HERITAGE RAILWAY ASSOCIATION

GUIDANCE NOTE

INCIDENT REPORTING
and contacting the Emergency Services

Purpose
This document describes good practice in relation to its subject to be followed by Heritage Railways, Tramways and similar bodies to whom this document applies.

Endorsement
This document has been developed with, and is fully endorsed by, Her Majesty's Railway Inspectorate (HMRI), a directorate of the Office of Rail and Road (ORR).

Supply
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Table of Contents

1. Introduction ................................................................................................................................. 3
2. Recommendations .......................................................................................................................... 3
3. Definition of an Incident, Accident and Emergency ................................................................. 3
4. Purpose of this Document ............................................................................................................. 3
5. Procedure ....................................................................................................................................... 4
6. Content of the reporting form ....................................................................................................... 4
7. The completed form ....................................................................................................................... 5
8. Follow up ....................................................................................................................................... 5
9. Actions by the relevant departmental head ................................................................................... 5
10. References .................................................................................................................................... 6

Appendix A: Contacting the Emergency Services .................................................................................. 7
Appendix B: Sample Incident Reporting Form ........................................................................................ 8
1. Introduction

A. This Guidance has been provided to assist the duty holder of heritage railways, tramways and similar bodies in meeting the requirements laid down in section 2 (i) of Schedule 1 of the Railways and Other Guided Transport Systems (Safety) Regulations 2006: SI 2006 / 0599 (ROGS).

B. Duty holders will be aware that they have a legal obligation to passengers, contractors, other visitors and staff under the Health and Safety at Work etc Act, 1974.

C. The formal incident reporting requirements of RAIB and ORR and associated guidance are given in the References section.

D. In the event of environmental incidents duty holders should ensure that they contact the appropriate Environment body for their part of the country.

E. Those railways with any form of potential interface with Network Rail or a Train Operating Company need to ensure that they have relevant emergency contact details for those organisations.

F. The term ‘man’ or ‘men’ in this Guidance note should be read as applying equally to men and women and ‘he’, ‘him’ and ‘his’ should be similarly interpreted.

G. The term ‘staff’ in this Guidance note should be taken to include unpaid volunteer workers as well as paid staff.

H. The term ‘railway’ should be taken to include heritage tramways and similar bodies where appropriate.

2. Recommendations

A. This guidance note is issued as recommendations to duty holders.

B. Many railways are already operating systems, which, in some cases, are to a higher standard than those set out in this guidance note. This highlights the fact that it is the responsibility of the duty holder, having undertaken the necessary risk assessments, to implement controls that are applicable and necessary relative to the operating conditions on their railway.

C. Where railways decide to take actions that are not in conformity with these recommendations, following appropriate risk assessments or for other reasons, it is recommended that those decisions are reviewed by the senior management body of the organisation and a formal minute is recorded of both the decision reached and the reasons for reaching it.

3. Definition of an Incident, Accident and Emergency

A. Accident: Unplanned, uncontrolled event leading to death, injuries, ill health, damage or other loss.

B. Incident: Unplanned, uncontrolled event, which could have resulted in death, injuries ill health or other loss.

C. Emergency: When an incident/accident takes place which results in, or threatens, loss of life, significant casualties, evacuation of persons or facilities, serious infrastructure damage or requires the assistance of the Emergency Services.

D. The term “incident” is hereinafter to be taken as including “accident”.

4. Purpose of this Document

A. This document provides guidance on factors to be taken into consideration when dealing with incident reporting as well as designing incident reporting forms, with the intention of improving reporting rates by making reporting straightforward. Individual railways will have existing methods which may benefit from an upgrade. It is recognised that good reporting rates, particularly of low level precursor or ‘near-miss’ incidents, are a crucial factor in pre-empting more serious major incidents.

B. It should be remembered that incidents can be the subject of media interest and that procedures to deal with this aspect should be in place.
5. Procedure

A. Guidance on completing the form should be given by individual railways which will be specific to their own form. It should include advice that reporting should be factual, confined to what the reporter actually witnessed, concise, and not contain opinions or assumptions.

B. Form(s) should be completed at the earliest opportunity whilst events are fresh in the mind so that recall is not biased by the accounts of others.

C. Where possible, staff should be segregated as soon as possible and asked to write their reports in isolation to avoid any subsequent question of collusion.

D. All staff should be aware of:

1. Emergency reporting procedures, when immediate reaction is required (as defined in the Safety Management System & Rules).
2. Knowledge of location & availability of forms with guidance on filling them in.
3. The need to keep completed forms confidential.

E. All incidents below emergency level should be reported verbally to the person responsible for the "Control of Operations" of the railway (Controller), who will decide if urgent action is required prior to receiving the written report.

F. The Controller must know the procedure for calling the Emergency Services, see Appendix A.

G. The Controller must know the Statutory Reporting requirements of RIDDOR; ORR and RAIB, see the References section.

H. The emergency numbers of HMRI (ORR) and RAIB must be accessible to the Controller.

I. Any injury must be recorded in the Accident Book.

J. Any member of staff or contractor involved in or witness to an incident should fill in a form.

K. The Controller will collate all the forms and allocate serial numbers to them.

L. The Controller should ensure that their insurer’s requirements for early advice of an incident are met.

6. Content of the reporting form

A. The form needs to be designed to extract relevant information simply; most railways will need only one form for all categories of incident.

