



General Principles & Scheme Governance  
General Information

## GG 128

# Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Version 1.0.0

### Summary

This document contains requirements for the reporting of incidents and events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

### National Variation

This document has associated National Application Annexes providing alternative or supplementary content to that given in the core document, which is relevant to specific Overseeing Organisations. National Application Annexes are adjoined at the end of this document.

### Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated National Highways team. The online feedback form for all enquiries and feedback can be accessed at: [www.standardsforhighways.co.uk/feedback](http://www.standardsforhighways.co.uk/feedback).

**This is a controlled document.**

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## Latest release notes

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128	1.0.0	November 2022	Core document, England NAA	Change to policy, major revision, new document development

Version 1.0.0 of GG 128 replaces Version 0.0.0 to feature the new HART reporting system. GG 128 replaces IAN 128/15/Ar/B/C. This full document has been re-written to make it compliant with the new National Highways drafting rules.

## Previous versions

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128	1	February 2020		
GG 128	0	February 2020		

## **Foreword**

### **Publishing information**

This document is published by National Highways.

This document supersedes Version 0.0.0 of GG 128, which is withdrawn and replaced by this Version 1.0.0.

### **Contractual and legal considerations**

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract. The requirements of this document do not remove the need to follow the statutory reporting requirements under UK legislation.

## **Introduction**

### **Background**

This document contains the requirements, advice and guidance on the reporting and investigation of:

- 1) health, safety and wellbeing incidents and near misses; and,
- 2) structural and environmental events and undesired circumstances.

This document sets out the requirement for the recording and reporting of the number of workers and total hours worked each month

### **Assumptions made in the preparation of this document**

The assumptions made in GG 101 [Ref 1.N] apply to this document.

## **1. Scope**

### **Aspects covered**

- 1.1 The national requirements for reporting incidents and events: health, safety, wellbeing, structural and environmental set out in the National Application Annexes shall be followed.

### **Implementation**

- 1.2 This document shall be implemented forthwith on all schemes involving an organisation working on behalf of the Overseeing Organisation including, contractors, service providers, supply chain partners and their contractors working for, or on behalf of, the Overseeing Organisation's departments engaged in operations, construction and maintenance projects, and facilities management on the Overseeing Organisation's motorway and all-purpose trunk roads and land owned by or under the control of the Overseeing Organisation according to the implementation requirements of GG 101 [Ref 1.N].
- 1.3 The scope of this document shall include those engaged in the following activities:
- 1) design work;
  - 2) technical studies, investigations and surveys;
  - 3) structural inspections and surveys (see IAN 136 [Ref 2.N] for more details);
  - 4) ground investigations and surveys;
  - 5) scour inspections and surveys;
  - 6) environmental inspections and surveys;
  - 7) asbestos surveys; and,
  - 8) construction, maintenance and demolition work.

### **Use of GG 101**

- 1.4 The requirements contained in GG 101 [Ref 1.N] shall be followed in respect of activities covered by this document.

## 2. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref.	Document
Ref 1.N	National Highways. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
Ref 2.N	Highways England. IAN 136, 'Structural safety reporting'

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General Principles & Scheme Governance  
General Information

## GG 128 - ENAA

# England National Application Annex for Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Version 1.0.0

### **Summary**

This National Application Annex sets out the National Highways-specific requirements for reporting incidents and events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

### **Feedback and Enquiries**

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated National Highways team. The online feedback form for all enquiries and feedback can be accessed at: [www.standardsforhighways.co.uk/feedback](http://www.standardsforhighways.co.uk/feedback).

**This is a controlled document.**

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## Latest release notes

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128 - ENAA	1.0.0	November 2022	Core document, England NAA	Change to policy, major revision, new document development

National Highways National Application Annex to GG 128.

## Previous versions

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128	1	February 2020		
GG 128	0	February 2020		

## **Foreword**

### **Publishing information**

This document is published by National Highways.

