



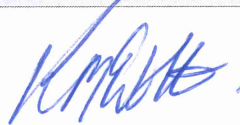
HOCHTIEF UK

IMS DOCUMENT

INCIDENT AND ACCIDENT REPORTING AND INVESTIGATION

00000-HUK-GHS-XX-PC-Z-0021

Rev.	Date	Summary of changes
1	06/06/2019	Initial review for inclusion to Clear-cut
2	19/05/2021	Review to include HART and investigation levels
3	03/11/2021	Remove clear-cut references and input on new formatted template
4	10/06/2022	Review , update and clarification on HART system

	Name	Position (Role)	Signature	Date
Prepared by	Darren Bowen	Senior SHE Advisor		10/6/22
Reviewed by	Karen McWalter	Senior Environmental Advisor		10/6/22
Approved by	Darren Bowen	Senior SHE Advisor		10/6/22

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1. Executive Summary

1.1. Purpose

This procedure details the requirements and process for reporting of all accidents and incidents occurring on HTUK sites

1.2. Scope

This procedure covers the arrangements for HOCHTIEF (UK) Construction (HTUK) employees to properly report all incidents and accidents that occur on HTUK construction sites and offices, in compliance with statutory regulations.

2. References

2.1. External References

2.1.1. References

This procedure is written to help highlight how HOCHTIEF (UK) Construction Ltd (HTUK) satisfies the requirements of:

- Health and Safety at Work Act 1974
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)

2.1.2. HOCHTIEF Group Directives

This procedure shall comply with HOCHTIEF Group directives below

- II 3.2.14 16 Reporting, investigating, and analysing HSE Incidents (workplace accidents, environmental damage, near misses) via HTMMS compliance

Note : HOCHTIEF Group Directives are published on 'Indoor', which is accessed via the 'Useful Links' area of the HTUK intranet homepage and via the 'HTSoL Directives' area on the IMS Portal.

2.2. Internal References

The following documents should be read in conjunction with this procedure.

- 00000-HUK-GHS-XX-FM-Z-5002 HARC High Level Accident/Incident Report Form
- 00000-HUK-GHS-XX-ST-Z-0001 Minimum Standards Health, Safety and Environment

2.3. Associated IMS Procedures and Forms

The IMS documents listed in the table below are those directly related to processes described in this procedure.

Name	IMS Reference Number
Accident/ Incident Report Form	• 00000-HUK-GHS-XX-FM-Z-5004
HARC High Level Accident/ Incident Report Form	• 00000-HUK-GHS-XX-FM-Z-5002
Statement of Witness	• 00000-HUK-GHS-XX-FM-Z-5001
Interview report	• 00000-HUK-GHS-XX-FM-Z-5003
Incident time log	• 00000-HUK-GHS-XX-FM-Z-5009
HOCHTIEF Active Reporting Tool (HART)	• 00000-HUK-GHS-XX-GD-Z-0036
Incident controller's checklist	• 00000-HUK-GHS-XX-FM-Z-5010

Table 1: Associated Documents

2.4. Further reading

The following references are not mandatory but provide additional guidance and information to supplement this procedure.

- HSG 245: Investigating accidents and incidents. (SHE publication)

3. Roles and Responsibilities

3.1. System Roles and Responsibilities

3.1.1. Responsible

The Head of SHE is responsible for ensuring the procedure and process is followed and reviewed on an annual basis or before if necessary.

3.1.2. Accountable

The Managing Director is accountable for ensuring this process is followed.

3.1.3. Consulted

The following positions will be consulted to ensure that changes to this procedure are compatible with their roles and activities within the IMS environment.

- Project Manager
- Project Supervisor
- Office Managers
- Heads of Departments

3.1.4. Informed

This procedure is available to all HTUK staff via the company intranet.

