (to be reported within 10 days)

A near miss is defined as: ***an unsafe act, omission, occurrence or unsafe behaviour which could have resulted in injury or damage resulting from a work activity or whilst at work.***

Examples include, but are not limited to:

- Unplanned unearthing of underground services.
- Unintentional movement of plant or vehicles.
- Person(s) or construction and maintenance transport vehicle almost struck by a road user's vehicle whilst carrying out construction or maintenance works.
- Person(s) almost struck by a falling object in a designated construction or maintenance works area.
- Vehicles without checker chains operating under overhead power cables without goalpost protection.
- The unintentional dropping of any load being lifted.
- Unauthorised access into a work area.
- Work adjacent to railway lines that has not been authorised.
- Failed or unplanned use of ATM signalling used for the protection of construction / maintenance operatives.
- Projectiles that could have caused personal or significant property damage.
- Unsafe acts / omissions that could have resulted in personal injury.

Severity of an incident

Actual severity is defined in five levels:

Level 1 incidents this level is used to record the most serious events. Typically they will involve death, major injury, lost time injuries of over three days, or major property damage. They are generally reportable to the Health & Safety Executive.

Level 2 incidents any event that causes a lost time injury of up to three days, requires medical treatment, or causes significant damage.

Level 3 incidents any event with a low severity outcome, causing injury which requires either first aid or no treatment, or minor property damage.

Level 4 Near Miss a near miss is defined as an unsafe act, omission, occurrence or unsafe behaviour which could have resulted in injury or damage, resulting from a work activity or whilst at work.

*Note: Despite being categorised as a level 4 incident, the level of investigation should be based initially on the **perceived potential severity** of the event. All Contractors and Service Providers are expected to report near miss incidents using AIRSweb in line with the Agency's procedure.*

Level 5 Hazard a situation or object which has the potential to cause harm if action is not taken to remove it, repair it or deal with the risk situation.

The matrix below provides some examples of incidents for a range of severities. Note that this is guide only and not all eventualities are covered. Where an incident involves events with varying degrees of severity, then the severity assigned should represent the greatest severity involved.

Severity	Employee / Contractor Injury	Third Party Injury	Property Damage / Loss	Plant / Equipment
Level 1	Fatality or major injury or HSE reportable lost time injury of more than 3 days.	HSE reportable injury – i.e. fatality or major injury resulting in 3 rd party attending hospital.	Fire involving significant property damage or involving flammable gases or liquids. HSE reportable dangerous occurrence. Significant damage to property exceeding £50K.	Major damage to plant and equipment.
Level 2	Lost time injury of up to 3 days or medical attention required from a doctor or nurse.	Injury requiring first aid at the incident scene.	Any fire on an Agency site not categorised above. Damage to property exceeding £10K but less than £50K.	Significant damage to plant and equipment.
Level 3	First-Aid treatment or no treatment required.	Other minor injuries.	Any incident involving damage to property not categorised above.	Any incident involving damage to plant or equipment.
Level 4	Near Miss	Near Miss	Near Miss	Near Miss
Level 5	Hazard	Hazard	Hazard	Hazard

Potential Severity

The Agency requires that Contractors and Service providers make an assessment of all incidents to decide on the actions required. In doing this, they must consider the potential severity of the incident. In assessing the potential severity, they should consider the circumstances that would lead them to believe that - 'It could have been worse'. They should use their judgement to ascertain what could reasonably have been the outcome of the incident rather than the worst-case scenario. Management actions in response to the incident should then take account of the potential consequences of the accident.

MP Project Manager & NDD Area Performance Team Leader Functions

- Be the first point of contact for a supply chain contractor to report death or serious injury.
- Notify Divisional Director that a death or major injury/incident has occurred.
- Notify the HA-National Health & Safety Team (NH&ST) that a death or major injury/incident has occurred.
- Monitor the Contractor to ensure that the AIRSweb process is followed.
- Ensure reporting process occurs within required timescales.
- Checking accuracy of data, especially hours worked.
- Reviewing root causes and follow up actions.
- Ensuring actions are completed for their projects.

HA Divisional Director Functions

- Consult with PM/APTL and NH&ST regarding the severity of the incident and possible outcome.
- Monitors incident process and provides timely updates to senior management and NH&ST.