This document replaces GG128 Version 0.0.0.

### **Contractual and legal considerations**

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract.

The requirements of this document do not remove the need to follow the statutory reporting requirements under UK legislation.

## **Introduction**

### **Background**

This National Application Annex sets out the National Highways-specific requirements, related advice and guidance on the reporting and investigation of health, safety, wellbeing, structural or environmental events, incidents and undesired circumstances.

It also sets out the requirement for the recording and reporting each month of the hours worked and the number of workers engaged on National Highways contracts.

### **Why do we need to report?**

Effective reporting of incidents supports the National Highways vision, "We want everyone who works with us and who travels on our network to get home safe and well."

Consistent reporting and recording of information about incidents, events and undesired circumstances helps us understand what happened, how and why.

In turn, this supports making informed decisions about the safety of people and the strategic road network.

Therefore, all incidents, events and undesired circumstances described in this document need to be reported, irrespective of cause, along with data for the total hours worked and headcount.

### **Who does this requirements document apply to?**

This document applies to everyone who is doing any type of work directly or indirectly for or on behalf of National Highways.

Everyone that works with, for, or on behalf of National Highways needs to read, understand and apply the reporting and investigation requirements set out in this document.

### **Statutory and legal obligations**

None of the requirements, advice or guidance given in this document change any obligation to report health, safety, wellbeing, structural or environmental incidents, events or undesired circumstances to any statutory or regulatory organisations.

Additionally, nothing in this document provides any justification to prevent or delay implementation of mitigating actions intended to reduce risks associated with a hazard to a level so far as is reasonably practicable (SFAIRP), as required by law or regulations.

Where an investigation is subject to legal privilege, this is not a reason to delay reporting to National Highways. Key learning points are to be summarised and shared with National Highways as soon as they become available.

### **Assumptions made in the preparation of this document**

The assumptions made in GG 101 [Ref 2.N] apply to this document.

## Abbreviations

### Abbreviations used in this document

Abbreviation	Definition
ALARP	As low as reasonably practicable
DTIA	Damage to an infrastructure asset
HART	Highways Accident Reporting Tool - The National Highways system for reporting health, safety, wellbeing, structural and environmental incidents, events and undesired circumstances
HSW	Health, safety and wellbeing
IPV	Impact protection vehicle
LTI	Lost time incident
NILO	National Incident Liaison Officer
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, UKSI 2013/1471 [Ref 4.N]
SFAIRP	So far as is reasonably practicable
SES	Safety, Engineering and Standards
STO	Strategic Traffic Operations

## Terms and definitions

### People and places

Term	Definition
Affected populations	The affected population includes anyone affected by activities carried out by or on behalf of National Highways. This includes road workers, road users, and anyone on, or close to, the highway. It also includes anyone on, or close to, land owned by or under the control of National Highways.
Dutyholder	The named responsible person whose role is to ensure any potential health and safety risk is assessed, and that procedures are put in place to reduce the risk to a level SFAIRP.
Employing organisation	A person, company or organisation that pays people to work for them.
National Highways land	Land which is owned by or leased by National Highways, or where National Highways have rights to conduct its work on private land by means of an easement. See GG 101 [Ref 2.N]clause 1.2 . National Highways land can be near to the motorway and all-purpose trunk road network (for example an access road connecting to the public highway, a services area, or a lay-by) or remote (for example land containing a depot, an office building, or a lorry parking area).
Record owner	The person who entered a record into the Highways Accident Reporting Tool related to an event or concern. The record owner may enter an event or concern on behalf of themselves, another individual, or an organisation, or to implement a programme for mitigating actions.
Road user	Anyone who is using the motorway and all-purpose trunk road network. This includes drivers of vehicles, pedestrians, equestrians and cyclists. It also includes anyone who is working on the motorway and all-purpose trunk road network but is not working on our behalf. This includes the police, emergency services and people who work on the motorway and all-purpose trunk road network but are not in a contractual relationship with National Highways, such as privately contracted vehicle breakdown/recovery operatives or utility company staff. It also includes people doing survey work or inspections that are not being carried out for or on behalf of National Highways.
Road worker	Anyone who is working for or on behalf of National Highways on the motorway and all-purpose trunk road network. This includes anyone who normally works on the motorway and all-purpose trunk road network (such as traffic officers, inspectors) or works there occasionally (for example, making site visits). It also includes anyone who is working on the motorway and all-purpose trunk road network on our behalf, such as our national vehicle recovery contractors staff, traffic management and incident support operatives, maintenance and response workers and people doing survey work or inspections for or on behalf of National Highways.

