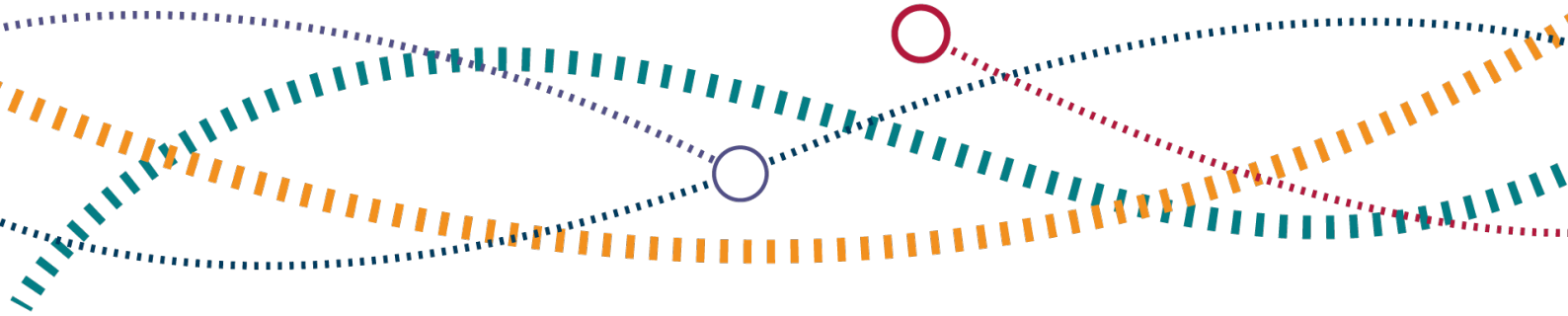
OFFICE OF RAIL AND ROAD

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

Guidance for railways, tramways and other guided transport systems

30 July 2025



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Foreword

What is the purpose of this guide?

This publication provides guidance on the application of the *Reporting of Injuries, Diseases and Dangerous Occurrences Regulations* 2013 *(*RIDDOR*)* to:

(a) railways;

(b) tramways; and

(c) any other system using guided transport [including underground railways and minor and heritage railways].

However, this guidance does not apply to:

(d) anything below a gauge of 350 millimetres (unless it crosses a carriageway)

(e) guided bus systems

(f) trolley vehicle systems

(g) fairground equipment

(h) cableway installations

(i) any part of a transport system that is:

  (i) within a harbour;

  (ii) part of a factory, mine or quarry;

  (iii) used for construction or building work only (if it's not part of the operational railway);

  (iv) in nuclear site; or

  (v) warehouse premises.

If a transport system falls outside the scope of this guidance, please refer to the Health and Safety Executive's general guidance, which applies to all industries (http://www.hse.gov.uk/riddor/index.htm) besides those specified in this ORR guidance document.

You may find it useful to read this guidance alongside a copy of the Regulations. The full Regulations are available at: https://www.legislation.gov.uk/uksi/2013/1471/contents.

RIDDOR requires fatalities, certain injuries, certain occupational diseases and certain dangerous occurrences ('reportable incidents'), which arise out of or in connection with work to be reported to the relevant enforcing authority. The Office of Rail and Road (ORR) is the relevant health and safety enforcing authority in relation to the railways, tramways and other guided transport systems, including the mainline railway, the London Underground (LU) network, other metro systems, tramways, light rail systems and the heritage sector. Guidance on when ORR is the enforcing authority, as per The Health and Safety (Enforcing Authority for Railways and Other Guided Transport systems) Regulations 2006 (EARR) (as amended) can be found here: https://www.orr.gov.uk/sites/default/files/2023-11/earr-guidance-from-orr-hse.pdf.

RIDDOR reporting provides data which is used to indicate where and how risks arise and trends emerge. This helps ORR to target its activities effectively and advise employers on strategies to prevent injuries, dangerous occurrences and occupational disease. RIDDOR data is also used across industries, so data can be used to benchmark against comparable sectors.

