



General Principles and Scheme Governance
General information

GG 128

Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

Summary

This document contains requirements for the reporting of incidents and events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

Application by Overseeing Organisations

Any specific requirements for Overseeing Organisations alternative or supplementary to those given in this document are given in National Application Annexes to this document.

Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Highways England team. The email address for all enquiries and feedback is: Standards_Enquiries@highwaysengland.co.uk

This is a controlled document.

Contents

Release notes 2

Foreword 3

 Publishing information 3

 Contractual and legal considerations 3

Introduction 4

 Background 4

 Assumptions made in the preparation of this document 4

1. Scope 5

 Aspects covered 5

 Implementation 5

 Use of GG 101 5

2. Normative references 6

WITHDRAWN

Release notes

Version	Date	Details of amendments
0	Feb 2020	GG 128 replaces IAN 128/15/Ar/B/C. This full document has been re-written to make it compliant with the new Highways England drafting rules.

Foreword

Publishing information

This document is published by Highways England.

This document supersedes IAN 128/15/Ar/B/C, which is withdrawn.

Contractual and legal considerations

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract.

WITHDRAWN

Introduction

Background

This document contains the requirements, advice and guidance on the reporting and investigation of:

- 1) health, safety and wellbeing incidents and near misses; and
- 2) structural and environmental events and undesired circumstances.

It also sets out the requirement for the recording and reporting of the average number of workers and total hours worked each month.

Assumptions made in the preparation of this document

The assumptions made in GG 101 [Ref 1.N] apply to this document.

1. Scope

Aspects covered

- 1.1 The national requirements for reporting incidents and events: health, safety, wellbeing, structural and environmental set out in the National Application Annexes shall be followed.

Implementation

- 1.2 This document shall be implemented forthwith on all schemes involving an organisation working on behalf of the Overseeing Organisation including, contractors, service providers, supply chain partners and their contractors working for, or on behalf of the Overseeing Organisation's departments engaged in operations, construction and maintenance projects, and facilities management on the Overseeing Organisation's motorway and all-purpose trunk roads according to the implementation requirements of GG 101 [Ref 1.N].

- 1.3 The scope of this document shall include those engaged in the following activities:

- 1) design work;
- 2) technical studies, investigations and surveys;
- 3) structural inspections and surveys (see IAN 136 [Ref 2.N] for more details);
- 4) ground investigations and surveys;
- 5) scour inspections and surveys;
- 6) environmental inspections and surveys;
- 7) asbestos surveys; and,
- 8) construction, maintenance and demolition work.

Use of GG 101

- 1.4 The requirements contained in GG 101 [Ref 1.N] shall be followed in respect of activities covered by this document.

2. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref 1.N	Highways England. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
Ref 2.N	Highways England. IAN 136, 'Structural safety reporting'

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General Principles and Scheme Governance
General information

GG 128

England National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

Summary

This National Application Annex sets out the Highways England specific requirements for reporting incidents and events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Highways England team. The email address for all enquiries and feedback is: Standards_Enquiries@highwaysengland.co.uk

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Contents

Release notes	2
Foreword	3
Publishing information	3
Contractual and legal considerations	3
Introduction	4
Background	4
Highways England safety vision	4
Applicability	4
Assumptions made in the preparation of this document	5
Abbreviations	6
Terms and definitions	7
E/1. Reporting requirements	13
When to report	15
Where to report	17
Accessing Airsweb	18
E/2. Investigation requirements	19
Investigation	19
Lessons learned	19
Closing out actions	20
E/3. Recording hours	21
Working hours	21
E/4. Normative references	22
E/5. Informative references	23
Appendix E/A. Additional pertinent legislation and guidance	24

Release notes

Version	Date	Details of amendments
0	Feb 2020	Highways England National Application Annex to GG 128.

WITHDRAWN

Foreword

Publishing information

This document is published by Highways England.

This document supersedes all versions of IAN 128/15, which are withdrawn.

Contractual and legal considerations

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract.

The requirements of this document do not remove the need to follow the statutory reporting requirements under UK legislation.

Introduction

Background

This National Application Annex gives the Highways England-specific requirements, related advice and guidance on the reporting and investigation of health, safety and wellbeing, structural and environmental events, incidents and undesired circumstances.

This document also sets out the requirement for the recording and reporting of the average number of workers and total hours worked each month.

Highways England safety vision

The Highways England vision is that "We want everyone who works with us and everyone who travels on our network to get home safe and well".

To support our vision we want to understand and learn from incidents, events and undesired circumstances in order to support safe decision making in the development, operation and maintenance of our network.

Incidents, events and undesired circumstances are to be reported and recorded, irrespective of cause, to ensure that our employee and partners alike can learn from each other to support the delivery of our vision.

It is the responsibility of each organisation working for, or on behalf of, Highways England to ensure compliance with the requirements of this document.