**People and places (continued)**

Term	Definition
General note for this document	Terms using the word "safety" also include consideration of the consequences, or potential consequences, on the health and wellbeing of people. This document is not excluding from its scope "health" or "wellbeing" consequences, or potential consequences, following an incident, event or concern.

**What to report**

Terms	Definitions
Asset	Any item or property owned by National Highways regarded as having value that is in, on, over, under or alongside the motorway and all-purpose trunk road network, or on National Highways land.
Geotechnical asset	Any man-made earthworks or natural ground below or alongside the motorway and all-purpose trunk road network or a nearby highway, or on National Highways land.  NOTE: A geotechnical asset includes, but is not limited to: 1) a reinforced earth embankment 2) a gabion wall
Failure	A situation where one or more load bearing component(s) of an infrastructure asset is/are damaged, resulting in: 1) the infrastructure asset, or part of the infrastructure asset, breaking up, or falling apart, or deforming excessively, or falling to a lower level; or, 2) partial or total loss of the infrastructure asset.
Concern	A situation where anyone raises a health, safety, wellbeing or environmental issue about any part of the design, construction, maintenance, operation or demolition of an asset on any National Highways construction site or land, or on or near a section of the motorway and all-purpose trunk road network. A concern can arise at any time during the life of an asset. Once reported, there may be a need for monitoring and/or to prepare and implement a programme of mitigating actions in response to the concern.
Damage	An unplanned situation where something (for example a system, process item of equipment, asset or part of an asset) is physically harmed, altered, or impaired, and does not perform as it is expected, intended or designed. Damage can occur as a consequence of an event or deterioration over time.



**What to report (continued)**

<b>Terms</b>	<b>Definitions</b>
Damage to an infrastructure asset (DTIA)	<p>Damage to an infrastructure asset is a specific situation where an unexpected defect or damage is identified on an asset that could cause a fatal or serious injury, disrupt the operation of the motorway and all-purpose trunk road network or otherwise disrupt work for National Highways.</p> <p>'Unexpected' in this situation means the defect or damage could not have been identified through normal routine maintenance or inspection activities.</p> <p>'Fatal or serious injury' in this situation means a fatality or injury that falls under the definitions in RIDDOR and has to be reported to the Health and Safety Executive.</p>
Environmental Asset	Any item, property or barrier that constitutes our soft estate, including trees and any other vegetation that has environmental value.
Event	<p>Any situation where there has been asset damage, a failure, an incident, a wellbeing related incident, a high potential near miss, a near miss, or an environmental event:</p> <ol style="list-style-type: none"> <li>1) on National Highways construction sites;</li> <li>2) on National Highways motorway or all-purpose trunk roads;</li> <li>3) near National Highways motorway or all-purpose trunk roads; or,</li> <li>4) on National Highways land.</li> </ol>
High-potential near miss	An unplanned, uncontrolled near-miss event that has the potential severity to cause a reportable injury, a dangerous occurrence, occupational disease, major injury, or fatality, or where the learning from the near miss could provide significant value to others. 'Serious injury' in this situation means an injury that falls under the definitions in RIDDOR and has to be reported to the Health and Safety Executive.
Impact protection vehicle (IPV)	A works vehicle meeting the specification for an IPV given in the Traffic Signs Manual Chapter 8 Part 2: Operations section O5.4 [ TSM Chapter 8 [Ref 3.1]]
Impact protection vehicle strike	An event when an IPV that is in use for road works or a temporary situation is struck by another vehicle
Incident	Any situation where something has happened, that has caused harm to one or more people or caused damage to an asset, property, or the environment.
Incursion	Any situation involving any unauthorised vehicle entering a work area, a work access or a work exit route.

