

## **INTERIM ADVICE NOTE 128/15**

### **Highways England Supply Chain Health and Safety Incident Reporting**

#### **Summary**

This Interim Advice Note IAN 128/15 is relevant to Contractors and Service Providers working on Major Project Schemes and the Network Delivery & Development and DBFO network.

IAN 128/12 is now superseded and withdrawn.

#### **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 is relevant to Contractors and Service Providers working on Major Project Schemes and the Network Delivery & Development Asset Support and DBFO networks. IAN 128/12 has been superseded and withdrawn.

This IAN provides updated guidance and information and is effective from 9th July 2015; it sets out the requirements for use of Highways England's Accident and Incident Reporting System (AIRSweb).

This IAN **adds** a requirement to report 'failures of an infrastructure asset' in AIRSweb; such incidents include, but are not limited to:

- Significant movement in a structure
- Corrosion of key components, that threaten the assets integrity
- Damage from vehicle strikes
- Items dropped from high level (gantry, bridge or temporary works etc) onto the carriageway
- Wind damage to temporary or permanent traffic management provision

Incidents involving fatal or major injuries and significant failures to infrastructure assets should be reported immediately to the Highways England, verbally or by other suitable means, as an early warning.

- Fatal & major injury incidents and high potential near miss or hazard events including infrastructure asset failures must be reported via AIRSweb **within 24 hours**,
- All other Highways England reportable incidents must be reported via AIRSweb as soon as possible and within a maximum of 10 days of the incident taking place.

Further guidance on RIDDOR reporting can be found on the Health & Safety Executive (HSE) website. <http://www.hse.gov.uk/riddor/index.htm>

## 2 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/ASC, TechMAC and DBFO Contractors (NDD Service Providers).

Where incidents occur during the options and development phases the reports must be sent to the Highways England Project Manager (for Major Project schemes) for entry onto AIRSweb and entered directly by NDD Service Providers. The requirements are also applicable to Network Delivery and Development discrete tendered schemes and works undertaken through 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 (or for Asset Support Contracts, the ASC Model Contract Document, Annex 7);
- report all RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995), incidents, i.e. fatal and major injury on AIRSweb within 24 hours of them occurring;
- report any incident involving either a fatality or which is likely to generate press interest, including failures to infrastructure assets, to Highways England immediately and record in AIRSweb within 24 hours;
- report all other RIDDOR events as soon as possible and within a maximum of 10 days. This also applies to some classifications of Near Misses and Hazards (specified in Section 6);
- upon completion of the incident investigation, upload onto AIRSweb (using the file attachment process) any supporting documents and the final report. To complete a record on the system it must (as a minimum) contain the following information; key findings; primary, underlying and root causes; lessons learned; potential and actual severity ratings; actions taken or actions to be taken; name of company contact with telephone and e-mail details and the return to work date;
- submit each & every month, within working day 3 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/ASC, TechMacs and DBFO) must, in addition:

- where they are a Joint Venture, report under the JV banner.
- if they are a MAC/ASC, monitor all incident reporting for their Area and ensure that information for discrete tendered schemes, and framework tasks have been submitted in AIRSweb;

All Major Project Service Providers must, in addition:

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

SUPERSEDED

### 3. AIRSweb

#### 3.1 Introduction to AIRSweb

AIRSweb is Highways England's supply-chain health and safety accident and incident reporting database; it is used to provide H&S intelligence to help inform our improvement programmes. Timely high quality input will ensure our outputs are of a similar quality.

#### 3.2 Accident Frequency Rate Reporting

Highways England tracks its Accident Frequency Rate (AFR) based upon the current RiDDOR definitions. We also required Contractors and Service partners to report > 3 day lost time injuries to ensure we can track our historical performance. Hence Contractors will need to record > 3 days LTI incidents on AIRSweb, in addition to RiDDOR requirements.

#### 3.3 Access to AIRS

Contractors requiring access to AIRSweb can achieve this by e-mailing a request to the relevant Highways England Project Sponsor for Major Project schemes, discrete contracts and framework task 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 Project Sponsor/Service Manager will then review the new user request and once satisfied the details are correct, send an approval e-mail to the AIRSweb inbox:

[airs@highways.qsi.gov.uk](mailto:airs@highways.qsi.gov.uk) or [airs@highwaysengland.co.uk](mailto:airs@highwaysengland.co.uk)

Further information may be requested by the AIRSweb Administrator.