The requirements in this document do not preclude the need to report incidents, events or undesired circumstances to relevant statutory or regulatory organisations.

This document does not prevent or delay the need to implement mitigating actions to reduce risks to a level that is As Low As Reasonably Practicable (ALARP).

Legal privilege is not to be a barrier to the timely reporting and investigation of incidents, events and undesired circumstances, or to identifying and sharing lessons learned to improve the health, safety and wellbeing of affected populations.

Applicability

This document applies to everyone working for or on behalf of Highways England including, contractors, service providers, supply chain partners and their contractors working for, or on behalf of any part of Highways England, including but not limited to, operations, major projects and facilities management.

This document applies to those engaged in (but not limited to):

- 1) design work;
- 2) technical studies, investigations and surveys;
- 3) structural inspections and surveys (see IAN 136 [Ref 4.N] for details);
- 4) ground investigations and surveys;
- 5) scour inspections and surveys;
- 6) environmental inspections and surveys;
- 7) asbestos surveys; and,
- 8) construction, maintenance and demolition work

This document applies to any activities on Highways England motorway and all-purpose trunk roads and on Highways England land, including off-network projects, carried out by:

- 1) asset support contracts (ASC);
- 2) asset delivery (AD) and their service providers;

- 3) design build finance & operate contracts (DBFO);
- 4) regional technology teams and their maintenance service providers (TechMAC, RTMC, NRTS);
- 5) progressive asset delivery (PAD) and their service providers;
- 6) category management (CatMan);
- 7) other Operations contracts;
- 8) regional delivery partners (RDPs);
- 9) other Major Projects contracts;
- 10) Safety Engineering & Standards contracts;
- 11) Facilities Management contracts; or
- 12) any other current and future frameworks.

Assumptions made in the preparation of this document

The assumptions made in GG 101 [Ref 3.N] apply to this document.

Abbreviations

Abbreviations

Abbreviation	Definition
ALARP	As low as reasonably practicable
FOIA	Failure of infrastructure asset
HPNM	High potential near miss
LTI	Lost time injury
NILO	National Incident Liaison Officer
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013/1471 [Ref 5.N]
SES	Safety, Engineering and Standards (Highways England department)

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Terms and definitions

Terms

Term	Definition
Affected populations	Affected populations include: 1) road users; 2) road workers; 3) any other persons on, or close to, the highway; and 4) any persons on, or close to, Overseeing Organisation land.
Airsweb	Highways England reporting system for incidents, events and undesired circumstances for health, safety, wellbeing, structural and environmental events.
As low as reasonably practicable (ALARP)	The concept of "reasonably practicable" lies at the heart of the British health and safety system. It is a key part of the general duties of the Health and Safety at Work etc. Act 1974 (HASAWA 1974 [Ref 2.N]) and many sets of health and safety regulations. ALARP involves weighing a risk against the trouble, time and money needed to control it. Thus, ALARP describes the level to which the Overseeing Organisation expects to see risks controlled. The decision is weighted in favour of health and safety, because the presumption is that the dutyholder implements the risk reduction measure. To avoid having to make this sacrifice, the dutyholder has to be able to show that it would be grossly disproportionate to the benefits of risk reduction that would be achieved. Thus, the process is not one of balancing the costs and benefits of measures but, rather, of adopting measures except where they are ruled out because they involve grossly disproportionate sacrifices.

Terms (continued)

Term	Definition
Concern	Any situation where there is, or has been, a concern, risk or issue about any part of the design, or construction, or maintenance, or operation, or demolition process, for an asset, or during the life of an asset: 1) on Overseeing Organisation construction sites; or 2) on the Overseeing Organisation's motorway or all purpose trunk roads; or 3) near the Overseeing Organisation's motorway or all purpose trunk roads; or 4) on Overseeing Organisation land. NOTE: Following a concern being reported: 1) there can be a need for monitoring; and 2) there can be a need to prepare and implement a programme for mitigating actions.
Dutyholder	The named responsible person whose role is to ensure any potential health and safety risk is assessed, and that procedures are put in place to reduce the risk to a level that is as low as reasonably practicable.
Event	Any situation where there has been an asset failure, collapse, incident, high potential near miss, or near miss: 1) on Overseeing Organisation construction sites; or 2) on the Overseeing Organisation's motorway or all purpose trunk roads; or 3) near the Overseeing Organisation's motorway or all purpose trunk roads; or 4) on Overseeing Organisation land.
Failure	An unplanned situation that arises where: 1) a system or process, item of equipment, or asset (or part of an asset) does not perform as intended; or 2) an item of equipment, or asset (or part of an asset) is damaged during an unplanned event, with the consequence being the item of equipment, or asset (or part of an asset) is no longer able to perform as intended.