**What to report (continued)**

<b>Terms</b>	<b>Definitions</b>
Infrastructure asset	<p>An infrastructure asset in any of the nine National Highways asset classes, namely:</p> <ol style="list-style-type: none"> <li>1) drainage;</li> <li>2) structures;</li> <li>3) tunnels;</li> <li>4) geotechnical assets;</li> <li>5) lighting;</li> <li>6) pavements;</li> <li>7) traffic signals and roadside technology;</li> <li>8) vehicle restraint systems; or,</li> <li>9) ancillary assets.</li> </ol>
Lost time incident (LTI)	Any incident that takes place where one (or more) people take more than one-day off work because of what happened. This does not include the day of the incident.
Near miss	A near-miss incident is an event that does not cause harm but has the potential to cause injury, ill health or undesired circumstance.
Structure	Any temporary or permanent structure, in accordance with CG 300 ( CG 300 [Ref 3.N])
Undesired circumstance	A set of conditions or circumstances that have the potential to cause injury or ill health.
Utility strike	<p>A situation where there is unintentional contact with any cable, pipe or duct (whether redundant, in use or waiting to be commissioned) that is located below, on, or above ground or is below, inside or above a structure.</p> <p>Note: waste/fly tipped cable, pipe or duct is excluded.</p>

**General terms**

<b>Terms</b>	<b>Definitions</b>
Customer in Crisis Intervention	<p>People working on the network who are involved in incidents with vulnerable people who are potentially intending to take their own life.</p> <p>A crisis intervention is described as "To make contact with a person(s) with the aim to prevent them from intentional self-harm or taking their own life".</p> <p>A simple test to consider is "but for the intervention of those concerned, the individual would have self-harmed, attempted or taken their own life".</p>
Positive intervention	The action of intentionally becoming involved in a situation with the aim of improving it to prevent harm to people or damage to an asset or to property.
Recorded in Highways Accident Reporting Tool (HART)	An entry is made and submitted within the system by keying in the required data to the appropriate fields followed by the pressing of the 'Submit' button. Note: a record or data entry only enters the system once the 'Submit' button is used - no other options are available to capture and store data or create a record.
Work for National Highways	<p>Any type of work being done by a person or machine that is working directly for or indirectly on behalf of National Highways.</p> <p>"Any type of work" means any work carried out for or on behalf of National Highways. This can include company sponsored events or arranged team building/volunteering activities, unless these are held outside of work time.</p> <p>"Directly for" means any person or machine directly employed via a contract with National Highways (for examples contractors, service providers and supply chain partners), and doing work on behalf of any part of National Highways.</p> <p>"Indirectly on behalf of" means any person or machine working for an organisation that is itself directly employed via a contract with National Highways, and doing work on behalf of any part of National Highways.</p>
Work related	<p>An event that occurs as a result of, or in connection with work. The fact that there is an accident at work premises does not, in itself, mean the accident is work related. The work activity itself has thus to contribute to the accident. An accident is 'work related' if any of the following play a significant role</p> <ol style="list-style-type: none"> <li>1) the way the work was carried out</li> <li>2) any machinery, plant, substance or equipment used for the work or the condition of the site or premises where the accident happened.</li> </ol>
Working Day 1	The first working day (Monday to Friday) of each month, excluding Bank Holidays.

