

INTERIM ADVICE NOTE 128/15/Ar

Highways England Supply Chain Health and Safety Incident Reporting

Summary

This Interim Advice Note IAN 128/15/Ar is relevant to Contractors and Service Providers working for Facilities Management, and on Major Project Schemes and the Network Delivery & Development and DBFO network. It includes minor amendments to Section 3b. IAN 128/15/A is now superseded and withdrawn.

Minor amendments to 3b

Instructions for Use

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

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1. Introduction

This Interim Advice Note (IAN) 128/15/A is relevant to Contractors and Service Providers (Contractors) working for Facilities Management, and on Major Project Schemes and the Network Delivery & Development Asset Support and DBFO networks. IAN 128/15 has been superseded and withdrawn.

IAN 128/15/A provides updated guidance and is effective from 1st September 2015; it sets out the requirements for use of Highways England's Accident and Incident Reporting System (AIRSweb).

Timescales for reporting incidents and submitting investigation reports have been reduced, including a requirement to publish initial investigation reports for RIDDOR incidents. LTI (lost time injury) reporting has been extended to include all one 1 day and over LTIs.

This IAN relates to all incidents regardless of whether they are subject to legal privilege, to ensure that Highways England can fulfil our Client duties and identify and share lessons across our supply-chain.

2. Purpose

IAN 128/15/A mandates requirements for the timely and consistent reporting of Contractor health and safety incidents, investigation findings, and hours worked, so that reliable safety data is collected, analysed and made available for use by Highways England and our supply-chains in the management of risk.

3. Application and Reporting Requirements

The requirements of this IAN must be applied to all contractors working for Facilities Management, Major Project schemes, where personnel are on site (i.e. during survey, site investigation and construction works) and during all activities for Network Delivery and Development (NDD) by the MAC/ASC, TechMAC, RTMC and DBFO Contractors (NDD Service Providers).

3a. What to Report

The following category of incidents, and information, must be reported on AIRSweb:

Incident categories – see Annex A for definitions

- **RIDDOR** (Reporting Injuries, Diseases and Dangerous Occurrences Regulations) statutory reportable incidents
- One day and over **LTIs** (Lost time injuries)
- **High potential near misses** (HPNM)
- **Failure of infrastructure assets** (FOIA) incidents

Additional information required

- The **average number of employees** on site each working day, and
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- The **total hours worked** (average number employed during the calendar month multiplied by the average number of hours worked on site per month by a typical full-time employee). See the note below.

Note:

- *Designers and Commercial team members working within the MAC/ASC/TechMac offices within the geographical area of the MAC/ASC/TechMac would not be included apart from any hours spent on the network itself.*
- *Supervisory staff (project managers etc) for MAC/ASC/TechMac works would be included.*
- *Other Staff based in the depots would be included where their role involves working on the network – e.g. inspectors within the MAC/ASC.*

3b. When to Report

- All incidents must be recorded on AIRSweb within **24hrs** of the incident occurring
- Where a LTI becomes a >7 day RIDDOR then the incident must be updated on AIRSweb within 24hrs of this occurring
- All RIDDOR reportable incidents must publish an initial investigation report within **3 working days** of the incident occurring. For >7 day RIDDORs this must occur within 10 working days of the original LTI occurring
- All incidents must publish a final investigation report, action plan and issue a safety alert (where applicable) within **14 working days** of the incident occurring
 - Where 14 days would provide insufficient time for a quality investigation to occur, then an extension can be agreed with the Highways England Project Manager. Albeit an updated initial investigation report will have to be published within 14 days.

And

- The average number of employees, and total hours worked must be reported on AIRSweb by **working day 3** each month.

4. Who should use this?

This IAN is relevant to;

- Contractors and Service Providers (Contractors) working for Facilities Management, Major Projects and the Network Delivery & Development Asset Support and DBFO networks
- Highways England employees, and their line management, who project or contract manage our Contractors

4a. Requirements for Highways England Employees

Facilities Management Contract Managers (CM), Major Projects Directorate Project Manager (PM) & NDD Service Manager (SM) Functions – see also Annex B

- Review new AIRSweb user requests and once satisfied send an approval e-mail to the AIRSweb inbox, see 5a 'Accessing AIRSweb and User Guidance'
- Manage the escalation of incidents by leaning on the principles of the Highways England Crisis Management Manual for fatalities and multi-person major injury incidents, including
 - Be the first point of contact for a Contractor to report death or serious injury
 - Notify their Divisional Director and your Health and Safety Business Partner that a death or major injury has occurred.
 - Provide a weekly update on the investigation status to your line management, Health and Safety Business Partner and other stakeholders as is applicable.
- Monitor and manage the Contractor to ensure that the AIRSweb process is followed, particularly the timely recording and updating of incidents, investigation progress and the issue of safety alerts
- Checking accuracy of data, especially hours worked
- Reviewing investigation reports for proportionality, quality and causation clarity
- Ensure remedial actions are completed
- Obtain assurances from the Contractor that they had made the changes that were identified within investigations and that the changes were effective.