A work-related accident means an accident 'arising out of or in connection with work'. Deciding if an accident is reportable under RIDDOR does not depend on finding blame. The term 'arising out of or in connection with work' means an accident may still be reportable even if there had been no breach of health and safety law and no one was clearly to blame. When deciding if a report needs to be made, think about the circumstances of the accident and the factors involved.

1. Introduction

Who is this guidance for?

1.1 This guidance is aimed at anyone with the duty to notify ORR, report and record the events (injury, death, disease or dangerous occurrence) – referred to in the Regulations as 'the responsible person'.

Who is the responsible person? (Regulation 3)

1.2 The responsible person will be:

(a) an employer;

(b) a self-employed person; or

(c) a person who was in control of the premises where the reportable or recordable incident happened, at the time it happened.

1.3 Tables 1.1 and 1.2 summarise who the responsible person is for all situations.

If you are an employer

1.4 If you are an employer, you must report any work-related deaths, and certain work-related injuries and cases of disease and dangerous occurrences involving your employees wherever they are working. An employer in this context could be, for example, an organisation, company, operator or individuals. These can include train operating companies, freight operating companies, infrastructure managers and infrastructure maintenance contractors.

If you are in control of premises

1.5 If you are in control of premises, you must report any work-related deaths, certain injuries to members of the public and self-employed persons on your premises, and dangerous occurrences that occur on your premises.

1.6 The word 'premises' as defined by section 53 (1) of Health and Safety at Work etc. Act 1974 has a broad meaning and includes 'any place' and 'any vehicle'. For the relevant transport system, 'premises' can include:

(a) the infrastructure (for example, the permanent way/area on or about the track)

(b) land;

(c) railway vehicles;

(d) stations (including platforms);

(e) signal boxes; and

(f) office buildings.

Note: If you are the responsible person, you must make a determination whether the incident in question occurred as a result of or in connection to work.

Table 1.1 Identifying the responsible person for reportable events: Injuries and diseases

Reportable event under RIDDOR 2013	Responsible person
Death, specified injury, over-seven-day injury, or a case of disease of an employee at work	That person's employer
Death, specified injury, over-seven-day injury of a self-employed person at work in premises under the control of someone else	The person in control of the premises: • where the event happened, at the time of the event
Specified injury, over-seven-day injury of a self-employed person at work in premises under their control	The self-employed person or someone acting on their behalf*
Case of disease of a self-employed person at work in either premises under the control of someone else or in premises under their control	The self-employed person or someone acting on their behalf*
Death, or injury requiring removal to a hospital for treatment for that injury (or specified injury occurring at a hospital): of a person who is not at work (but is affected by the work of someone else), e.g., a member of the public	The person in control of the premises where, or in connection with the work at which, the accident causing the injury happened: • where the event happened, at the time of the event; and

Reportable event under RIDDOR 2013	Responsible person
	• in connection with their carrying on any trade, business or undertaking

* For incidents involving a self-employed person, the injured person can ask someone else acting on their behalf, to make the report for them as this then caters for situations where a self-employed person may be unable to report, especially for example due to extended hospitalisation. This is ORR guidance only.

Table 1.2 Identifying the responsible person for reportable events: Dangerous occurrences

Reportable event under RIDDOR 2013	Responsible person
One of the dangerous occurrences listed in Chapters 5 and 6 of this guidance, if it involves a person not at work or a self-employed person	The person in control of the premises where, or in connection with the work at which, the dangerous occurrence happened: • at the time the dangerous occurrence happened; and • in connection with their carrying on any trade, business or undertaking.
One of the dangerous occurrences listed in Chapters 5 and 6 of this guidance, if it involves an employee	That person's employer

1.7 Station premises include all 'common parts' of the station, i.e., station platforms, the station forecourt, access to office buildings within stations, and also separate premises within the station under the control of the station operator (ticket offices etc.). For example, if a member of the public falls over on a station platform and is injured and taken to hospital, it will be for the station operator for that station to report the accident.

1.8 However, the station operator will not normally be responsible for reporting accidents which occur in separate premises within a station not under their control, for example shops leased to other operations (unless it is to one of the employees of the station operator).