## E/1. What to report

E/1.1 Any health, safety, wellbeing, structural, environmental event or concern occurring during work for or on behalf of National Highways listed in E/1.2 shall be reported using the Highways Accident Reporting Tool (HART).

E/1.2 Events that shall be reported are:

- 1) any work-related death, defined as a death caused by or related to work for National Highways;
- 2) any specified injury or confirmed case of an occupational disease (diagnosed by a registered medical practitioner) specified in RIDDOR UKSI 2013/1471 [Ref 4.N];
- 3) any event specified as a dangerous occurrence in the RIDDOR UKSI 2013/1471 [Ref 4.N] ;
- 4) any absence from work that is a reportable absence, arising where a person is injured by; whilst carrying out; or as a consequence of a work activity and as a result is absent from work and/or unable to perform their normal work duties for more than seven days, in accordance with RIDDOR UKSI 2013/1471 [Ref 4.N]
- 5) any lost time incident;
- 6) any incident where a person suffers injury or ill health when working for and on behalf of National Highways;
- 7) absence due to musculoskeletal injury or repetitive strain injury that is work related;
- 8) any high potential near miss;
- 9) any utility damage or disturbance;
- 10) any incursion;
- 11) any impact protection vehicle strike;
- 12) any incident where a person is involved in a road traffic collision when travelling for or on behalf of National Highways business, excluding any normal commute to work;
- 13) any wellbeing event related to intervening with a customer in crisis;
- 14) any damage to a structure or an infrastructure asset;
- 15) any structural safety event involving a failure, or which led to an incident;
- 16) any structural safety concern, including high potential near miss;
- 17) any environmental incident, event or concern taking place as a consequence of undertaking work directly or indirectly for National Highways;
- 18) any visit or contact (written or verbal) from a regulatory organisation such as the Health and Safety Executive or the Environment Agency.

E/1.3 Exact data for headcount and hours worked shall be reported using HART by 23:59 hrs on Working Day 1 of each month by each service provider or delivery partner for:

- 1) each of the contracts and projects they are working on for National Highways; and,
- 2) each activity they are working on for National Highways.

**NOTE** *All Tier 1 contractors working in a joint venture submit their own hours worked data and reportable incidents via HART. This means each Tier 1 supplier within the joint venture is allocated the hours they work on the project and owns the reportable incidents that involve their workforce, which improves the accuracy of National Highways reporting for all supply chain partners.*

E/1.4 The following incidents occurring during work for or on behalf of National Highways are excluded from health, safety and wellbeing issue reporting and shall not be reported:

- 1) any incident that is not work related; or,
- 2) any incident caused by an existing underlying health condition, unless aggravated by a work activity.

## **E/2. When to report**

E/2.1 Any health, safety, wellbeing, structural or environmental event or concern occurring during work for or on behalf of National Highways and that is listed in column 1 of the table below shall be reported to the individual(s) named in column 2 of the table within the timescale given in column 3, using the method(s) given in column 4.

**Table E/2.1 Reporting timescales**

<b>What to report (1)</b>	<b>To whom (2)</b>	<b>When (3)</b>	<b>How to report (4)</b>
Work related death	National Highways Executive Director responsible for the work activity.  National Highways HSW Director	Within two hours of the event occurring	By email and follow up telephone call, and to be recorded on HART (see E/2.2)
Any specified injury or confirmed case of an occupational disease diagnosed by a registered medical practitioner  Any event specified as a dangerous occurrence  Any absence from work that is a reportable absence.  Any lost time incident  Any incident where a person suffers injury or ill health when working for or on behalf of National Highways  Any high potential near miss  Absence due to musculoskeletal injury or repetitive strain injury that is work related  Any wellbeing event related to intervening with a customer in crisis	National Highways Programme, Regional or Divisional Director (as applicable) responsible for the work activity; and Project Manager or Service Delivery Manager (as applicable); and National Highways HSW Manager for the programme or region where the event took place.	Within one day of the event occurring	By email and follow up telephone call.  Also, to be recorded on HART (see E/2.2) .
Any utility damage  Any incursion	HART	Within one day of the event occurring	Record on HART (see E/2.2) .
Any incident where a person is involved in a personal injury collision when travelling on work business  Any incident associated with company sponsored events	HART	Within one day of the event occurring	Record on HART (see E/2.2) .

