

The purpose of this document is to guide Supply Chain colleagues through the process of investigating incidents on Highways England Airsweb.

**Please note: It is important that the data entered is factual, accurate, and relevant. These reports may be disclosed as part of regulatory monitoring, legal or coronial proceedings. Furthermore, the detail of these reports may inform Safety Alerts, and/or be escalated to the Board and members of senior management.**

**Data must be reported in accordance with Highways England instruction to Supply Chain via the most recent IAN 128 (currently IAN 128/15C in conjunction with CHE 428/18)**  
IAN's are accessed via webpage: <http://www.standardsforhighways.co.uk/ha/standards/ians/>

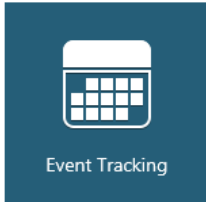
**Please ensure the information recorded is in accordance with GDPR. Please see the privacy statement for reference purposes.**

Airsweb link: <https://highwaysengland.airswb.net/Default.aspx>

Before you start please ensure that you have login details for Airsweb 5. If you don't or are experiencing any technical issues with completing this information on Airsweb then please contact the Airsweb Supply chain inbox via: [Airswebsupplychain@highwaysengland.co.uk](mailto:Airswebsupplychain@highwaysengland.co.uk)

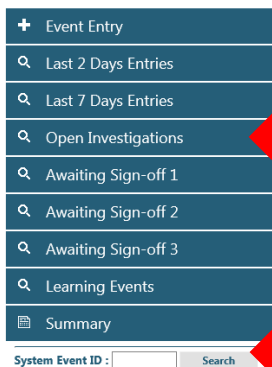
## Supply Chain Airsweb Guidance - Step by Step - completing an incident investigation

1. Access AirsWeb by selecting an appropriate link and 'Login'
2. To access an event click on 'Event Tracking':



Via the tiles in the main screen

3. Access your open incident investigations via:



To access a table of all of the incidents that require your investigation click 'Open Investigations'.



If you have the individual event ID key it in here and **click search**

4. You should now have a table displayed under event tracking, **please select the relevant system event ID** (displayed in blue text).
5. You are now in the first event entry screen: *Please note: the blue cross is used to censor sensitive information and/or unique identifying numbers – this will not be present on your system.*

System Event ID 

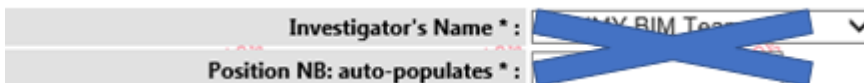
Please ensure all fields denoted by \* are completed.

Site/Project *	Ensure that all this information is correct and if not please update it here		
Event Type *			
Date/Time of Event *	2018-09-06	09 : 46	
Date/Time Reported :	2018-09-06	09 : 47	<small>If time unknown, please leave blank.</small>
<b>Next</b>	Reset	Add Action	Add Learning Event
Linked Record	<b>File Attachments</b>	Similar Events	

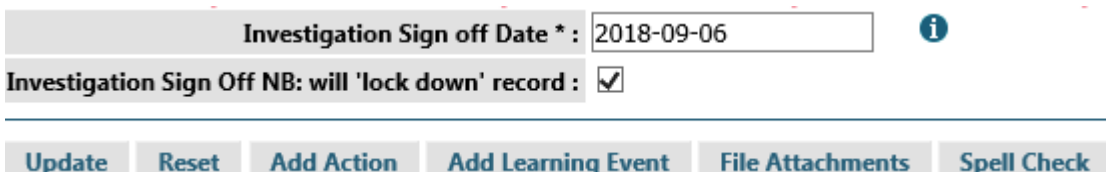
Add the initial investigation paperwork here  
*Please ensure this is in accordance with GDPR*

Once satisfied with the information within this screen click **next**.