Terms (continued)

Term	Definition
Failure of infrastructure asset (FOIA)	A failure of an infrastructure asset event is where an unexpected failure or defect has been identified on the asset which has the potential severity to: 1) cause a RIDDOR major injury, or fatality, or disruption to the road network, or disruption to staff in a building; or 2) provide lessons learned from the event, which could prevent a similar event occurring elsewhere; or 3) provide significant value to others. NOTE 1: A FOIA event is where: 1) a failure or defect has occurred unexpectedly, which could not normally have been identified through routine maintenance and inspection processes. This means that potholes, signs obscured by vegetation and similar minor defects are not a FOIA event; or 2) an unplanned event has occurred causing failure of equipment, or an asset, or part of an asset. NOTE 2: A FOIA event includes, but is not limited to: 1) structural collapse; or 2) structural failure; or 3) a lighting asset falling on to the carriageway due to incorrect fitting of luminaires; or 4) electrical or mechanical failure of overhead signals or signs; or 5) electrical or mechanical failure of signals or signs on the verge or central reserve.
Geotechnical asset	Man-made earthworks or natural ground, below, or adjacent to, any part of the motorway or all purpose trunk road network, or nearby highway, or within Overseeing Organisation land. NOTE: A geotechnical asset includes, but is not limited to: 1) a reinforced earth embankment; or 2) a gabion wall.
High-potential near miss	An unplanned, uncontrolled near-miss event that had the potential severity to cause a reportable injury, a dangerous occurrence, occupational disease, major injury, or fatality, or where the learning from the near miss could provide significant value to others.

Terms (continued)

Term	Definition
Incident	Near miss: an event not causing harm, but has the potential to cause injury or ill health; or undesired circumstance. A set of conditions or circumstances that have the potential to cause injury or ill health.
National Incident Liaison Officer (NILO)	The reporting and liaison of incidents: Major, Critical and Other as defined in NILO incident reporting criteria, STO processes and procedures manual B1.
Overseeing Organisation land	Land which is owned by the Overseeing Organisation, or leased to the Overseeing Organisation. NOTE 1: Overseeing Organisation land can be remote from the motorway or all-purpose trunk road network; for example land containing a depot, or warehouse building, or office building, or lorry parking area. NOTE 2: Overseeing Organisation land can be near to the motorway or all-purpose trunk road network; for example land containing a maintenance vehicle access road (which is not a public highway), or services area, or layby, or drainage balancing pond.
Positive intervention	A set of conditions or circumstances identified as an undesired circumstance, where a competent party has corrected the potential risk. This can be, but is not limited to, a physical interaction, such as removal of a walkway obstruction, or an intervention to influence the behaviour of others
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) SI 2013/1471 [Ref 5.N]	RIDDOR places duties on employers, the self-employed and people in control of work premises (the 'responsible person') to report certain serious workplace accidents, occupational diseases and specified dangerous occurrences (near misses)
Reporting process	The process for: 1) reporting events and concerns to the Overseeing Organisation, at the time of event or concern occurrence; and 2) all follow up actions needed after an event or concern occurrence.
Safety	The health, safety and wellbeing of all affected populations, i.e. those persons who can be affected by an incident, event or concern. ⁷

Terms (continued)

Term	Definition
Safety action plan	The part of the reporting process, for incidents, events and concerns, prepared to ensure that risks to affected populations are reduced to a level that is ALARP, and there is an audit trail of actions following an incident, event or concern occurrence.
Safety stand down	Safety stand downs are intended to focus upon a specific issue, often following an incident or near miss. They are an opportunity to regroup and to refocus a project, site or team following an event which has identified the need for comprehensive communication of the issues, corrective and preventive actions.
Senior responsible officer	The named employee at the Overseeing Organisation who is responsible for: 1) implementation of the incident, event or concern reporting process in a specified region or area; 2) following an incident, event or concern report being submitted, implementation of initial actions needed to reduce risks to a level that is ALARP; and, 3) following an incident, event or concern report being submitted, ownership of the process, which includes preparation and implementation of the Safety Action Plan and implementation of further actions needed to reduce risks to a level that is ALARP.
Service strikes	The unintentional damage or disturbance of a live or redundant cable, pipe or duct above or below ground.
So Far As Is Reasonably Practicable (SFAIRP)	"SFAIRP" is short for "so far as is reasonably practicable". Often used in conjunction with as low as reasonably practicable, the two terms mean essentially the same thing and at their core is the concept of "reasonably practicable"; this involves weighing a risk against the trouble, time and money needed to control it. SFAIRP is the term most often used in the Health and Safety at Work etc Act (HASAWA 1974 [Ref 2.N]) and in Regulations.
Undesired circumstance	A set of conditions or circumstances that have occurred outside of agreed process/practice, that have the potential to cause injury or ill health, if incorrectly interacted with.