Incident Investigations

All incidents will be allocated a severity rating by the Contractor or Service Provider to determine the appropriate level of investigation required. Not all incidents need to be investigated to the same extent or depth. Each incident should be assessed and investigated in proportion to the nature and severity of the incident.

On completion of the investigation, the final investigation report together with any relevant supporting documentation should be recorded and attached to the original AIRSweb record at the earliest opportunity. **Published guidance is available at the HSE website** "Investigating accidents and incidents - a workbook for employers, unions, safety representatives and safety professionals" (HSE Ref. HSG245. ISBN 9780717628278)

Monthly Performance Reporting

To enable the Agency to produce and monitor the accident frequency rate of its Contractors and Service providers against the targets, additional information relating to the number of employees and the number of hours worked on site per calendar month must be recorded within AIRSweb. This information must be submitted by working day 5.

Definitions

- **Number of Employees** : The average number of employees on site on each working day.
- **Total Hours Worked** : The average number employed during the calendar month multiplied by the average number of hours worked in that calendar month by a typical full-time employee.

Note

Designers working within the MAC/Techmac offices within the geographical area of the MAC/Techmac would not be included apart from any hours spent on the network itself. Supervisory staff (project managers etc) for MAC/Techmac works would be included. Staff based in depots would be included where their role involves working on the network - eg route stewards within the MAC. Staff such as commercial team members who might be depot based but not visiting live sites would not be included - unless they visited site in which case only those hours spent on site would be included.

Definition of a Site

For stand alone/individual contracts, the site is as defined in the contract documents i.e. within the site boundary as described in the works information. Note that, in addition, if work activities associated with the project take place remote from the immediate area of the site, but still on the HA network i.e. placing traffic management signs in advance of the works area and accidents occur to the workforce whilst engaged in erecting, dismantling or maintaining these signs, the accidents should be reported.

- For work procured under Framework Agreements the definitions above apply.
- For Design and Build contracts the definition as per stand-alone projects applies.
- For Construction Management projects the definition as per stand-alone projects applies.
- For work procured under the Maintaining Agent/Term Maintenance/Managing Agent Contract, the 'site' is the area covered by the agreement. Note this would include site depots.
- For work procured under a MAC, the definition of a 'site' is as given for the Maintaining Agent/Term Maintenance/Managing Agent Contract.
- For Design, Build Finance and Operate contracts or other PFI/PPP contracts, the 'site' is the area defined in the DBFO/PFI/PPP agreement.
- For communication work, new installations, the definition as per stand-alone project applies. For maintenance of existing communication systems the 'site' is as per the definition for Maintaining Agent/Term Maintenance/Managing Agent Contract.