Highways England Divisional Director Functions

- Liaise with their CM/PM/SM and Health and Safety Business Partner regarding the incident and possible outcome
- Monitor and influence the incident process and investigation progress, providing timely updates to senior management and your Health and Safety Business Partner.

National Health and Safety Team

- Support the CM/PM/SM and Divisional Directors, as is appropriate
- Publish and distribute safety alerts.

5. Steps to using AIRSweb

5a. Accessing AIRSweb and User Guidance

Contractors requiring access to AIRSweb can achieve this by e-mailing a request to the relevant Highways England Contracts Manager for Facilities Management, Project Manager for Major Project schemes, discrete contracts and framework tasks and the relevant NDD Service Manager for Service Provider contracts with the following details:

- Name
- Address
- Contact telephone no.
- E-mail address
- Project or contract name on which the Contractor is engaged

The Highways England Contract Manager/Project Manager/Service Managers will then review the new user request and once satisfied the details are correct, send an approval e-mail to the AIRSweb inbox, via airs@highwaysengland.co.uk

AIRSweb can be accessed via the internet using the following link; <https://airs.dft.gov.uk/>

An AIRSweb User Guide is available for download on the AIRSweb system and is situated on the left hand side menu bar. Further guidance and advice, and gaining access to occasional formal training provided by Highways England can be obtained by contacting the administrator on the airs e-mail address provided above.

5b. Recording Incidents on AIRSweb

Incidents must be recorded in a timely manner and updated on a regular basis (at least weekly) as new incident details, progress of the investigation and investigation findings become available. All sections of AIRSweb must be completed as and when relevant information becomes available.

Contractors must record the incident cause as this is understood at the time of the incident. Contractors should click "Save Draft" to record the initial and subsequent edits to AIRSweb. Doing this leaves the incident record in an editable state.

When formal investigations have been concluded, the AIRSweb record should be checked by the Contractor for accuracy and updated for the final time. At that point the record should be closed by clicking the investigation sign off flag "Save Final". If you click the button at this point, the status will change from a draft record to a submitted one and will no longer be editable by the user.

Note: If records have been submitted prematurely, the AIRSweb Administrator has the ability to re-set the record to a draft state and allow the contractor to resubmit the details.

5c. Investigating Incidents

Incident Investigations

All Contractors working for Highways England must ensure that the primary purpose of any health and safety incident investigation is to identify, learn and share lessons.

All incidents will be allocated a severity rating by the Contractor to determine the appropriate level of investigation required. Each incident should be assessed and investigated in proportion to the nature and severity of the incident.

For all RIDDOR incidents, the Contractor must contact (telephone and email) the Facilities Management Contracts Manager, Major Projects Directorate Project Manager (PM) or NDD Service Manager (SM) on the day of the incident. When there is a network infrastructure asset failure a decision will then be made by the PM, Service Manager, or if appropriate their line management, on how any investigation will proceed. In certain instances Highways England will take the primary investigation role.

On completion of the investigation, the final investigation report together with any relevant supporting documentation (action plan and safety alert) must be recorded and attached to the AIRSweb incident record.

It is essential that the Contractor is proactive in keeping Highways England regularly informed on developments in relation to incident investigations and follow-on activities. This must be achieved by regularly updating the investigation progress details against the incident within AIRSweb.

5d. Sharing Lessons

It is vital that lessons learned from incidents are communicated effectively by Contractors both within their own workforce and to Highways England.

Details of lessons identified, where appropriate via a safety alert, must be provided to Highways England as soon as final causation and advice for potential avoidance has been fully determined. The Highways England Health and Safety Division will e-mail "Safety Alerts" to key stakeholders.

It is the responsibility of Tier 1 Contractors to disseminate lessons learnt to the rest of their supply-chain (Tiers 2 and 3 etc).

5e. Closing Out Actions

Contractors must report to their Highways England Contract Manager, PM or Service Manager to confirm that they have implemented corrective actions arising from investigations. This must include assessments of the effectiveness of the actions and whether further risk mitigation is desirable.

6. Key Contact

The AIRSweb Administrator is;

Wayne Mullin
Highways England
Woodlands
Manton Lane
Bedford
MK41 7LW

Tel: 01234 796120 GTN: 3013 6120

Email: airs@highwaysengland.co.uk

Annex A – Definitions: Failure of Infrastructure Asset Incidents (FOIA), High Potential Near Misses (HPNM) or lost time injury (LTI)

If you are uncertain as to whether an incident constitutes a FOIA, HPNM or LTI please contact your Highways England Contracts Manager, Project Manager, Service Manager or H&S Business Partner.