Terms (continued)

Term	Definition
General note for this document	Terms using the word "safety" also include consideration of the consequences, or potential consequences, on the health and wellbeing of people. This document is not excluding from its scope "health" or "wellbeing" consequences, or potential consequences, following an incident, event or concern.

WITHDRAWN

E/1. Reporting requirements

- E/1.1 The following health, safety and wellbeing issues for employees shall be reported on the Overseeing Organisation's reporting system for health, safety and wellbeing of people;
- 1) work related death – any death caused by or related to a work activity;
 - 2) specified injury or disease – any injury or occupational disease specified in the Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) SI 2013/1471 [Ref 5.N];
 - 3) dangerous occurrence – any event specified as a dangerous occurrence in the Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) SI 2013/1471 [Ref 5.N];
 - 4) reportable absence – any injury caused by, or occurring whilst carrying out, a work activity, that results in the injured person being absent from work and or unable to perform their normal work duties for more than seven days, in accordance with the Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) SI 2013/1471 [Ref 5.N];
 - 5) lost time injury (LTI) – a work-related incident causing injury where the person is away from work for one working day or shift, or more, as a result of their injury. This does not include the day of the incident;
 - 6) High potential near miss (HPNM) – an unplanned or uncontrolled event that had the realistic potential to cause a fatality, specified injury, dangerous occurrence or lost time injury.
- E/1.2 Health, safety and wellbeing issues to be reported shall include the following (currently not reported under RIDDOR):
- 1) incidents due to road traffic accidents when travelling on company business but not as part of a person's normal commute to work;
 - 2) absence due to work-related repetitive strain or wear and tear;
 - 3) incidents associated with company sponsored events or arranged team building/volunteering activities, unless held outside of work time.
- E/1.3 The following incidents shall be excluded from health, safety and wellbeing issues reporting:
- 1) incidents that take place in the workplace but are not related to work undertaken (for example, removing work bag from own car in car park);
 - 2) incidents caused by an existing underlying health condition, unless aggravated by a work activity;
 - 3) incidents resulting in psychological harm.
- NOTE 1 *Examples of HPNMs include but are not limited to:*
- 1) service strikes;
 - 2) an incursion where people in the work area had to take evasive action to avoid being struck by a road user vehicle involved where no injury occurs;
 - 3) a road user collision with an impact protection vehicle where no injury occurs;
 - 4) a collision between a works vehicle and works plant or equipment where no injury occurs;
 - 5) a road traffic collision whilst a person is driving for work where no injury occurs;
 - 6) inappropriate removal of temporary traffic management or inappropriate release of traffic after an incident has occurred;
 - 7) failure of lifting equipment where no injury occurs;
 - 8) collapse of an excavation where no injury occurs;
 - 9) failure of temporary works where no injury occurs;
 - 10) unsafe provision of access/egress over or adjacent to water where no injury occurs.
- NOTE 2 *For situations where a structure is hit by a vehicle or site plant, refer to DMRB document IAN 136 [Ref 4.N] 'Structural safety reporting'.*

E/1.4 Service strikes reporting shall include the unintentional damage or disturbance of a live or redundant cable, pipe or duct above or below ground including those for:

- 1) electricity supply;
- 2) gas supply;
- 3) water supply;
- 4) surface water sewerage or land drainage;
- 5) foul sewerage;
- 6) traffic signalling or enforcement;
- 7) traffic signing;
- 8) CCTV or traffic data;
- 9) telephony (mobile and hard-wired); and,
- 10) other data transmission.

NOTE *Note that the nature of the service strike can mean the incident is an HPNM and or a 'dangerous occurrence'; for example, if there is a fire or explosion.*

E/1.5 Incursions shall include any unauthorised vehicle entering a work area, work access or egress route, and include but are not limited to:

- 1) follow in – where a vehicle follows a works vehicle into the work area;
- 2) confusion – where a vehicle driver was confused and in error entered a work access route, or work area, or work egress route;
- 3) emergency – where a vehicle or vehicles enter the work area, as a place of relative safety, following a breakdown, road traffic incident or other emergency;
- 4) for benefit – where a vehicle deliberately enters a work area for benefit or gain such as avoiding a queue of traffic.

NOTE *Note that the nature of the incursion can mean the incident is a HPNM; for example, the vehicle entering the works caused workers to take evasive action. Where an incursion is contained by safety measures such as gates, cones or air lock this is an undesired circumstance.*

E/1.6 The type of event recorded shall be the highest severity within the overall incident.

NOTE *For example, If an incursion results in a person being struck and injured by the vehicle and the vehicle also strikes a structure, the most severe incident is the injury to the person. The incursion and and structure damage will also be captured in the investigation and actions.*

E/1.7 Failure of infrastructure asset (FOIA) – The following infrastructure asset events and concerns shall be reported:

- 1) failure of infrastructure asset;
- 2) collapse of infrastructure asset;
- 3) infrastructure asset incident;
- 4) infrastructure asset high potential near miss;
- 5) infrastructure asset near miss; and,
- 6) infrastructure asset concern.