6. Quality check the information that has been loaded and update accordingly. This information may be used in Highways England reports. Please ensure that your report complies with your companies GDPR procedures.
7. Complete the incident form with all investigation information that you have at this time.
8. Check that the event Sub Type is up-to-date. A list of drop down options under the correlating Event Type can be found in [Appendix A](#).
9. Once you have updated the record with all of the information you have (within the timescales set out in IAN128) click **update**.
10. When you have completed the investigation, revisit the record and ensure that the record is accurate and includes the following:
  - Event Type continues to be updated (for example was a lost time injury and is now an over 7 day RIDDOR etc.)
  - For injury incidents; ensure that all days lost and/ restricted days are captured
  - Full Investigation report attached (in accordance with GDPR).
  - Associated actions covered in the full investigation report
  - Investigation findings and other free text fields fully updated
  - Causation: this is to be completed with immediate, underlying and root causes clearly identified. A list of the Dropdown options can be found in [Appendix B](#)
11. Now **select your name** from the investigator dropdown



12. Tick “**investigation Sign Off**” box and the date will automatically appear then select update



13. This event has now been locked.

## Appendix A: Event Sub Type dropdown lists

Event Type	Event Subtype
Personal Illness or Injury	Riddor Fatality
	Riddor - Specified Injury
	Riddor > 7 Days
	4 to 7 Day Injury
	1 to 3 Day Injury
	Fatality Non Riddor
	Riddor Member of the public hospital adm
	Taken medically ill
	No Lost Time Injury
	Riddor Disease

Event Type	Event Subtype
Environmental	Permit Breach
	Enforcement action by regulatory body
	Breach of existing license / permit conditions
	Breach of legislation
	Prosecution by regulatory body
	Impact on project programme / costs
	Failure to meet planning commitment
	Reputational damage

Event Type	Event Subtype
Asset Security or Personal Security	Alarm Event
	Crime
	Drugs Found
	Law Enforcement Contact
	Peace Disturbance
	Property Damage - Incidental
	Suspicious Activity
	Theft of goods or assets
	Trespass
	Vehicle Repossession
	Incursion
	Verbal abuse or intimidation
	Assault

Event Type	Event Subtype
Infrastructure Asset	Fire
	Service Strike
	Property, vehicle, plant damage
	Riddor Dangerous Occurrence
	Failure of Infrastructure Asset

Event Type	Event Subtype
Near Miss	High Potential Riddor chance avoidance
	High Potential Riddor intervention by person
	High Potential non-Riddor chance avoidance
	High Potential non -Riddor intervention by person
	Minor or low potential impact

## Appendix B: Causations tree

<b>1 Immediate cause</b>	
<b>1.1 Unsafe acts</b>	
<b>1.1.1 Individual behaviour/attitude</b>	
1.1.1.1	Poor attitude towards health and safety
1.1.1.2	Inattention or distraction (i.e. footing, surroundings, external sources, etc.)
1.1.1.3	Victim of another person's actions
<b>1.1.2 Tools or Equipment Use</b>	
1.1.2.1	Operating equipment without authority or required training
1.1.2.2	Unsafe mixing of chemicals
1.1.2.3	Inappropriate use or loss of control of tool or equipment
<b>1.1.3 Procedures implementation</b>	
1.1.3.1	Safety Standards/ Procedures/ Guidelines not followed
1.1.3.2	Conscious risk taking (by group or individual)
1.1.3.3	Improper loading of materials or equipment
1.1.3.4	Working too quickly or in a hurry
<b>1.2 Unsafe conditions</b>	
<b>1.2.1 Workplace Hazards</b>	
1.2.1.1	Exposure to elevation change / heights
1.2.1.2	Inadequate or defective signage, illumination, ventilation, or work surfaces
1.2.1.3	Inadequate housekeeping (including obstacles, access)
1.2.1.4	Abnormal biological presence
<b>1.2.2 Process Hazards</b>	
1.2.2.1	Deficient hazardous substance labelling
1.2.2.2	Process system/equipment failure
1.2.2.3	Inadequate isolation of process or equipment
1.2.2.4	Exposure to excess or uncontrolled - radiation, noise, chemicals, etc.
<b>1.2.3 Tools &amp; Equipment Condition</b>	
1.2.3.1	Defective tool or equipment (defect unknown to user)
1.2.3.2	Insufficient or lack of anchor points
1.2.3.3	Inadequate or inadequately maintained tool or equipment for the task
<b>1.2.4 Protective Defences</b>	
1.2.4.1	Defective or inadequate guards/protective devices
1.2.4.2	Inadequate or defective warning systems
1.2.4.3	Inappropriate or defective Personal Protective Equipment
<b>1.2.5 Weather conditions</b>	
1.2.5.1	Extreme temperatures
1.2.5.2	Abnormal wind conditions
1.2.5.3	Precipitation, fog, etc.