‘FOIA’ definition;

A ‘failure of an infrastructure asset’ AIRSweb reportable incident is one that had the potential severity to cause major injury, a fatality, disruption to the network or where the learning from the incident would provide significant value to others in the supply-chain? This may include but is not limited to;

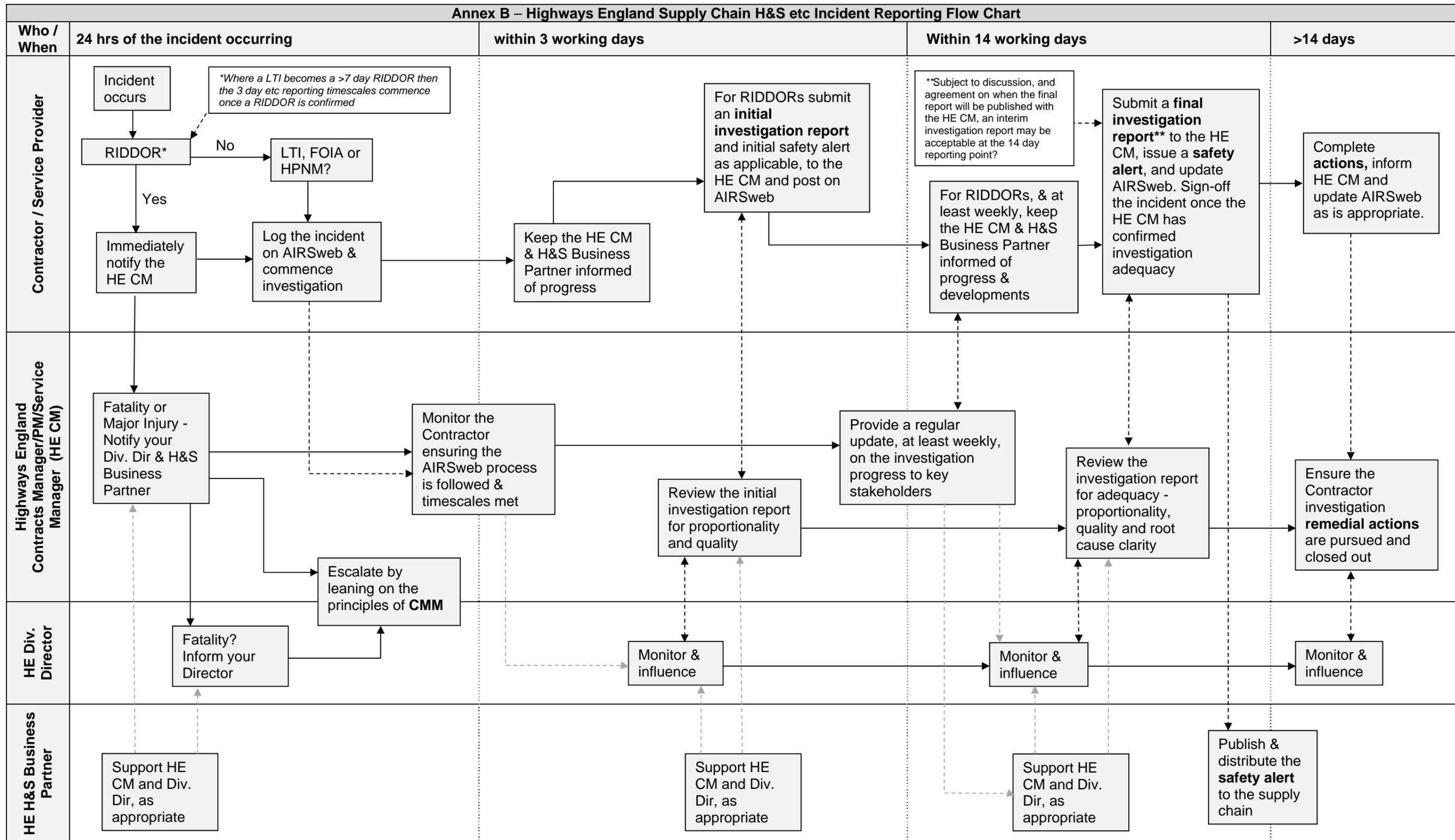
- Significant movement in a structure
- Corrosion of key components, that threaten the assets integrity
- Damage from vehicle strikes
- Incidents relating to damage to property, equipment, the environment or production losses with the production losses having the potential to cause injuries
- Items dropped from high level (gantry, bridge or temporary works etc) onto the carriageway
- Wind damage to temporary or permanent traffic management provision

HPNM definition;

A high potential near miss is an unplanned near miss that had the potential severity to cause a RIDDOR major injury or fatality, or where the learning would provide significant value to others in the supply-chain?

LTI definition;

A LTI is where the injured party is away from work, or unable to perform their normal work duties, for more than 1 day as the result of their injury. This 1 day period does not include the day of the accident, but does include weekends and rest days.



RIDDOR – Reporting of Injuries Diseases and Dangerous Occurrences Regulations; LTI – Lost time injury; FOIA – Failure of infrastructure asset; HPNM – High potential near miss
CMM – Highways England’s Crisis Management Manual