NOTE 1 *Requirements and advice for structural events and concerns are provided in IAN 136 [Ref 4.N] Structural safety reporting.*

NOTE 2 *Infrastructure asset events include:*

- 1) failure of infrastructure asset;
- 2) collapse of infrastructure asset;

- 3) *infrastructure asset incident;*
- 4) *infrastructure asset high potential near miss; and,*
- 5) *infrastructure asset near miss.*

E/1.8 Environmental incidents, environmental events and concerns shall be reported on the Overseeing Organisations' reporting system and include incidents or events that cause or have the potential to cause harm or damage to an environmental receptor, e.g. air, water, land, wildlife habitats and local communities.

E/1.9 Environmental incidents shall include, but are not limited to, the following:

- 1) ecological – events that cause harm or potential harm to wildlife or habitats including destruction, damage, disturbance and/or injury;
- 2) assets and archaeological remains incidents, including damage, destruction, impacts on setting and unexpected finds;
- 3) land contamination – events leading to environmental harm resulting from the discovery or disturbance of contaminated land;
- 4) nuisance – events that have or can result in complaints from local communities about noise, light, vibration, odour, dust or mud on the highway;
- 5) spills, leaks or uncontrolled discharge – events causing harm or potential harm to environmental receptors from polluting substances including chemicals, fuel, sediment and sewage;
- 6) waste and materials – events that have or can result in legal non-compliance, or cause harm or potential harm as a result of the way in which waste is stored, handled and disposed.

E/1.10 Any visit, written or verbal contact from a regulatory organisation such as the Health and Safety Executive or the Environment Agency shall be reported.

When to report

E/1.11 Table E/1.11 provides the timescales that shall be followed for the reporting of health, safety and wellbeing incidents, high potential near misses, infrastructure asset events and concerns, and environmental events and concerns.

Table E/1.11 Reporting timescales

What to report	To whom	When	Where to report
Health, safety and wellbeing incidents and events			
Work related death	Highways England Health, Safety and Wellbeing Director, Head of Health and Safety Operations or Head of Health and Safety Major Projects as applicable, Major Projects Executive Director or Operations Executive Director as applicable	Within two hours	By email and telephone. Recorded on Airsweb within one working day or shift.
Specified injury or disease, dangerous occurrence, reportable absence, lost-time injury (LTI), high-potential near miss (HPNM)	Highways England Programme Director/ Project Manager/ Regional Divisional Director/ Service Delivery Manager/ H&S Manager for the programme or region.	Within one working day or shift	By email and telephone. Recorded on Airsweb within one working day or shift

Table E/1.11 Reporting timescales (continued)

What to report	To whom	When	Where to report
Incursion			Recorded on Airsweb within one working day or shift.
Infrastructure asset events and concerns			
FOIA (excluding structures)	Highways England Operations, or Major Projects (MP), or Facilities Management, for example MP Divisional Director/ MP Programme Director/ MP Project Manager/ Operations Regional Divisional Director/ Operations Project Manager/ Operations Service Delivery Manager; Highways England SES Regional Asset Specialist	Within two hours	By email and telephone. Recorded on Airsweb within one working day or shift.
Structural safety event – collapse, failure, incident	Highways England Operations, or Major Projects (MP), or Facilities Management, for example MP Divisional Director/ MP Programme Director/ MP Project Manager/ Operations Regional Divisional Director/ Operations Project Manager/ Operations Service Delivery Manager; Highways England SES Regional Asset Specialist	Within two hours	By email and telephone. Recorded on Airsweb within one working day or shift.
Structural safety event – high-potential near miss, near miss, concern	Highways England Operations, or Major Projects (MP), or Facilities Management, for example MP Divisional Director/ MP Programme Director/ MP Project Manager/ Operations Regional Divisional Director/ Operations Project Manager/ Operations Service Delivery Manager; Highways England SES Regional Asset Specialist	Within one working day or shift	Recorded on Airsweb within one working day or shift.

Table E/1.11 Reporting timescales (continued)

What to report	To whom	When	Where to report
Regional asset specialist emails	SES-Structures-SE@highwaysengland.co.uk SES-Structures-SW@highwaysengland.co.uk SES-Structures-East@highwaysengland.co.uk SES-Structures-Midlands@highwaysengland.co.uk SES-Structures-NW@highwaysengland.co.uk SES-Structures-NE@highwaysengland.co.uk		
Environmental events and concerns			
Environmental incident	Project Manager/ Service Delivery Manager/ H&S Manager for the programme or region/ and SES Regional Environmental Specialist.	Within one working day or shift	Recorded on Airsweb within one working day or shift.
Environment group email	environmentgroup@highwaysengland.co.uk		
Other			
Contact with regulatory organisation	Highways England H&S Manager for the programme or region.	Within one working day by email and telephone	Recorded on Airsweb within one working day or shift.