<b>2 Underlying cause</b>	
<b>2.1 People Factors</b>	
<b>2.1.1 Physical Capabilities</b>	
2.1.1.1	Fatigue or overexertion
2.1.1.2	Substance sensitivities or allergies
2.1.1.3	Affected by medication, drugs, or alcohol
<b>2.1.2 Mental Capabilities</b>	
2.1.2.1	Emotional disturbance / stress
2.1.2.2	Poor judgement
<b>2.1.3 Physiological</b>	
2.1.3.1	Atmospheric pressure variation
2.1.3.2	Incapacitated (Blood sugar, blood pressure, vision, other personal health conditions)
2.1.3.3	Extreme concentration/perception demands/mental task load or speed
2.1.3.4	Routine, monotony, demand for uneventful vigilance
<b>2.2 Execution Factors</b>	
<b>2.2.1 Engineering / Design</b>	
2.2.1.1	Engineering or design related failure
2.2.1.2	Improper materials used, specified
2.2.1.3	Poor ergonomic design
<b>2.2.2 Execution</b>	
2.2.2.1	Inadequate job placement (wrong worker assigned to the job)
2.2.2.2	Unclear or conflicting delegation or reporting relationships
2.2.2.3	Deficient review of Risk Assessment by supervisor
2.2.2.4	Inadequate or lack of supervision, coaching or monitoring
<b>2.2.3 Communication</b>	
2.2.3.1	Unclear or incomplete instructions
2.2.3.2	Non-standard terms, phrases, etc.
2.2.3.3	Deficient handover process (between shifts, workers, etc.)
2.2.3.4	Language barriers

### 2.2.4 Skill & Knowledge

- 2.2.4.1 Lack of experience by worker(s)
- 2.2.4.2 Infrequently performed task
- 2.2.4.3 Inadequate training, knowledge or skill for task

### 2.2.5 Tools & Equipment Provision

- 2.2.5.1 Inadequate assessment of tools or equipment needs
- 2.2.5.2 Inadequate availability of tools or equipment
- 2.2.5.3 Inadequate maintenance of tools or equipment

## 3 Root Cause

### 3.1 Management Aspects

#### 3.1.1 Resource Management

- 3.1.1.1 Inadequate evaluation of change in work scope / plans
- 3.1.1.2 Lack of evaluation of hazards or mitigation options
- 3.1.1.3 Lack of clear roles and responsibilities
- 3.1.1.4 Cultural issues not recognised, understood, respected, etc.

#### 3.1.2 Leadership

- 3.1.2.1 Lack of or ineffective safety incentives
- 3.1.2.2 Avoided confronting client or others about safety
- 3.1.2.3 Failure to implement corrective actions, identified earlier
- 3.1.2.4 Inadequate attempt to save time, money, labour, etc. - by supervision or management

#### 3.1.3 Contractors & Subcontractor Mgt.

- 3.1.3.1 Inadequate safety specification / contract clauses
- 3.1.3.2 Inadequate receiving, inspection, acceptance of work, equip., etc.
- 3.1.3.3 MRT Failure

#### 3.1.4 Accountability

- 3.1.4.1 Inconsistent enforcement of policy, procedures, practice, or safety rule(s)
- 3.1.4.2 Safety responsibilities not clearly stated
- 3.1.4.3 No recognized accountability system for safety responsibilities

### 3.2 Program/System Aspects

#### 3.2.1 Work Standards / Procedures

- 3.2.1.1 Inadequate/absent regulations or procedures
- 3.2.1.2 Inadequate requirements for PPE
- 3.2.1.3 Inadequate reference documents, directives, or guidance manuals

#### 3.2.2 Risk Evaluation

- 3.2.2.1 Inadequate job safety/hazard analysis
- 3.2.2.2 Failure in Management Of Change
- 3.2.2.3 Risk evaluation not performed

#### 3.2.3 Task Planning

- 3.2.3.1 No Risk Assessment
- 3.2.3.2 Risk Assessment not suitable or sufficient incl. missing key elements
- 3.2.3.3 Risk Assessment author(s) not competent

#### 3.2.4 Training

- 3.2.4.1 Inadequate or lack of initial orientation or induction
- 3.2.4.2 Inadequate or lack of required training or update

#### 3.2.5 Inspection and Audit program

- 3.2.5.1 Failure to perform required inspections / audits
- 3.2.5.2 Hazard not identified on audit (but could have been)
- 3.2.5.3 Missing program element not identified on inspection / audit