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### 11.1 Introduction.

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) require that any accident or incident that occurs anywhere on the Railway is recorded and also specifies that certain types of accident or incident are notifiable to the HSE, ORR, or RAIB depending on the event. In addition, RIDDOR requires that certain industrial diseases are notifiable in the event of a diagnosis being linked to the person's employment.

### 11.2 Definitions

**Accident:** an event that results in injury or ill health.

**Incident:** an event not causing harm but has the potential to cause injury or ill health.

### 11.3 Reporting of accidents and incidents within the Railway.


All accidents and incidents must be verbally reported immediately to the Duty Operations Manager (DOM) or Responsible Person as soon as practicable after they occur.

The DOM or Responsible Person will as soon as is practicable supervise the injured party make an entry (or make the entry on their behalf) in the Accident Record Book (HSE BI 510) recording the following:

- Date, time and location of the accident or incident.
- Full name & address of the person sustaining an injury.
- Name of STR Person making the entry in the Railway Accident Book if appropriate.
- Brief details of what happened.
- Were there any witnesses to the accident/incident.
- The attendance of Emergency Services or not.
- If recording an incident, then following is also required:
  - Confirmation if any property was damaged.

The DOM or Responsible Person must ensure that the Chair of the Trustees and the STR Health & Safety Advisor receives a copy of the completed Accident Record Entry as soon as is practicable.

Copies of completed Accident Records must be secured stored to ensure access is controlled.

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## **11.4 Reporting of accidents and incidents to the Regulator.**

### **11.4.1 ORR, HSE, Local Authority**

Accidents involving death or an injury resulting a period of absence from work of more than 3 days and some types of incidents defined as Dangerous Occurrences are reportable to the appropriate Health and Safety Regulatory Authority under the Reporting of Incidents, Diseases and Dangerous Occurrences Regulations (RIDDOR).

Regulator to whom a report must be made is as follow:

- Accident or incident on the Operational Railway - Office and Rail and Road (ORR).
- Accident or incident on a construction site which is not part of the Operational Railway- Health and Safety Executive.
- Accident or incident in a shop or café- Local Authority.

RIDDOR Reports are generally submitted electronically to the Regulator except where the seriousness is such that verbal contact is required.

Guidance on this can be found in HSE Publication INDG 453.


### **11.4.2 RAIB**

Certain types of accidents and incidents involving moving trains must be reported by the railway to the Rail Accident Investigation Branch. Reports are made either by telephone contact to the Accident Section or on the appropriate form a copy of which is included in an Appendix to this Section.

### **11.4.3 MAKING A REPORT TO THE REGULATOR**

In the event that the railway needs to report an accident or incident to any Regulator this should only be done by either the Chair of the Trustees, or by the STR Health & Safety Adviser in the knowledge of the Chair of the Trustees.

The person making the report to the Regulator must keep a copy of the report, and a record of when the report was sent.

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## **11.5 Investigation of Accidents and Incidents.**

The railway will investigate all recorded accidents and incidents to:

- Establish the sequence of events which led to the accident or incident.
- Understand the causes (immediate and underlying, & any contributing factors) of the events leading to the accident or incident.
- Establish corrective actions to ensure that the circumstances giving rise to the events are not repeated.

Wherever possible the STR will conduct its own documented investigation but may if circumstances require engage the services of a suitable qualified accident / incident investigator.

### **11.5.1 Accident / Incident Investigation Procedures.**

Investigations will be undertaken by either the Chair of the Trustees, STR Health & Safety Adviser, or a competent external investigator appointed by the Chair of the Trustees.

Investigations will be conducted in accordance with a written procedure.

Evidence will be gathered by the investigator from as many sources as necessary and will include interviews with staff and witnesses, as well as CCTV, and other relevant records.

The resulting written report (to be submitted to the Chair of Trustees) will contain a detailed analysis of the circumstances of the accident / incident and will include recommendations of changes in procedures etc to ensure a repeat of the accident / incident does not occur.

### **11.5.2 Actions on receiving completed investigation reports.**

On receipt of a written accident / incident report the Chair of Trustees should:

- Ensure the entire Board of trustees receives a copy.
- Sign & date their copy in confirmation of receipt.
- Develop a plan to ensure any action recommendations in the report are implemented and monitor progress.
- Ensure that STR staff & volunteers are formally made aware of the findings of the report and any action recommendations and implementation plans.
- Ensure that any action recommendations are adequately resourced and supported.