- E/1.12 Where a lost-time injury becomes more than seven days in duration and reportable under RIDDOR the Highways England Programme or Regional H&S Manager shall be informed and the Airsweb record updated within one working day or shift.
- E/1.13 For all reported health, safety and wellbeing events, an initial investigation report shall be provided and uploaded on to Airsweb within three working days of the incident or event or concern occurrence.
- E/1.14 The initial investigation report into the lost-time injury shall provide as much detail as possible based on the known information, including the severity or potential severity of the injury, causes and consequences.
- E/1.15 The initial investigation report into the lost-time injury shall set out early mitigation measures already taken to remedy the situation and prevent recurrence.
- E/1.16 A safety alert for useful information from the lost-time injury incident shall be shared, where applicable, in order to notify others, to raise awareness and quickly share any lessons learned within three working days of the incident or event.
- E/1.17 A full, final, investigation report detailing immediate, root and underlying causation of the incident with agreed corrective and or preventative measures shall be provided and uploaded on to Airsweb within ten working days of the incident or event.
- E/1.18 A safety alert for action shall be shared, where applicable, to notify others of the potential actions to be taken and to raise awareness and quickly share any lessons learned within three working days of the incident or event being signed off as closed.
- E/1.19 Where ten working days is insufficient for a thorough investigation then an extension of time shall be agreed with the Highways England H&S Programme or Regional Manager (Business Partner).

Where to report

- E/1.20 The recording of incidents, events and undesired circumstances within the required timescale shall be on Airsweb and updated as new details and investigation findings become available.

- E/1.21 All sections of the Airsweb record shall be completed as and when relevant information becomes available.
- E/1.22 The record shall include the details, causes and consequences, as understood at the time of the event or undesired circumstances occurrence.
- NOTE** Use the "Save Draft" to record the initial details and subsequent edits to Airsweb, as this leaves the event record in an editable state for future updates.
- E/1.23 All data submitted shall comply with General Data Protection Regulation (EU) 2016/679 (Data Protection Act 2018 Chapter 2) GDPR 2016 [Ref 1.N].
- E/1.24 An asset event (for example an FOIA event) or concern shall be recorded in Airsweb, and notified to the relevant Highways England operations asset specialist and the Highways England Safety, Engineering and Standards (SES) asset specialist, using the appropriate regional reporting email addresses (see Table E/1.11).
- E/1.25 The process for notifying the SES asset specialist of events and concerns occurring out of normal daytime working hours shall follow the NILO process.
- E/1.26 When the investigation is concluded, the Airsweb record shall be checked by the supply chain responsible person for accuracy and completeness and updated for the final time.
- E/1.27 The record shall be closed by clicking the investigation sign-off flag 'Save Final'.
- NOTE 1** Clicking the investigation sign-off flag 'Save Final' will change the status from a draft record to a submitted one and it will no longer be editable by the user.
- NOTE 2** Note: If records have been submitted prematurely, the Airsweb Administrator can re-set the record to draft and allow the details to be re-submitted.

Accessing Airsweb

- E/1.28 Airsweb shall be accessed via the internet using the following link: <https://highwaysengland.Airsweb.net>
- NOTE 1** Extensive detailed user guides are available on the Highways Safety hub website: <http://www.superhighway.com/Airsweb.html>
- NOTE 2** Further guidance, advice and requests for training can be obtained by contacting the administrator on the Airsweb e-mail address Airswebsupplychain@highwaysengland.co.uk
- E/1.29 Access as an Airsweb user shall be arranged by the Highways England Airsweb administration team.
- E/1.30 The Highways England Procurement contract performance team shall notify the Airsweb administration team of the new account needs at the time of contract award.
- E/1.30.1 Alternatively, a request to access Airsweb from supply chain partners should be emailed to the relevant Highways England representative from the following:
- 1) Contracts Manager for facilities management;
 - 2) Project Manager for major project schemes;
 - 3) Project Sponsor for discrete contracts and framework tasks; or,
 - 4) Operations Service Manager for service provider contracts, with the following details:
 - a) name;
 - b) address;
 - c) contact telephone number;
 - d) e-mail address;
 - e) project or contract name on which the contractor is engaged.
- E/1.31 The contract performance team shall review a new user request and once satisfied the details are correct, send an approval e-mail to the Airsweb inbox: Airswebsupplychain@highwaysengland.co.uk.