3.2. Process Roles and Responsibilities

KEY:

R = Responsible

Person who carries out the activity

A = Accountable

Ensures the activity is completed to the level required

C = Consulted

Actively engaged and contributes input to responsible person

I = Informed

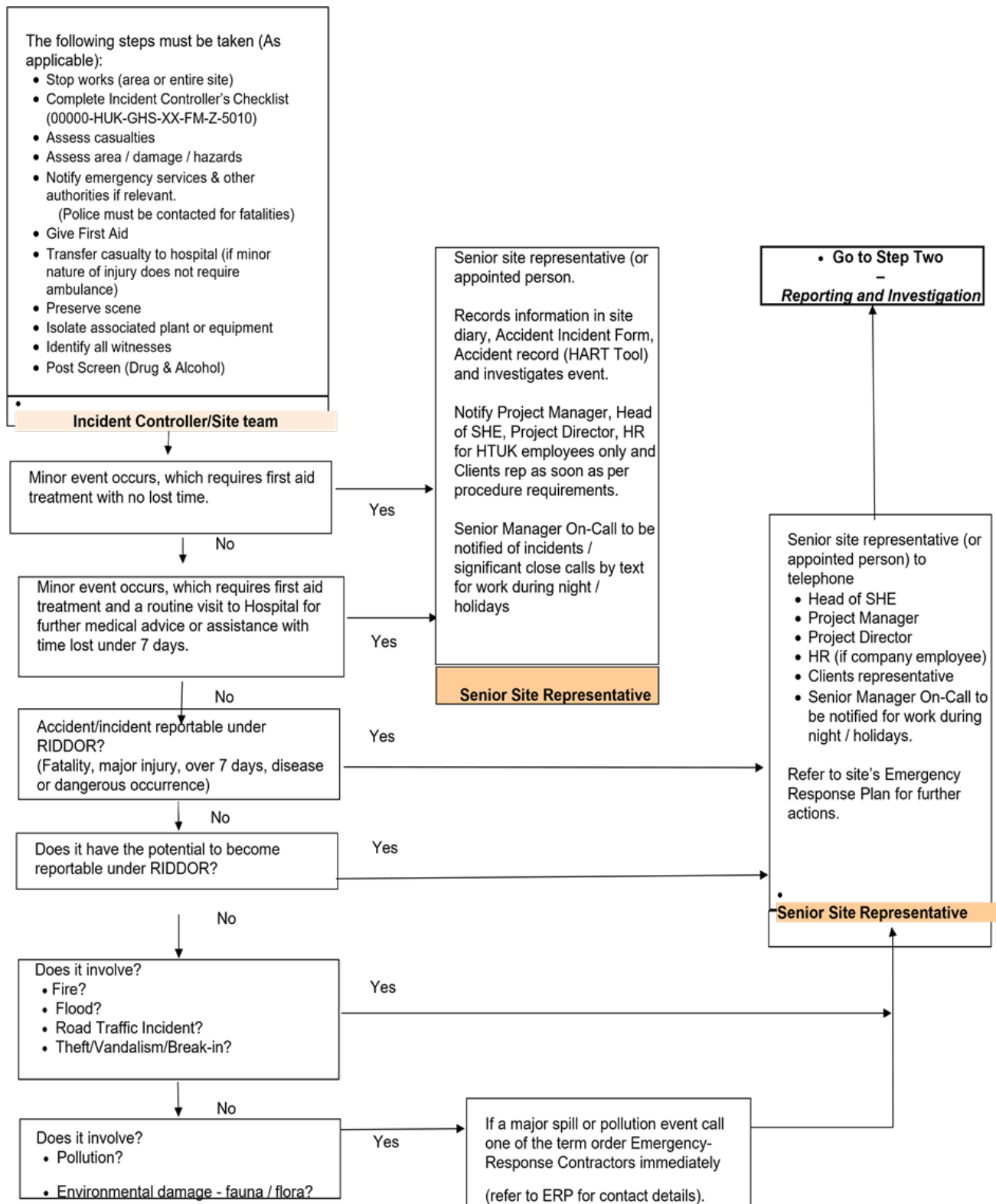
Kept aware of progress and ready to provide input if necessary