AIRSweb can be accessed via the internet using the following link;

<https://airs.dft.gov.uk/>

Once created, the Highways England AIRS Administrator will email new users with their log-in details. 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 on system navigation can be obtained by contacting the administrator on the airs e-mail address provided above.

From time to time formal AIRSweb training will be made available to the Highways England supply-chain.

If you have any queries about the above processes please email the AIRSweb Inbox.

### 3.4 Recording Incidents on AIRS

Highways England uses statistical information on incident cause in order to make informed decisions in relation to improvements to the health and safety of its staff, Contractors and Service Providers. It is vitally important that comprehensive data on incidents, including the initially understood "root cause" are captured and recorded.

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 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. In this instance contractors should e-mail the AIRSweb inbox:

[airs@highways.gsi.gov.uk](mailto:airs@highways.gsi.gov.uk) or [airs@highwaysengland.co.uk](mailto:airs@highwaysengland.co.uk)

## 4. Reporting Arrangements

### 4.1 Reporting Guidance

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

Note:

- All fatal and major incidents including a failure of an infrastructure asset should be reported to the Highways England Project Manager / Service Manager immediately
- Contractors are responsible for categorising the incident.
- Contractors are responsible for reporting RIDDOR Incidents to the Health & Safety Executive (HSE) and complying with the Regulations.

## 5. Categories and Incident Recording Timescales

There are four categories of incident that must be reported via AIRSweb. These are as follows:

### RIDDOR

- Fatal and Major Injury – immediate report (within 24hrs)
- Lost Time > 7 days – report as soon as possible and within a maximum of 10 days
- Reportable Diseases should be reported as soon as a doctor notifies you that your employee, or supplier, suffers from a reportable work-related disease
- Dangerous occurrences – report as soon as possible and within a maximum of 10 days

A full list of reportable diseases, dangerous occurrences and definitions of the above can be found at **HSE Types of reportable incidents**

<http://www.hse.gov.uk/riddor/what-must-i-report.htm>

### Non- RIDDOR

- Report as soon as possible and **within a maximum of 10 days**
- Report > 3 day LTIs, High Potential “near miss” or “undesired circumstance” (hazard) including a failure of an infrastructure asset as soon as possible and **within an absolute maximum of 24 hours**

## 6. Incident Severity

### 6.1 Incident Severity Levels

Actual severity is defined in five levels:

**Level 1 incidents** - this level is used to record the most serious events. They will involve death, major injury, lost time injuries of over seven days, or major property damage including a failure of an infrastructure asset. These incidents are reportable to the Health & Safety Executive except for the damage to property and infrastructure assets, unless they cause injury to a member of the public, as defined by RIDDOR.

**Level 2 incidents** - any event that causes a lost time injury of up to seven 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** - an event that, whilst not causing harm, has the potential to cause injury or ill health

**Level 5 Undesired Circumstance (Hazard)** - a set of conditions or circumstances with the potential to cause injury or ill health.

## 6.2 Incident Severity Table

A: For work-related incidents involving Highways England staff irrespective of location				
Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> <li>→ Fatality</li> <li>→ Major injury/ill health</li> <li>→ Serious injury/ill health</li> <li>→ Dangerous occurrence</li> <li>→ Reportable Disease</li> </ul>	<ul style="list-style-type: none"> <li>→ Minor injury</li> </ul>	<ul style="list-style-type: none"> <li>→ Superficial first aid treatment or</li> <li>→ Self treatment or</li> <li>→ No treatment required</li> </ul>	<ul style="list-style-type: none"> <li>→ Near miss<sup>1</sup></li> </ul>	<ul style="list-style-type: none"> <li>→ Undesired circumstance<sup>1</sup> (hazard)</li> </ul>
<p>All of the above must be reported to the HSE</p> <p>Definitions for each category can be found at: <b>HSE Types of reportable incidents</b></p>	<p>Absence from work or unable to perform the full range of normal duties for less than seven days</p>	<p>No absence from work</p>	<p>An event that, whilst not causing harm, has the potential to cause injury or ill health</p>	<p>A set of conditions or circumstances with the potential to cause injury or ill health</p>
B: For incidents relating to damage to property, equipment, the environment or production losses with the potential to cause harm to people				
Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> <li>→ Exceeding £50k of damage</li> </ul> <p>Incidents involving infrastructure assets</p>	<ul style="list-style-type: none"> <li>→ £10k - £50k</li> </ul>	<ul style="list-style-type: none"> <li>→ Less than £10k</li> </ul>	<ul style="list-style-type: none"> <li>Near miss</li> </ul>	-