If you are self-employed

1.9 If you are self-employed and working in someone else's work premises and suffer either a specified injury (see Chapter 2), an over-seven- day injury (see Chapter 2) or a dangerous occurrence (see Chapters 5 and 6), then the person in control of the premises will be responsible for reporting. You should therefore make sure the responsible person knows about it.

1.10 If you are self-employed and receive a diagnosis relating to any occupational disease or exposure to carcinogens, mutagens and biological agents, you will be responsible for reporting. This is regardless of whether your exposure occurred on your own premises or someone else's work premises.

1.11 Under RIDDOR there is no requirement on anyone to report the death of a self-employed person which occurs in premises controlled by that self-employed person or where they are the sole occupier, whether it is a fatal accident or fatal exposure.

1.12 If, for example, a self-employed person is seriously injured while working for a firm of sub-contractors on a section of the railway site controlled by a main contractor, then the main contractor must report the injury. However, if the injured self-employed person is working in their own premises or in other premises under their control at the time of the accident, then they must report the injury.

Employees

1.13 To help the responsible person carry out their duties, employees need to be given clear instructions about reporting accidents and cases of ill health to management. Internal reporting procedures need to ensure that prompt and clear information is given to the person within the organisation who is responsible for reporting to the relevant enforcing authority.

1.14 'Employees' include both permanent and temporary employees, apprentices and trainees, whether full or part-time. 'Employees' also includes agency staff who are employed by either the agency or the 'host' operator, for example, an engineer supplied by an agency to carry out work for a railway operation. The legal responsibility for reporting will rest with the person who is, in law, the employer. However, this does not prevent an agreement being made between the agency and the 'host' operator under which the 'host' operator will report any incident. This may be the most practical solution as the 'host' operator will generally oversee the

work being carried out by the agency worker even if he is not in law their employer.

1.15 The Health and Safety Executive has published guidance on voluntary work which includes information about when to report incidents involving volunteers.

Why report and record? (Regulation 12)

1.16 Reporting and recording are legal requirements. Reporting is a method by which a notification of an incident or diagnosis reportable under RIDDOR is made to the relevant enforcing authority. Recording is a means by which the responsible person keeps a record of an incident or diagnosis covered by RIDDOR.

1.17 For the rail industry, reporting is made to ORR, which is the relevant enforcing authority. The report informs ORR about deaths, injuries, occupational diseases, and dangerous occurrences so that ORR can identify where and how risks arise, and whether they need to be investigated. This allows ORR to target its activities effectively and provide advice on how to avoid work-related deaths, injuries, ill health and accidental loss.

1.18 Incidents reported to ORR under RIDDOR are used to provide statistical data, which include:

(a) Annual health and safety data published by HSE, which covers all industries enforced by HSE, ORR and local authorities;

(b) Annual safety reports published by the Rail Safety and Standards Board (RSSB);

(c) ORR's annual Health and Safety Report;

(d) Common Safety Indicators, for ORR's Common Safety Indicators report.

1.19 Some accidents must also be reported to the Rail Accident and Investigation Branch (RAIB) under the Railways (Accident Investigation and Reporting) Regulations 2005. The timescales for reporting certain incidents to RAIB may be shorter than those required under RIDDOR.

1.20 Records of incidents covered by RIDDOR are very important. They ensure that you collect the minimum amount of information required by law on incidents occurring on your railway. This information can also be a valuable management tool for assessing risk and to develop solutions to mitigate against these.

1.21 Chapter 9 outlines the records you must keep.

1.22 You must produce records, or extracts from them, when asked by an inspector.

What must be reported

1.23 The following types of accidents or incidents are reportable to ORR:

(a) Non-fatal injuries to workers as a result of a work-related accident (See Chapter 2);

(b) Non-fatal injuries to non-workers as a result of a work-related accident (See Chapter 3);

(c) A death as a result of a work-related accident (See Chapter 4);

(d) Dangerous occurrences (See Chapters 5 and 6); and

(e) Occupational diseases (See Chapter 7).

Reporting to ORR

1.24 The Regulations require all incidents to be reported by the quickest practicable means and by sending a report within 10 days (or within 15 days if an accident relates to a person at work being incapacitated for routine work for more than seven consecutive days).