Process Activities	Managing Director	Senior Management Team	Heads of Departments	Head of SHE	Project Manager	Project Supervisor	Office Managers	All personnel									IMS Template or Form
Reporting of accidents/incidents	-	I	-	I	A	R	C	-	-	-	-	-	-	-	-	-	
Accident/Incident Report Form																	00000-HUK-GHS-XX-FM-Z-5004 00000-HUK-GHS-XX-FM-Z-5002
HARC High Level Accident/Incident Report Form	A	I	-	C	R	-	-	-	-	-	-	-	-	-	-	-	
Development of lessons learnt summary	I	I	I	A	R	I	I	I	-	-	-	-	-	-	-	-	
Tracking of arising actions	I	I	-	A	R	-	-	-	-	-	-	-	-	-	-	-	

Table 2: RACI Chart

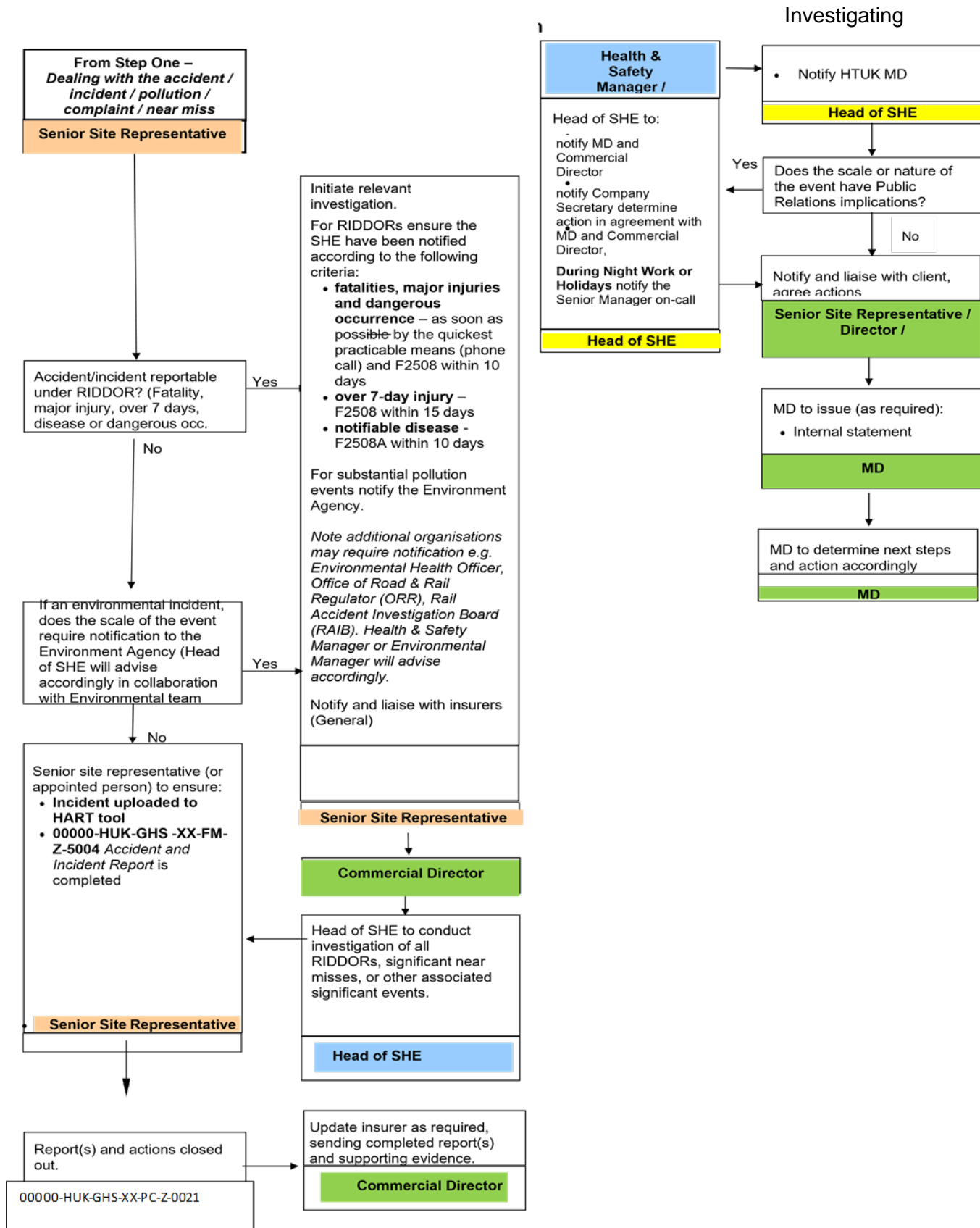
4. Process Maps – Step 1

Site Team Dealing with Incidents/ Accidents Page 1 of 2



4.1. Process Maps – Step 2

Site Team and SHE – Reporting and



5. Incident and Accident Reporting and Investigation

5.1. In case of an accident resulting in injury to an employee

Where persons are injured at work, the employer (or any other person who has control over them or the premises in which they are working) is under a duty to notify the HSE about it should the injury be RIDDOR reportable. This would ordinarily be undertaken by the SHE Adviser.

Personnel shall be informed during site inductions of the reporting procedure and the importance of recording all accidents/incidents close calls.

5.2. Completing the Accident/Incident Report Form

5.2.1. All work-related incidents

All work-related incidents shall be investigated to the level commensurate with their realistic potential severity.

Two levels of incident investigation have been determined:

1. Report / Low level – Site Team (Severity level 1 & 2) (Assisted by SHE Advisers)
2. High level – Site Team + SHE Support. (Severity level 3 & 4) (Senior Manager review)

5.2.2. Which Level of Investigation?

The potential consequences of an accident, incident, close call or environmental event must be considered to ensure the correct level of investigation is carried out. Remember also that several similar minor events may be worth investigating for the potential of lessons learnt. Advice regarding potential consequence and level of investigation can be sought from the SHE Department. The final decision on investigation level will be determined by the Head of Health and Safety.

5.2.3. Level 3-4

Level 3-4 and LTI's report findings and lessons learnt shall be presented by the Project Director to the Strategic Board to verify that the investigation remit has been met.