**Table E/2.1 Reporting timescales (continued)**

<b>What to report (1)</b>	<b>To whom (2)</b>	<b>When (3)</b>	<b>How to report (4)</b>
Any damage to an infrastructure asset  Any structural event involving failure or damage which led to an incident	National Highways Programme, Regional or Divisional Director (as applicable) responsible for the work activity; and Project Manager or Service Delivery Manager (as applicable); National Highways HSW Manager for the programme or region where the event took place: and National Highways Safety, Engineering and Standards (SES) relevant Asset Specialist Team	Within two hours of the event occurring	By email and follow up telephone call  The relevant National Highways Safety, Engineering and Standards (SES) Regional Asset Specialist Team is to be notified by using the relevant email address.  If the event occurs outside of normal daytime working hours, the relevant National Highways SES Regional Asset Specialist Team is to be notified by using the National Incident Liaison Officer (NILO) process, as defined in NILO incident reporting criteria, STO Processes and Procedures manual B1.  Event also to be recorded on HART (see E2.2)
Infrastructure asset safety concern, including high-potential near miss or near miss	Project Manager or Service Delivery Manager (as applicable); and National Highways HSW Manager for the programme or region where the event took place; and the relevant National Highways SES Regional Asset Specialist Team.	Within one day of the event occurring	By email and recorded on HART (see E/2 .2) .

**Table E/2.1 Reporting timescales (continued)**

<b>What to report (1)</b>	<b>To whom (2)</b>	<b>When (3)</b>	<b>How to report (4)</b>
Environmental incident, event or concern taking place on National Highways land or involving a National Highways environmental asset.	National Highways Programme, Regional or Divisional, Director (as applicable) responsible for the work activity; and, Project Manager or Service Delivery Manager (as applicable); and National Highways HSW Manager and Environment Team Manager for the programme or region where the event took place.	Within one day of the event occurring	By email and recorded on HART (see E2.2) .
Any visit or contact from a regulatory organisation	National Highways HSW Manager and the Environment Team Manager for the programme or region	Within one day of the event occurring	By email and follow up telephone call, plus recorded on HART (see E/2.2) .



- E/2.2 All sections of the Highways Accident Reporting Tool (HART) record relating to the event or concern shall be completed and kept updated with the information and investigation findings within one day of the incident occurring.

## E/3. Investigation requirements

### General investigation requirements

- E/3.1 Incidents, events and undesired circumstances shall be investigated to:
- 1) identify the facts surrounding the event, such that the immediate, underlying and root causes that led to the event can be determined;
  - 2) establish and so enable implementation of corrective and preventive actions to prevent future harm; and,
  - 3) learn and share lessons such that health, safety, wellbeing and the environment are improved for everyone.

- E/3.2 All investigations shall be carried out by a competent person who has the capability to apply or use related knowledge, skills and abilities required to successfully investigate incidents, events and undesired circumstances.

### Initial investigation report

- E/3.3 For all reported events, an initial investigation report shall be provided and uploaded to HART within three days of the event occurring.

*NOTE Initial investigations reports typically include detail of the severity or potential severity of any harm caused, along with its causes and consequences as known at this early stage of the investigation.*

- E/3.4 Where the initial investigation into an incident identifies information that could prevent future harm or raise awareness of the event, this useful information shall be shared via a safety alert.

*NOTE Upon receipt of the proposed safety alert, National Highways is to review and issue the safety alert to notify others of the potential corrective and preventative actions to be taken and share any lessons learned.*

### Full and final investigation

- E/3.5 In order to maintain a valid record in HART, National Highways shall be kept informed of developments during investigation or follow-up activity within three days.