1.25 Details of how to make a report to ORR are in Chapter 8. The procedure will differ according to whether you are reporting:

(a) less serious injuries and dangerous occurrences;

(b) more serious injuries, fatalities and dangerous occurrences; or

(c) a diagnosis of an occupational disease, occupational cancer, or a diagnosis due to occupational exposure to a biological agent.

2. Non-fatal injuries to workers

What must be reported (Regulation 4 (1))

2.1 You must report to ORR if, as a result of an accident arising out of or in connection with work, a person at work suffers any of the following specified injuries:

(a) any bone fracture (including a break, chip or crack) diagnosed by a registered medical practitioner (confirmed on a fit note or through an x-ray), other than to a finger, thumb or toe;

(b) amputation (traumatic or surgical as a result of the incident) of an arm, hand, finger, thumb, leg, foot or toe;

(c) any injury diagnosed by a registered medical practitioner as being likely to cause permanent blinding or reduction in sight in one or both eyes;

(d) any crush injury to the head or torso causing damage to the brain or internal organs in the chest or abdomen;

(e) any burn injury (including scalding) which:

(i) covers more than 10% of the whole body's total surface area; or

(ii) causes significant damage to the eyes, respiratory system or other vital organs;

(f) any degree of scalping (separation of skin from the head) requiring hospital treatment;

(g) loss of consciousness caused by head injury or asphyxia; or

(h) any other injury arising from working in an enclosed space which:

(i) leads to hypothermia or heat-induced illness; or

(ii) requires resuscitation or admittance to hospital for more than 24 hours.

2.2 If you are an employer, you must report specified injuries in connection to or arising from work involving your employees wherever they are working. If you are in control of premises (e.g., a supplier in control of the offices where a rail employee experienced a specified injury), you must report specified injuries to self-

employed persons or members of the public on your premises, if the incident arises in connection to the performance of work-related duties and the accident was in relation to that work.

Note: An 'enclosed space' includes any space which is wholly or partly enclosed to the extent that there is a significantly increased risk to the health and safety of a person within that space by virtue of its enclosed nature. This would include any confined space as defined by the Confined Spaces Regulations 1997, and would additionally include similar spaces where there is a foreseeable risk of hypothermia (for example a cold store).

Note: Hypothermia is not a specified risk within the meaning of the Confined Spaces Regulations 1997.

Hypothermia and heat-induced illness includes situations where a person suffers an adverse reaction (the physical injury) to intense heat or cold acting on the body, such that they require assistance from another person.

Note: Regardless of whether an injured person returns to work following a work accident without any time lost, a specified injury to a worker must be reported.

Over-seven-day injuries (Regulation 4 (2))

2.3 You must report any 'over-seven-day injury' as soon as practicable and in any event within 15 days of the accident. An 'over-seven-day injury' occurs when an injured person is away from work or unable to do the full range of their normal duties for more than seven consecutive days as a result of an accident arising out of or in connection with work.

2.4 When calculating 'more than seven consecutive days' the day of the accident should not be counted, only the period after it. Any days the injured person would not normally have been expected to work, such as weekends, rest days or holidays, must be included.

2.5 In practice, 'more than seven consecutive days' means at least eight days. For example, if a person who normally works Monday to Friday is injured at work on a Wednesday and returns to work more than a week later on the Friday, the days

counted would be the Thursday, Friday and Saturday of the first week and the Sunday, Monday, Tuesday, Wednesday and Thursday of the following week.

Note: Post-traumatic stress disorder following a one-off incident

If, for example, a person at work is off sick for more than seven consecutive days with post-traumatic stress disorder following an injury to another person this is not reportable.

An 'accident' relates to a physical injury. Post-traumatic stress disorder is not a physical injury. It is a recognised medical condition and is regarded as a disease. It is not one of the listed occupational diseases in Chapter 7, so it is not reportable.