### Note 1

A 'near miss' is defined as an **event** whilst an 'undesired circumstance' is defined as **a set of conditions or circumstances**.

**Level 1 Incidents** - must be reported on AIRSweb within 24 hours. The Service Provider/contractor must contact the Major Projects Project Manager or NDD Service Manager and telephone the Highways England Divisional Director on the day of the incident.

**Level 2 and Level 3 Incidents** - must be reported on AIRSweb within 10 days

### 6.3 'High Potential' Level 4 and Level 5 events

The definition of High Potential shall be taken as –

- *An event or set of conditions or circumstances where the outcome on that occasion did not result in a major injury or damage*

However

- *With only a slight change in the circumstances had the potential to cause fatal injuries, serious bodily harm or major property damage*

All high potential level 4/5 events must be notified to Highways England in accordance with the same standard as Level 1 incidents above and recorded on AIRSweb within 24 hours.

#### **The management of all other Level 4 and Level 5 events:**

The recording of all other Level 4 and Level 5 events should no longer be recorded on AIRSweb as they will follow a separate process.

Details of this process will be advised separately to the supply chain by Major Projects and Network Delivery and Development Directorates.

## 7. Highways England Functions

### 7.1 Major Projects Directorate Project Manager (PM) & NDD Service Manager (SM) Functions

- Be the first point of contact for a Contractor or Service Provider to report death or serious injury.
- Notify their Divisional Director that a death or major injury/incident has occurred.
- Notify the Highways England National Health & Safety Team (NH&ST) Business Partner that a death or major injury/incident, or failure to an infrastructure asset, has occurred.
  - Providing a weekly update on the investigation status to their NH&ST Business Partner, and others as required.
- 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 project
- NDD and MP should require contractors involved in fatalities to issue “Safety Alerts” as soon as possible following incidents, without waiting for the authorities to complete their investigations.
- Obtain assurances from the Contractor or Service Provider that they had made the changes that were identified within investigations and that the changes were effective.

### 7.2 Highways England Divisional Director Functions

- Consult with PM/SM and NH&ST regarding the severity of the incident and possible outcome.
- Monitors the incident process and provides timely updates to senior management and NH&ST.
- Obtain assurances from the supply chain that they had made the changes that were identified within investigations and that the changes were effective.

## 8. Incident Investigations

All incidents will be allocated a severity rating by the Contractor or Service Provider 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 Level 1 incidents, the Contractor must contact the Major Projects Directorate Project Manager (PM) or NDD Service Manager (SM) and also telephone the Highways England Divisional Director on the day of the incident.** When there is an infrastructure asset failure a decision will then be made on how any investigation will be led. 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 must be recorded and attached to the original AIRSweb record at the earliest opportunity.

It is essential that the Contractor and Service Provider is proactive in keeping Highways England fully and regularly informed on developments in relation to incident investigations and follow-on activities. This could be achieved by submitting investigation etc details against the incident within AIRSweb.

Preliminary incident investigation reports must be provided by the Contractor within 21 days of a major incident or fatality.

Note: This includes investigation reports which may be regarded by the contractor as being subject to legal privilege.

## 9. Lessons Learnt

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

Details of lessons learnt must be provided to Highways England as soon as final causation and advice for potential avoidance has been fully determined. The Highways England NH&S team e-mails "Safety Alerts" to key contacts on a regular basis and publishes them on its website in order to maximise awareness of lessons learnt across the supply chain.

It is the responsibility of Tier 1 contractors to disseminate lessons learnt to the rest of the supply chain (especially Tiers 2 and 3 contractors).

Contractors must report to Highways England 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 possible.