B. The form should capture at least the following information:

1. Location.
2. Time, date and place of the incident.
3. If appropriate, details of train reference / origin / time of departure etc. This information will be expected by the ORR’s on-call person.
4. If the incident is a road-rail incursion, the registration number of all vehicles involved.
5. Details of any injured person including injuries sustained and status, (staff, contractor, or visitor).
6. First Aid administered (including by whom).
7. What emergency services were requested?
8. Were people were taken to hospital and if so how many?
10. Description of the incident.
11. Relevant factors such as weather conditions, darkness, and external event.
12. Any party subjected to a drugs/alcohol test.
13. Name of person making the report.
14. Date & time of report.
15. A reference number.
16. To whom the form is passed for action.
17. Such other information that is appropriate to the particular railway or tramway.

C. An outline sample form is shown in Appendix B. Users should note:
   1. Provision to be made for numbered continuation sheets where space is limited.
   2. Provision for witness statements on numbered sheets.
   3. Each continuation sheet should be signed & dated by the author (as the completed form may be used as evidence at a later stage in any investigation).

7. The completed form
   The form should specify its destination and be delivered at the earliest practicable opportunity.

8. Follow up
   A. Duties of the recipient of the completed form should be defined to include at least how to:
      1. Decide incident category.
      2. Decide if a Statutory/crime/injury report is required.
      3. Distribute the form to departmental head(s) responsible for resulting action.
      4. Thank and give feedback to the reporters.
   B. Summary reports to management of 'relevant' statistical data on the number of incidents being reported should be compiled at suitable intervals.

9. Actions by the relevant departmental head
   A. Implement any action mandated by Statutory Authority promptly. The procedure for this should be in the SMS and needs to:
      1. Decide on the scope of investigation and reassessment of risk.
      2. Record actions.
      3. Inform staff.
      4. Monitor effectiveness of measures, adjust if required.
      5. Report to H&S committee/ Director responsible for safety/Management Board/ Duty holder who consider the report and any implications.
   B. The duty holder may then decide to:
      1. Amend the system of working.
      2. Consider corrective action.
      3. Consider informing HRA to share experience (via the Operating & Safety Committee Secretary).
10. References

A. Reporting of Serious Incidents under RIDDOR to the ORR
   1. ORR guidance to the RIDDOR can be downloaded from the ORR website by using the “search” box on the front page, then looking for "Reporting RIDDOR incidents".
   2. On-line reporting form is available from: https://raildata.orr.gov.uk/riddor/

B. Reporting of Incidents to RAIB
   Guidance of the reporting regulations and contact information is available from:


________________________________________________________________________________________
end of main document
Appendix A: Contacting the Emergency Services

A. Duty holders should ensure that all emergency calls to the Emergency Services are made via the 999 system.

B. Duty holders should ensure in their Emergency Plans that there is a clearly identified person who is responsible for contacting the Emergency Services when there is an accident or other emergency requiring their assistance.

C. Duty holders should contact their local police force HQ as part of their emergency planning. Duty holders should make it clear to their local police force that heritage railways are their responsibility, and that British Transport Police normally have no responsibility for heritage railways unless the heritage railway runs over Network Rail controlled infrastructure.

D. Duty holders should train those persons who make the initial calls to the Emergency Services to make it clear that the call is from a HERITAGE RAILWAY. It is possible that the Emergency Services Control Centre may assume that the call relates to the national network and may mobilise inappropriate resources, or make contact with Network Rail and its operators, with potential confusion and delay.

E. The Controller will be the normal point of contact for calling the emergency services and for liaison with them.

F. Duty holders should ensure that Controllers or others who are expected to give directions and information to the Emergency Services are competent in safety critical communications, and, particularly, use of the phonetic alphabet.

G. When making such an emergency call it is important to do the following:
   1. Speak clearly.
   2. State which emergency services are required.
   3. State who you are.
   4. Briefly describe what has happened and whether there are known casualties.
   5. Detail the exact location of the incident and particulars of the best access route (if known).
   6. Get respondent to repeat your message (to ensure you have been understood).

________________________________________ end of appendix ________________________________________
Appendix B: Sample Incident Reporting Form

1. Name and address of Railway or Tramway

2. Incident Serial Number

3. Number of continuation sheets

This form must be used to report all incidents that did or might have an effect on the safe operation of the railway / tramway, whether involving staff or members of the public. It must be completed and handed in as soon as possible after the incident.

4. Date of incident

5. Time of incident

6. Location

7. Weather conditions

8. Details of incident (give as much information as possible, including names of persons concerned)

9. Details of train (if appropriate): Time, Number, From, To, Loco, Rolling stock as marshalled

10. Name and Duty of all staff involved, such as Driver, Fireman, Guard, Signalman

11. Details of witnesses (name, address and telephone no).

12. Were there any injuries? Yes / No

13. Details of injuries including name and address, status (Passenger; Visitor; Staff; Level crossing user; Member of Public; Contractor; Trespasser).

14. Was First Aid Administered? Yes / No

15. If Yes, by whom?

16. Were the emergency services called? Yes / No

17. If YES at what time

18. If yes, which service Fire / Police / Ambulance

19. Name/Number of Officer and any Appliance/s attending (include Crime/Accident Report No if available from emergency service personnel)

20. Report made by

21. Position

22. Signed

23. Date

24. When complete return this form to

end of appendices

Issue 02 page 8 of 8 © Heritage Railway Association 2019

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