What should not be reported under RIDDOR

2.6 The following injuries do not need to be reported under RIDDOR, unless resulting in an over-seven-day injury:

a. Fractures to fingers, thumbs, and/or toes;

b. If there is no definitive evidence of a fracture (e.g., no x-ray is taken) - this includes self-diagnosed 'suspected fractures';

c. Non-permanent (as diagnosed by a doctor) blinding or injuries causing reduction in sight in one or both eyes;

d. Damage caused by smoke inhalation (in the context of burn injuries);

e. Fainting from feeling unwell, not as a result of work; and

f. Scalp lacerations where the skin is not separated from the head, surgical procedures where skin removal is deliberate, and someone having their hair pulled intentionally or accidentally.

2.7 Where the extent of the injury is unclear, for example, when the seriousness of an eye injury has not been decided on or an injured limb is still being treated and may ultimately require surgical amputation, there is no requirement to make precautionary reports of specified injuries. It is likely in these situations that the injured person will be away from work for more than 7 days, resulting in the injury being reportable at that time. The enforcing authority should be notified or updated as soon as a specified injury is confirmed.

3. Non-fatal injuries to non-workers

What must be reported (Regulation 5)

3.1 An injury to a person who is not at work (for example a passenger) must be reported if it:

(a) occurs on the transport system's premises;

(b) is connected with the operation of a railway;

(c) arises out of or in connection with work; and

(d) causes that person to be taken from the site of the accident to a hospital for treatment in respect of that injury.

Note: The phrase '*taken from the site of the accident to a hospital for treatment*' describes a situation where someone is taken to hospital for treatment of an injury. It is not necessary to know what happened to the person once they arrived at the hospital, only that they have been taken there for treatment and the injury was work-related. ORR expects the judgement to be made on the information available at that time. So, there is no need for you to make further enquiries as to whether treatment was or was not provided. There is also no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent. Treatment does not include x-rays or examinations.

A report should not be made if it is not known that the person has gone to hospital. If they declined any immediate help but after leaving the premises made their own way to hospital, this should not be reported. For example, if someone has an accident at a station, declines immediate help, leaves the station, travels to another station and then goes to hospital this is not reportable.

3.2 Accidents, which involve people who are not at work, will all be regarded as arising out of or in connection with work if the railway operation or activity, or the condition of the railway premises in some way caused or contributed to the cause of the accident. An accident due to any of the following must be regarded as 'arising out of or in connection with work':

(a) the way the work was carried out;

(b) any machinery, plant, substances or equipment used for the work; or

(c) the condition of the site or premises where the accident happened

3.3 For example:

(a) A person is injured as a result of:

(i) tripping over an obstruction or because of a defect in the surface; or

(ii) the presence of debris or a substance (e.g., water, ice, snow or food waste).

(b) A person is injured as a result of falling down slippery steps or a faulty escalator in a station. If the steps were not slippery or the escalator was not faulty as a result of the activity or non-activity of railway workers, the injury from the fall cannot be considered to be arising out of or in connection with work and is not reportable.

What should not be reported under RIDDOR

3.4 Injuries that result from a person's action which is not regarded as arising out of or in connection with work, even if the injured person is taken to hospital, are not reportable. The following list is not exhaustive, but for example:

(a) a person injured as a result of an assault by another member of the public on-board a train; or

(b) someone injured because they slipped while running for a train and there was nothing to suggest that the floor was in poor condition or had been subject to treatment in connection with work, for example mopping.

(c) A rail employee on their break off-site was injured and taken to hospital for treatment when their car collided with another car in a supermarket car park. As the collision was not linked to the supermarket's work, the incident is non-reportable. Just because an accident takes place on work premises, it does not make it automatically reportable.

4. Work-related fatalities

What must be reported (Regulation 6)

4.1 You must report the death of any person if it results from an accident arising out of or in connection with work or an occupational exposure to a biological agent. If an employee dies within one year of the date of the accident as a result of an injury which is reportable under regulation 4 as a 'non-fatal injury to workers' (Chapter 2), the responsible person must inform ORR about the death in writing. This must be done whether or not the original incident has been reported as 'non-fatal injury to workers' as required by regulation 4 (Chapter 2).

4.2 For the railways and other guided transport systems, this will mean that the death of a member of the public (including passengers, authorised visitors and trespassers) will be reportable to ORR if it:

(a) occurs on any part of the transport system's premises;

(b) is due in any way to the operation of the transport system; and

(c) arises out of or in connection with work.