E/2. Investigation requirements

Investigation

- E/2.1 Incidents, events and undesired circumstances shall be investigated by the employing organisation to:
- 1) identify the immediate, underlying and root causes;
 - 2) establish and implement corrective and preventive actions,
 - 3) learn and share lessons.
- E/2.2 The level, detail and depth of any investigation shall be in proportion to the nature and severity of the occurrence.
- E/2.3 Corrective actions shall include immediate mitigating actions (already implemented) and further mitigating actions needed to reduce risks to affected populations to a level that is as low as reasonably practicable (ALARP).
- E/2.4 Following a failure of an infrastructure asset, a decision shall be made by the appropriate nominated member of line management on how any investigation will proceed.
- E/2.4.1 In certain instances, Highways England may take the primary investigation role.
- E/2.5 Relevant SES asset specialists shall also be consulted during the investigation to provide technical support as required and inform any wider risk management.
- E/2.6 On completion of the investigation, the final report together with any relevant supporting documentation, including the lessons learned report, the safety action plan (to reduce risks to a level that is ALARP), safety alert and mitigating actions report shall be recorded and attached to the Airsweb event record.
- E/2.7 Highways England shall be kept informed of developments in relation to investigations and follow-up activities.
- E/2.8 The event entry on Airsweb shall be kept up to date by the nominated supply chain partner.
- NOTE 1 *Guidance on investigations can be found in the Health and Safety Executive's 'Investigating accidents and incidents guidance document HSG245 [Ref 5.1].*
- NOTE 2 *Advice for those unclear about investigating accidents and incidents can be obtained from the regional or programme health and safety business partner, and the area or project health and safety manager.*

Lessons learned

- E/2.9 Lessons learned from events and undesired circumstances shall be communicated through the production and cascade of a safety alert by our supply chain both within their own workforce and to Highways England.
- E/2.10 Details of lessons identified shall be provided to Highways England as soon as final causation and advice for potential avoidance has been fully determined for further distribution, via a safety alert.
- E/2.11 Safety alerts shall be followed up with a Chief Highway Engineer memorandum where specific instruction of the supply chain is required.
- E/2.11.1 Lessons may also be shared through presentation at safety forums and by holding safety stand downs.
- E/2.11.2 Safety stand downs may be instructed by the project or area following:
- 1) any fatality, or injury requiring overnight hospitalisation;
 - 2) a live service strike, above or below ground including:
 - a) high or low voltage including data transmission;
 - b) water supply, surface water sewer, foul water sewer;
 - c) gas or petrochemicals;
 - 3) superficial or structural damage to a structure such as a bridge or gantry by site vehicle or plant;

- 4) person struck by site vehicle, plant or traffic, or overturn of such vehicles;
- 5) falls from height;
- 6) excavation collapse;
- 7) reinforcement cage collapse during reinforced concrete construction;
- 8) person falling into standing water or flowing water 300mm deep or more, or into tidal water of any depth.

- E/2.12 In the instances listed in Cl. 2.11.2, a safety stand down of the project where the incident occurred shall be undertaken with all staff involved in the project.
- E/2.13 The safety stand down shall be a specific event and not an extension of any existing briefing process.
- E/2.13.1 A safety stand down should take place within seven days of an incident occurring.
- E/2.13.2 A safety stand down should involve a briefing and discussion of no less than 60 minutes.

Closing out actions

- E/2.14 Following an incident a safety action plan, including a mitigating actions report, shall be provided to the relevant Highways England contract manager, project director, project manager, service manager and Highways England health and safety manager.
- E/2.15 The safety action plan shall confirm that corrective actions recommended in the investigation following an incident, event or concern occurrence have been implemented.
- E/2.16 An infrastructure asset event or asset concern shall only be closed on Airsweb after completion of:
- 1) the lessons learned report;
 - 2) dissemination of the lessons learned to Highways England, the Highways England supply chain organisations and an all other appropriate organisations (such as by issuing a safety alert);
 - 3) the safety action plan, including the mitigating actions report.
- E/2.17 For an infrastructure asset event or asset concern, consultation and collaboration between the service provider, Highways England asset and delivery teams and SES asset specialist shall take place.
- E/2.18 Mitigating actions resulting from investigations following an asset event or concern shall be implemented to ensure that safety risks to affected populations have been reduced to a level that is ALARP.
- E/2.19 Confirmation that the actions required have been undertaken shall be reported to the Highways England asset development manager, contract manager, project manager or service manager.
- E/2.20 The mitigating actions report for an incident, event or concern, shall include:
- 1) an assessment of the effectiveness of the mitigating actions which have been implemented;
 - 2) a recommendation as to whether further risk reduction mitigation actions should be implemented; and
 - 3) a recommended timetable for implementation of such further risk reduction mitigating actions, to ensure that risks to affected populations are reduced to a level that is ALARP.

E/3. Recording hours

Working hours

E/3.1 In order to report the accident, injury and incident frequency rates on each of the contracts and projects, and by activity, and at a directorate level, that is for Major Projects or Operations supply chain, the hours worked for or on behalf of Highways England shall be provided.