*NOTE Where an investigation is subject to legal privilege, this is not a reason to delay reporting.*

- E/3.6 Where the outcomes of the investigation are subject to legal privilege, any key learning points shall be summarised and shared as soon as they have been identified.

- E/3.7 During the investigation, any additional immediate mitigating measures (corrective actions) identified that immediately reduce risk SFAIRP and/or could prevent future harm shall be put into practice.

- E/3.8 Where further preventative measures are identified that assist with reducing future risk to a level SFAIRP (that are not immediate mitigating measures/corrective actions), these shall be described in the final investigation report.

- E/3.9 The final investigation report shall contain:
- 1) the immediate, underlying and root causes that led to the event as identified from the investigation work undertaken;
  - 2) details of mitigating measures (corrective actions) that were identified and put in place to reduce immediate risk SFAIRP and/or could prevent future harm;
  - 3) details of agreed mitigating measures identified that assist with reducing future risk SFAIRP;
  - 4) an assessment of the effectiveness of the mitigating measures that have already been implemented;
  - 5) an agreed timetable for implementation of the additional mitigating measures, to ensure that risks to affected populations are reduced to a level that SFAIRP;
  - 6) recommended evaluation criteria for the mitigating measures; and,

7) organisational, contractual and other issues, barriers and challenges that are likely to have contributed to or minimised the likelihood and/ or severity of the incident.

E/3.10 The full and final investigation report shall be completed and uploaded to HART within 20 days of the event occurring.

E/3.11 Where 20 days is insufficient for thorough investigation of the incident, an extension in time shall be requested from National Highways.

*NOTE 1 Certain events where there are complex circumstances or where serious or fatal injuries have occurred are likely to require a longer period of time for a full investigation to be completed.*

*NOTE 2 Sign-off 1 (event closure) is carried out by the supply chain. Sign-off 2 for RIDDOR reportable investigations is the responsibility of National Highways.*

E/3.12 When any investigation is concluded, the record in HART shall undergo a final check by the record owner, with updates made to the record to ensure accuracy and completeness.

E/3.13 Once the final check has been completed, the record owner shall indicate that the record is complete and accurate by completing the required level of sign-off.

*NOTE The level of sign-off is determined by the severity of the event. All events require level 1 sign-off, however event types of a higher severity will also require a level 2 sign-off.*

## **E/4. Lessons learned**

### **Lessons learned**

- E/4.1 Lessons learned from any event or concern occurring during work for or on behalf of National Highways shall be shared via a safety alert to support the aim of preventing future harm to the affected population.

## E/5. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref.	Document
Ref 1.N	The National Archives. <a href="http://legislation.gov.uk">legislation.gov.uk</a> . UKPGA 2015 c. 7, 'Infrastructure Act 2015'
Ref 2.N	National Highways. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
Ref 3.N	Highways England. CG 300, 'Technical approval of highway structures'
Ref 4.N	The National Archives. <a href="http://legislation.gov.uk">legislation.gov.uk</a> . UKSI 2013/1471, 'The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013'

## E/6. Informative references

The following documents are informative references for this document and provide supporting information.

Ref.	Document
Ref 1.I	The National Archives. <a href="http://legislation.gov.uk">legislation.gov.uk</a> . UKPGA 1995/25, 'Environment Act 1995'
Ref 2.I	The National Archives. <a href="http://legislation.gov.uk">legislation.gov.uk</a> . UKPGA 1980 c.66, 'Highways Act 1980'
Ref 3.I	TSO. TSM Chapter 8, 'Traffic Signs Manual Chapter 8 - Traffic Safety Measures and Signs for Road Works and Temporary Situations'

## **Appendix E/A. Additional pertinent legislation and guidance**

In addition to the legislation referenced in the main body of this document, the following statutes and information source are deemed pertinent within National Highways to the reporting of incidents, events and undesirable circumstances concerning health, safety, wellbeing, structural and environmental:

- 1) Highways Act 1980 (Ref. UKPGA 1980 c.66 [Ref 2.I]);
- 2) Infrastructure Act 2015 (Ref. UKPGA 2015 c. 7 [Ref 1.N];
- 3) Environment Act 1995 (Ref. UKPGA 1995/25 [Ref 1.I].