What should not be reported under RIDDOR

Suicides

4.3 Suicides are not reportable under RIDDOR. It is possible that the exact cause of death may not be known until after a verdict from a coroner (or the Procurator Fiscal's verdict in Scotland). If, however, there is any suspicion of a suicide, the death should not be reported. The criteria below can be used if there is suspicion of suicide.

The criteria for suspected suicide[1]

4.4 Each of the following, on its own, may be treated as sufficient evidence of suspected suicide:

(a) suicide note;

[1] Ovenstone Criteria adapted for the railways - taken from Appendix 7 of RSSB's publication '*Annual Safety Performance Report 2012/13*'

(b) clear statement of suicidal intent to an informant;

(c) behaviour demonstrates suicidal intent;

(d) previous suicide attempts;

(e) prolonged depression; and

(f) instability; i.e., a marked emotional reaction to recent stress or evidence of failure to cope (such as a breakdown).

4.5 In the absence of evidence fulfilling the above criteria, the fatality should be deemed accidental and therefore reportable. A classification should always be reviewed whenever new evidence comes to light (such as during investigations or at a coroner's inquest).

Death from natural causes

4.6 Death from natural causes is not reportable unless it can be shown that there is good reason to suppose that the death arose out of or in connection with work. This may only become clear following a post-mortem.

The death of a self-employed person

4.7 The death of a self-employed person is not reportable if it occurs on premises controlled by that self-employed person or if they are the sole occupier.

5. Dangerous occurrences specific to relevant transport systems

What must be reported (Regulation 7)

5.1 You must report any dangerous occurrence listed below. The numbers shown in brackets are the dangerous occurrences (DOs) listed in Part 5 of RIDDOR's Schedule 2.

5.2 Where 'train' is used, this includes a locomotive, tramcar or other power unit, and any vehicle used on a relevant transport system. Track maintenance machinery, such as road-rail vehicles, falls within the meaning of train.

5.3 Where 'passenger train' is used, this means a train carrying, or made available for carrying, passengers. 'Non-passenger train' means any train except a passenger train.

5.4 Where 'running line' is used, this means any line ordinarily used for the passage of trains which is not a siding.

Collision or derailment of passenger trains

5.5 You must report:

(a) any collision between a passenger train and another train (**DO 54**); and,

(b) the derailment of the whole or part of a passenger train (**DO 55**).

Collision or derailment not involving passenger trains

5.6 You must report any collision between non-passenger trains (**DO 56**), which occurs:

(a) on a running line, which causes damage to a train; or

(b) in a siding, which causes damage to a train and an obstruction to a running line.

5.7 You must also report the derailment of a non-passenger train (**DO 57**), which occurs:

(a) on a running line (except a derailment during shunting operations which does not obstruct any other running line); or

(b) in a siding, which causes an obstruction to a running line.

Accidents involving any train

5.8 Any collision between a train and a buffer stop must be reported if it causes damage to the train (**DO 58**). This excludes a collision in a siding.

5.9 A train striking an animal is reportable (**DO 59**), only if:

(a) the animal is cattle or horse; or

(b) it is any other animal and damage is caused which necessitates immediate temporary or permanent repair (including damage to the windows of the driver's cab but excluding other damage consisting solely in the breakage of glass).

Note: If a train strikes either cattle or horse(s), the strike is reportable whether or not damage is caused to the train.

5.10 A train on a running line striking or being struck by any object is reportable (**DO 60**), only if it:

(a) causes damage which necessitates immediate temporary or permanent repair (including damage to the windows of the driver's cab but excluding other damage consisting solely in the breakage of glass); or

(b) might have been liable to derail the train.

Note: Trains that derail as a result of striking objects on the tracks may also be reportable under DO 55 and DO 57 above.

Note: The concept of '*damage necessitating immediate temporary or permanent repair*' used in DO 59 and 60 is to provide a distinction between reportable and non-reportable incidents. Examples of 'repair' include straightening, removing or securing damaged parts. Damage to glass only does not constitute a reportable accident unless the damage is to

any window of the driver's cab and it necessitates immediate temporary or permanent repair.