5.3. Legal privilege

For all incidents where severity is realized that are level 3 or 4 the Head of, SHE will determine whether elements of the investigation should be conducted in contemplation of prosecution or civil action. If this is the case a legal advisor may formally instruct elements of the investigation.

5.4. Reporting responsibility

All HTUK employees have the duty to report all accidents and incidents, including close calls, regardless of perceived severity. All non- HTUK employees working on behalf of HTUK shall receive instructions regarding the reporting of incidents and accidents during the mandatory induction whether it be on site or in an office environment.

5.5. Notifications

All relevant sections of the investigation form must be completed with particular attention made to learning outcomes/upload of supporting evidence which must be uploaded onto the HART system by the lead investigator.

In all cases this must include "Action taken (or suggested) to prevent reoccurrence and to communicate lessons learnt from the incident". This should be a definitive action, avoid vague statements like "take more care" as they are difficult to verify. Incident notification must be logged within 2 hours of the event.

Once an incident has been logged on the system an automatic email will be generated which is sent to the Board of Directors and SHE team.

In the event of a fatality the Managing Director will inform HOCHTIEF Solutions AG.

The Head of Safety will verify that close-out actions have been completed. Actions generated from investigations will be tracked to closure, learnings integrated into our processes where applicable, and trends identified as contained within the monthly SHEQ dashboard.

The SHE team will produce and distribute an alert within 24 hours of the accident/incident.

5.6. RIDDOR Reportable Incidents/Accidents

The SHE Team ordinarily report RIDDOR incidents and complete the F2508.

5.7. Data Protection

To ensure compliance with the Data Protection Act access to the HART Tool will be controlled.

5.8. Sub-Contractors

Sub-contractors shall be expected to conduct their own investigation and assist HTUK with ours.

Where acting as PC outcomes should be uploaded into HART and tracked as per our own internal investigations. HTUK shall review their findings and ensure the contractors close out any actions.