Contacts

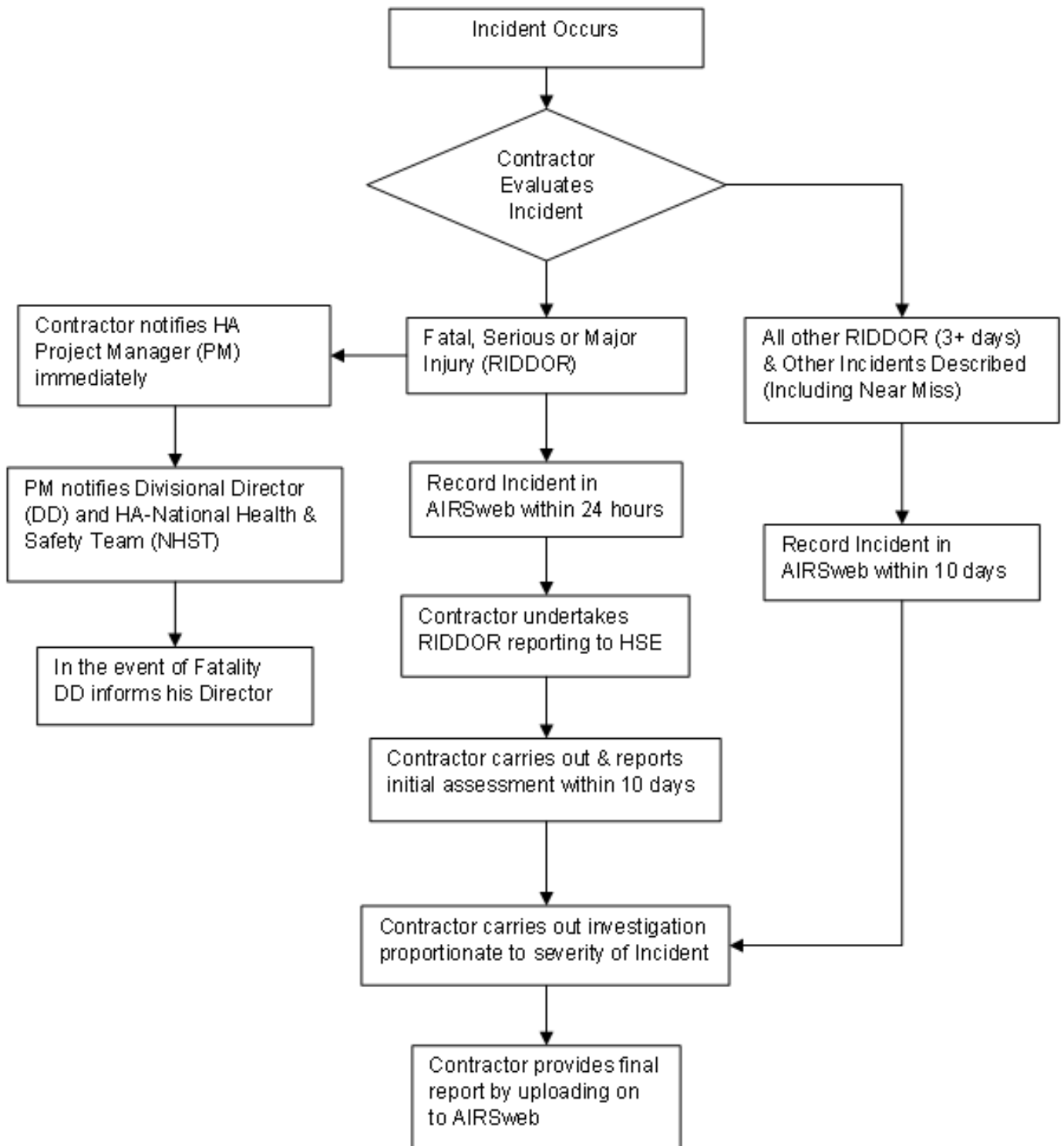
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Interim Advice

Annex A - Incident Reporting Process Flowchart



Annex B: IAN 128/10 Highways Agency Supply Chain Health and Safety Incident Reporting Requirements in English DBFO schemes

When used on the M25 DBFO Scheme, this IAN is to be amended as follows:

Para No.	Description
Outline	Delete "Highways Agency's" and insert "Secretary of State" Delete "Service Providers" and insert "service providers" at both occurrences
Implementation	Any requirement to delete this section shall only apply to the first paragraph.
Implementation Boxed Text	Delete "In particularProviders must" and insert "The DBFO Co must" Delete "HA" and insert "Department's Nominee" Delete "All Major Project Service Providers" and insert "DBFO Cos"
Reporting Guidance	Delete "Highways Agency Project Manager / Area Performance Team Leader" and insert "Department's Nominee"
Potential Severity	Delete "Service providers" and insert "service providers"
Incident Investigations	Delete "Service Provider" and insert "service providers"
Monthly Performance Reporting	Delete "Service providers" and insert "service providers"

When used on all other English DBFO Schemes, this IAN is to be amended as follows:

Para No.	Description
All occurrences	All references to "Service Provider" or "Service Providers" or "Service providers" are references to any organization, including DBFO Co, contracted by the Highways Agency to manage and maintain parts of the trunk road network.
Outline	Delete "Highways Agency's" and insert "Secretary of State"
Implementation	Delete the first paragraph
Implementation Boxed Text	Delete "In particularProviders must" and insert "The DBFO Co must" Delete "HA" and insert "Department's Nominee" Delete "All Major Project Service Providers" and insert "DBFO Cos"
Access and User Accounts	Delete "your Company Highways Agency Liaison Officer (CHALO)" and insert "the Department's Nominee" Delete "Your Agency Project sponsor" and insert "The Department's Nominee"
Reporting Guidance	Delete "Highways Agency Project Manager / Area Performance Team Leader" and insert "Department's Nominee"