5.11 A train, other than one on a railway, striking or being struck by a road vehicle is reportable (**DO 61**).

5.12 A train that becomes unintentionally divided is reportable (**DO 62**) only if it is a:

(a) passenger train; or

(b) non-passenger train not fitted with continuous self-applying brakes.

Failure of train parts

5.13 Any failure of the following train parts is reportable if it occurs or is discovered while the train is on a running line (**DO 63**):

(a) an axle;

(b) a wheel or tyre, including a tyre loose on its wheel;

(c) a rope or the rope's fastenings;

(d) a winding plant or equipment involved in working an incline; or

(e) any part of a train which is likely to cause an accident to that or any other train, or to cause personal injury to any person.

Note: The Regulations do not distinguish the degree of injury which could result from the failure of any train part. For example, the failure of a seat which occurs while the train is in motion, resulting in minor injury: if it is a driver's or staff seat then the failure is reportable. If it is a passenger seat and the passenger is injured and reports the injury to a train crew then the failure is reportable. In this scenario, the incident may also be reportable as an over-seven-day incident in which case only one report should be made if the facts giving rise to each requirement are the same and the one that is reportable first in terms of time frames should be reported first.

Fire

5.14 Any fire is reportable (**DO 64**) if it:

(a) is in or on any part of a passenger train or a train carrying dangerous goods within the meaning of the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009([2]);

(b) is in or on any part of a non-passenger train which was extinguished by a fire-fighting service;

(c) seriously affects the functioning of signaling equipment;

(d) affects the permanent way or works of a relevant transport system which necessitates the suspension of services over any line, or the closure of any part of a station or signal box or other premises, for a period—

(i) of more than 30 minutes in the case of any part of a relevant transport system below ground; and

(ii) in any other case, of more than 1 hour; or

(e) causes damage which could affect the running of a relevant transport system.

Note: A non-passenger train fire to which a fire-fighting service is called but plays no part in extinguishing the fire on arrival need not be reported provided the train is not carrying dangerous goods. If it is then the fire must be reported as in paragraph (a) above.

Smoke or fume incidents are not reportable unless there was evidence of a fire or fire damage caused or where, in the case of a passenger train, the smoke necessitates passengers being evacuated from any part of the train. It is possible to have some without fire (for example traction motor overheating). In such cases, even if fire extinguishers are used, these should not be classed as reportable.

Note: A '*relevant transport system below ground*' can be taken to include underground systems. For example, parts of London Underground Ltd, Tyne and Wear Metro, all of SPT Glasgow Subway, and other premises similarly covered by the Fire Precautions (Sub-surface Railway Stations) (England) Regulations 2009. These include any premises used as a railway station to which members of the public have access (whether on pavement or

([2]) S.I. 2009/1348; regulations 2, 3, 11, 12, 19, 20, 21, 22, 25, 29, 32 and 34, and paragraph 4 of Schedule 2 were amended by S.I. 2011/1885, which also inserted regulations 19A, 19B, 19C, 19D, 19E and 19F.

otherwise) and in which any platform is an enclosed or underground platform, and railway tunnels.

Note: A railway platform[3] is:

- an enclosed platform if the platform and the permanent way to which it is adjacent are situated wholly or mainly in a tunnel or wholly or mainly within or under any building, i.e., for more than half the length of the platform; or
- an underground platform if the level of the roof or ceiling immediately above the platform and the permanent way to which it is adjacent is below the level of the surface of the ground adjacent to any exit from the railway station providing a means of escape from the station in case of fire.

Severe electrical arcing or fusing

5.15 Severe electrical arcing or fusing is reportable (**DO 65**) if it:

(a) occurs in or on any part of any train; or

(b) seriously affects the functioning of signaling equipment.

Level crossings

5.16 You must report any of the following level crossing incidents:

(a) any train striking a road vehicle or gate at a level crossing (**DO 66**);

(b) any train running onto a level crossing when not authorised to do so (**DO 67**); or

(c) the failure of equipment at a level crossing which could cause a significant risk of personal injury to users of the road or path crossing the railway (**DO 68**).