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## 10. Monthly Performance Reporting

To enable Highways England 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 3.

### 10.1 The definition of data required for AIRSweb input is as follows:

- 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/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. Staff based in depots would be included where their role involves working on the network – e.g. inspectors within the MAC/ASC. 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.*

## 11. Definition of a Site

For stand-alone/individual contracts, the site is as defined in the contract documents i.e. within the site boundary (or within an offsite assembly area) 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 Highways England 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 Managing Agent Contract/Asset Support Contract or TechMac, the 'site' is the area covered by the agreement. Note this would include site depots.
- 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/Asset Support Contract.

## 12. Contacts

Ian Smith  
Highways England  
Woodlands  
Manton Lane  
Bedford  
MK41 7LW

Tel: 01234 796276 GTN: 3013 6276

Email: [ian.smith2@highwaysengland.co.uk](mailto:ian.smith2@highwaysengland.co.uk)

SUPERSEDED

### 13. References

**HSE website** “Investigating accidents and incidents - a workbook for employers, unions, safety representatives and safety professionals”  
(HSE Ref. HSG245. ISBN 9780717628278)

<http://www.hse.gov.uk/pubns/priced/hsg245.pdf>

#### **HSE Types of reportable incidents**

A full list of reportable diseases, dangerous occurrences and definitions:

<http://www.hse.gov.uk/riddor/what-must-i-report.htm>

### 14. Bibliography

**Health & Safety Executive (HSE) website.**

<http://www.hse.gov.uk/riddor/index.htm>

**Highways England website - Aiming for Zero**

<http://www.highways.gov.uk/aboutus/27625.aspx>

**Download Aiming for Zero (PDF 3MB)**

[http://www.highways.gov.uk/aboutus/documents/Aiming\\_for\\_zero.pdf](http://www.highways.gov.uk/aboutus/documents/Aiming_for_zero.pdf)

## Annex A – Typical AIRSweb Screen Layout

The screenshot displays the AIRSweb application interface within a Microsoft Internet Explorer browser window. The browser's address bar shows the URL: `http://airs2test/Home.aspx?dp=1`.

**Dashboard Statistics:**

YTD# Fatality : 0	YTD# Illness : 0	YTD # Events Awaiting Investigation : 3
YTD# Major Injury : 1	YTD# Damage / Loss Incident : 0	YTD # Events Awaiting Final Sign Off : 4
YTD# Lost Time > 3 days : 0	YTD# Near Misses : 0	# Outstanding Actions : 0
YTD# Lost Time < 3 days : 0	YTD# MOP taken from scene : 0	# Overdue Actions : 0

**Navigation and Menu:**

- Home, Back, Forward, Search, Favorites, Links
- Accidents/Incidents (Main Section)
- Enter, Search, Graphs, Reports, Export (Sub-sections)
- Accidents/Incidents, Action Tracking, Monthly Statistics, Safety Summary, Safety Dashboard, Administration, User Guide, Logout (Left Sidebar)
- User: mullwp, Database: HA\_Dev, IP Address: 10.219.181.46 (User Profile)
- 2012-03-15, Version 3.7.0.1 (Page Info)

**New Record Form:**

All fields marked with \* are required.

**Incident Type List:** No incidents have been added.

**Incident Summary & Location:**

- Incident Type \* : Injury Incident
- IP Job Title \* :
- IP Role / Type of Person \* :
- Did the IP become any of the following \* :
  - Become unconscious
  - Need resuscitation
  - Remain in Hospital for more
  - None of the above

**Dropdown Menu Options:**

- Fatality-Riddor
- Fatality-Other
- Major Injury
- Lost Time > 7 days
- Lost Time > 3 days
- Lost Time < 3 days
- Injuries - Medical Treatment
- Injuries - First Aid
- Injuries - Self/Non treatment
- MOP taken from the scene to hospital

**Form Controls:**

- Add Type Of Incident, Cancel
- Previous, Next, Save Draft

**System Information:**

- Local intranet
- 12:45 Thursday
- Start, Microsoft Outlook, RE: AIRS - Test Plan (>7...), Untitled - Message (HTML), AIRSweb.Net - Microso...

### Annex B - Incident Reporting Process Flowchart