E/3.2 To calculate and monitor accident, injury and incident frequency rates the following information shall be provided by working day one of each month;

- 1) the average number of people involved in a project or contract each working day/24-hour period;
- 2) the total hours worked, based on the average number of people involved during the calendar month multiplied by the average number of hours worked by a typical full-time worker.

E/3.2.1 The reported number of people involved in a project or contract should include site and contract office-based staff including those involved in design, construction and maintenance tasks and activities.

NOTE Contacts:

- 1) The Airsweb Administrator is: airs@highwaysengland.co.uk
- 2) General enquiries NH&ST@highwaysengland.co.uk

E/4. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref 1.N	Publications Office of the EU. Council of the European Union, European Parliament. GDPR 2016, 'General Data Protection Regulation (EU) 2016'
Ref 2.N	The Stationery Office. legislation.gov.uk. HASAWA 1974, 'Health and Safety at Work etc. Act 1974'
Ref 3.N	Highways England. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
Ref 4.N	Highways England. IAN 136, 'Structural safety reporting'
Ref 5.N	The National Archives. legislation.gov.uk. SI 2013/1471, 'The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013'

E/5. Informative references

The following documents are informative references for this document and provide supporting information.

Ref 1.I	Highways Safety Hub web site https://static.uk-plc.net/library-cms/highways/75603378-b2cd-480c-8bdf-26d686088851.pdf . AIRsWeb User Guide, 'AIRsWeb User Guide'
Ref 2.I	The National Archives. legislation.gov.uk. EA 1995, 'Environment Act 1995 clause 25'
Ref 3.I	The National Archives. legislation.gov.uk. Highways Act 1980, 'Highways Act 1980'
Ref 4.I	The National Archives. legislation.gov.uk. Infrastructure Act 2015, 'Infrastructure Act 2015 Chapter 7'
Ref 5.I	Health and Safety Executive. HSG245, 'Investigating accidents and incidents: A workbook for employers, unions, safety representatives and safety professionals'

Appendix E/A. Additional pertinent legislation and guidance

In addition to the legislation referenced in the main body of this document, the following statutes and information source are deemed pertinent within Highways England to the reporting of incidents, events and undesirable circumstances concerning health, safety, wellbeing, structural and environmental:

- 1) Highways Act 1980 [Ref 3.I];
- 2) Infrastructure Act 2015 [Ref 4.I];
- 3) Airweb user guides published on the Highways Safety Hub website AIRsWeb User Guide [Ref 1.I]
- 4) Environment Act 1995 [Ref 2.I].

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General Principles and Scheme Governance
General information

GG 128

Northern Ireland National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

Summary

This National Application Annex contains the Department for Infrastructure, Northern Ireland specific requirements related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated team in the Department for Infrastructure, Northern Ireland. The email address for all enquiries and feedback is: dcu@infrastructure-ni.gov.uk

This is a controlled document.

Contents

Release notes 2

Foreword 3

 Publishing information 3

 Contractual and legal considerations 3

Introduction 4

 Background 4

 Assumptions made in the preparation of this document 4

NI/1. Applicability 5

NI/2. Normative references 6

WITHDRAWN

Release notes

Version	Date	Details of amendments
0	Feb 2020	Department for Infrastructure Northern Ireland National Application Annex to GG 128.

Foreword

Publishing information

This document is published by Highways England on behalf of Department for Infrastructure, Northern Ireland.

This document supersedes IAN 128/15/Ar/B/C, which is withdrawn.

Contractual and legal considerations

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract.

WITHDRAWN

Introduction

Background

This National Application Annex gives the Department for Infrastructure, Northern Ireland-specific requirements related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

Assumptions made in the preparation of this document

The assumptions made in GG 101 [Ref 1.N] apply to this document.

WITHDRAWN

NI/1. Applicability

NI/1.1 The requirements in GG 128 shall not apply in Northern Ireland.

NI/1.1.1 The Department for Infrastructure should be contacted for further guidance and advice related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

WITHDRAWN

NI/2. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref 1.N	Highways England. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
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General Principles and Scheme Governance
General information

GG 128

Scotland National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

Summary

There are no specific requirements for Transport Scotland supplementary or alternative to those given in GG 128.

Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Transport Scotland team. The email address for all enquiries and feedback is: TSSStandardsBranch@transport.gov.scot

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Contents

Release notes	2
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WITHDRAWN

Release notes

Version	Date	Details of amendments
0	Feb 2020	Transport Scotland National Application Annex to GG 128.

WITHDRAWN

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General Principles and Scheme Governance
General information

GG 128

Wales National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

Summary

There are no specific requirements for Welsh Government supplementary or alternative to those given in GG 128.

Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Welsh Government team. The email address for all enquiries and feedback is: Standards_Feedback_and_Enquiries@gov.wales

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Contents

Release notes	2
----------------------	----------

WITHDRAWN

Release notes

Version	Date	Details of amendments
0	Feb 2020	Welsh Government National Application Annex to GG 128.

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