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or email [psi@nationalarchives.gsi.gov.uk](mailto:psi@nationalarchives.gsi.gov.uk).



General Principles & Scheme Governance  
General Information

## GG 128 - NINAA

# Northern Ireland National Application Annex for Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Version 1.0.0

### Summary

This National Application Annex contains the Department for Infrastructure, Northern Ireland specific requirements related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

### Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated team in the Department for Infrastructure, Northern Ireland. The email address for all enquiries and feedback is: [dcu@infrastructureni.gov.uk](mailto:dcu@infrastructureni.gov.uk)

**This is a controlled document.**

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## Latest release notes

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128 - NINAA	1.0.0	November 2022	Northern Ireland NAA	Change to policy, major revision, new document development

Department for Infrastructure Northern Ireland National Application Annex to GG 128. Rebranding to National Highways from Highways England.

## Previous versions

Document code	Version number	Date of publication of relevant change	Changes made to	Type of change
GG 128	0	February 2020		

## **Foreword**

### **Publishing information**

This document is published by National Highways on behalf of Department for Infrastructure, Northern Ireland.

This document supersedes Version 0.0.0 of GG 128, which is withdrawn.

### **Contractual and legal considerations**

This document forms part of the works specification. It does not purport to include all the necessary provisions of a contract. Users are responsible for applying all appropriate documents applicable to their contract.

## **Introduction**

### **Background**

This National Application Annex gives the Department for Infrastructure, Northern Ireland-specific requirements related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

### **Assumptions made in the preparation of this document**

The assumptions made in GG 101 [Ref 1.N] apply to this document.

## **NI/1.     Applicability**

NI/1.1     The requirements in GG 128 [Ref 2.N] shall not apply in Northern Ireland.

NI/1.1.1     The Department for Infrastructure should be contacted for further guidance and advice related to reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental.

## NI/2. Normative references

The following documents, in whole or in part, are normative references for this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Ref.	Document
Ref 1.N	National Highways. GG 101, 'Introduction to the Design Manual for Roads and Bridges'
Ref 2.N	National Highways. GG 128, 'Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental'

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General Principles and Scheme Governance  
General information

## GG 128

# Scotland National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

### Summary

There are no specific requirements for Transport Scotland supplementary or alternative to those given in GG 128.

### Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Transport Scotland team. The email address for all enquiries and feedback is: [TSSstandardsBranch@transport.gov.scot](mailto:TSSstandardsBranch@transport.gov.scot)

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## Release notes

Version	Date	Details of amendments
0	Feb 2020	Transport Scotland National Application Annex to GG 128.

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General Principles and Scheme Governance  
General information

## GG 128

# Wales National Application Annex to GG 128 Requirements for reporting incidents, events and undesirable circumstances: health, safety, wellbeing, structural and environmental

(formerly IAN 128/15/Ar/B/C)

Revision 0

### Summary

There are no specific requirements for Welsh Government supplementary or alternative to those given in GG 128.

### Feedback and Enquiries

Users of this document are encouraged to raise any enquiries and/or provide feedback on the content and usage of this document to the dedicated Welsh Government team. The email address for all enquiries and feedback is: [Standards\\_Feedback\\_and\\_Enquiries@gov.wales](mailto:Standards_Feedback_and_Enquiries@gov.wales)

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**Release notes**

Version	Date	Details of amendments
0	Feb 2020	Welsh Government National Application Annex to GG 128.

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