5.9. Corrective and Preventative Actions

Any corrective and preventative actions identified shall be tracked until close as part of any investigation. If necessary risk assessments, method statements work package plans etc., will be reviewed, and briefed to relevant parties.

6. Governance

6.1. Procedure Effectiveness Reviews

This procedure will be reviewed by managerial oversight on an annual basis.

6.2. Procedure Reviews and Updates

This document is reviewed on an annual basis by Head of Health, Safety and Environment or appointed SHE Personnel.

This procedure forms part of HTUK's Integrated Business Management System (IMS) and is integrated with the other policies and procedures.

Approved and Signed version of this amended procedure are to be issued with a Management System Change Request 00000-HUK-GQA-XX-FM-Z-2007 to the Quality Systems Manager who will check and upload the document to IMS.

7. Terms and Definitions

The table below defines frequently used acronyms and abbreviations within this procedure.

Abbreviation / Acronym	Definition
Incident	An event that has the potential to result in unintended harm or damage to people, property, or the environment
Accident	An event, which results in unintended harm or damage to people, property, or the environment
Close Call	A set of conditions or circumstances that have the potential to cause injury or ill health
Observation	A set of conditions or circumstances that left unchallenged has the potential to cause Minor injury, incident or property damage
HART	HOCHTIEF Active Reporting Tool
RIDDOR	Reporting of injuries, diseases, and dangerous occurrences
SHE	Safety, Health and Environment

Table 3: Definitions

8. Appendix A - Incident Severity Levels page 1 of 4

INCIDENT SEVERITY LEVELS				
Type	4	3	2	1
	High Level Investigation		Low Level Investigation	
	USE HIGH LEVEL INVESTIGATION FORM 00000-HUK-GHS-XX-FM-Z-5002		USE LOW LEVEL INVESTIGATION FORM 00000-HUK-GHS-XX-FM-5004	
Injury	<ul style="list-style-type: none"> Single or multiple fatality or specified RIDDOR injury/accident, to direct employee, subcontractor, or member of public. 	<ul style="list-style-type: none"> Single specified RIDDOR injury accident Worker injury resulting in 7 or more days away from work 	<ul style="list-style-type: none"> Lost time accident (more than 1 day) Minor injury third party. 	<ul style="list-style-type: none"> Minor injury accident (first aid, no lost time)
Incident	<ul style="list-style-type: none"> RIDDOR Dangerous occurrence Actual Damage to Plant / Property High potential Close Call Operational Close Call RIDDOR reportable incidents for rail, e.g., derailment 	<ul style="list-style-type: none"> Incidents with Potential of serious harm or damage to plant/property, fire, and damage to Utilities Medium potential impact Breach of site rules 	<ul style="list-style-type: none"> Deviation from safe system of work with potential to lead to harm Non-injury Utility strikes. 	<ul style="list-style-type: none"> Deviation from safe system of work without significant risk. At risk behavior, uncontrolled hazard, positive intervention, at risk behavior.
Occupational Illness	<ul style="list-style-type: none"> RIDDOR reportable Occupational Disease Irreversible health effect, e.g., loss of hearing, HAVS 	<ul style="list-style-type: none"> Serious illness from which there is full recovery, e.g., Weil's disease, MRSA, dermatitis, work related asthma 	<ul style="list-style-type: none"> Reversible health effect e.g., stress 	<ul style="list-style-type: none"> Mild health effect for a short period

Operational Rail Network	<ul style="list-style-type: none">• Single or multiple fatalities involving the contact of people, plant, equipment, or materials with trains/ rail mounted movements within the operational network.• Any derailment of rail mounted equipment or trains. (RIDDOR Dangerous Occurrence)• An incident which has the potential to cause a significant increase to the ongoing risk of the operational rail network.• Any compromised possession, line block or worksite affected by unplanned train or rail mounted movements, directly affecting the work site...	<ul style="list-style-type: none">• Any compromised possession, line block or worksite affected by unplanned train or rail mounted movements, not directly affecting the work site.• Any Operational Close Call		
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Environment	<ul style="list-style-type: none"> • Major environmental incident Resulting in significant impact requiring management by external authorities and / or high level or resources for response and remedy. e.g., contamination of controlled waters or watercourse • Issue of Statutory Enforcement Notice by local authority or Environment Agency • Felling of a tree protected by a Tree Preservation Order • Significant damage to SSSI or other designated area requiring extensive remedial measures to resolve 	<ul style="list-style-type: none"> • Significant environmental incident • Requires significant resources to resolve, may be a breach of legislation that could lead to regulatory action • Reportable to authorities, e.g., fuel tank spillage-contamination ground or water • Disturbance or harm caused to protected species • Causing or potentially causing the spread of invasive species • Breach of environmental legislation • Breach of consent conditions 	<ul style="list-style-type: none"> • Moderate environment incident • Requiring management response to aid recovery. • A complaint regarding environmental impact from construction activities affecting residents, or those working in the vicinity of site (e.g., noise, dust, mud on road etc.) 	<ul style="list-style-type: none"> • Minor environmental incident – • Does not require significant resources to resolve and is unlikely to result in legal action. e.g., minor oil drips • Dust or waste blowing off site • Uncontrolled site run off or unpermitted discharge • Wildlife found on site, possibly injured but not because of construction activities
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Program / Quality (meeting Client requirements)	<ul style="list-style-type: none">• Extreme product / service non-conformance resulting in catastrophic failure.• Critical impact on business.• Major non-conformity or delay that adversely affects client interests.	<ul style="list-style-type: none">• Partial delivery or delay to Client requirements.	<ul style="list-style-type: none">• Delayed or inconsistent delivery of client requirements.• Minor non-conformity	<ul style="list-style-type: none">• Minor deviation from specification, of little client concern recorded as an observation.
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9. APPENDIX B INTERNAL NOTIFICATION PROCESS Page 1 of 2

INCIDENT/ACCIDENT	WHAT	NOTIFY WHO	WHEN	RESPONSIBLE PERSON
<ul style="list-style-type: none"> Actual or potential RIDDOR Reportable incidents Incidents with Potential of serious harm or damage to plant/property, fire, and damage to Utilities Environmental incidents that cause significant harm to the environment that cannot be dealt with by the site team Severity Levels 3 & 4 (High level) 	Notify by phone	<ul style="list-style-type: none"> Sector Director Head of SHE Project Director. 	Immediately	Project Manager or person responsible for management of the project / location.
	Report incident on HART	Email notifications communicates this incident to the wider business	Within 2 hours Within 24 hours	
<ul style="list-style-type: none"> Damage to Plant and/or Property 	Notify by phone or e- mail	Commercial Director and Head of SHE	Within 2 hours	
<ul style="list-style-type: none"> Actual or potential Lost Time Incidents between 1 – 6 Days Minor injuries – hospital treatment Significant Close Calls – no injury or damage Utilities Strikes Severity Level 2 	Notify by phone	Project Director Head of SHE	Immediately	
	Report incident on compliance tool	Email notifications communicates this incident to the wider business	Within 2 hours	
<ul style="list-style-type: none"> Minor injuries – no first aid Minor injuries – first aid on site Minor environmental incidents Severity Level 1 	Notify by phone	Head of SHE	Immediately	

	Report incident on compliance tool	Email notifications communicates this incident to the wider business	Within 2 hours	
INVESTIGATION	NOTIFY WHO ON	WHEN	RESPONSIBLE	
<ul style="list-style-type: none"> Severity level 3 & 4 incidents (High Level) 	Head of SHE	Initial report within 1 week	<ul style="list-style-type: none"> Head of SHE Project Director 	
<ul style="list-style-type: none"> Severity level 1 & 2 incidents (Low Level) 	Head of SHE	Within 24 hours	Project Manager or person responsible for management of the project / location. Assistance of H&S Rep	

HOCHTIEF (UK) Construction Ltd
2nd Floor Whitehill House
Windmill Hill Business Park
Whitehill Way
Swindon
SN5 6PE
United Kingdom