[3]Per the Fire Precautions (Sub-surface Railway Stations) (England) Regulations 2009 (Regulation 3)

The permanent way and other works

5.17 The failure of a rail in a running line or of a rack rail must be reported (**DO 69**) if it results in:

(a) a complete fracture of the rail through its cross-section; or

(b) in a piece becoming detached from the rail which requires the immediate stoppage of traffic or the immediate imposition of a lower speed restriction.

5.18 You must report the buckle of a running line if it requires the immediate stoppage of traffic or the immediate imposition of a lower speed restriction (**DO 70**).

5.19 If an aircraft or vehicle of any kind either lands on, runs onto or comes to rest across the line, or damages the line (**DO 71**), you must report it if this:

(a) the damage caused obstructs the line; or

(b) causes damage to any railway equipment at a level crossing.

5.20 You must report the runaway of an escalator, lift or passenger conveyor (**DO 72**).

5.21 You must report the following classes of accident where they are likely to cause an accident to a train or a significant risk of personal injury to any person (**DO 73**):

(a) the failure of a tunnel, bridge, viaduct, culvert, station or other structure or any part of it including the fixed electrical equipment of an electrified relevant transport system;

(b) any failure in the signalling system which could cause a significant risk to the safe passage of trains other than a failure of a traffic light controlling the movement of vehicles on a road;

Note: Failures in the signalling system are reportable where they endanger or have the potential to endanger the safe passage of trains. Failures in design, installation, testing, operation and maintenance of vital engineering equipment are included in this category. A failure is potentially dangerous if it was not detected by other parts of the signalling system and had at least one of the following consequences:

- it caused a signal to display an aspect less restrictive than the proper one; or
- it prevented a signal from displaying a more restrictive aspect; or

- it resulted in incorrect operation of the interlocking.

Note: The following are not reportable:

- failures where the system is protected by means of an automatic train stop system which, in the event of a failure of the signalling system, brings the train safely to rest;
- road traffic light failures that may form part of the signalling system for trams. However, reports will need to be made of failures of signalling systems on discrete parts of infrastructure separated from the road which had the potential to endanger the safe passage of trams.

(c) a slip of a cutting or of an embankment;

(d) flooding of the permanent way;

(e) the striking of a bridge by a vessel or by a road vehicle or its load; or

(f) the failure of any other portion of the permanent way or works.

Note: These classes of accidents must be reported regardless of what control measures are in place to prevent significant risk.

'Other structure' does not include the collapse of scaffolding reportable under DO18 (See Chapter 6).

Incidents of signals passed without authority

5.22 You must report any train, travelling on a running line or entering a running line from a siding, passing a signal displaying a stop aspect without authority, unless the stop aspect was not displayed in sufficient time for the driver to stop safely at the signal (**DO 74**).

6. General dangerous occurrences

What must be reported (Regulation 7)

6.1 You must report any dangerous occurrence listed below. These apply to all types of industries. We have included these to help those who may be uncertain about what is reportable. The numbers shown in brackets are the dangerous occurrences (DOs) listed in Part 1 for DOs 1 through 22 and Part 2 for DOs 23 through 27 of Schedule 2 of RIDDOR.

Lifting equipment

6.2 You must report the collapse, overturning or failure of any load-bearing part of any lifting equipment, other than an accessory for lifting (**DO 1**).

Pressure systems

6.3 You must report the failure of any closed vessel or of any associated pipework (other than a pipeline) forming part of a pressure system as defined by regulation 2(1) of the Pressure Systems Safety Regulations 2000, where that failure could cause the death of any person (**DO 2**).

Note: A failure that 'could cause the death of any person' would include:

- scalds or burns arising from contact with steam; hot water or other hot liquids; liquors; products or substances; and immersion or splashing with chemicals;
- being struck by, or could potentially have been struck by, a projectile emitted from the failure of a closed vessel under pressure; and
- an explosion arising from the destruction of structures close to the vessel, for example falling debris such as masonry or window glass, which are affect by the release of stored energy arising from the failure of the vessel.

Overhead electric lines

6.4 In relation to overhead electric lines (**DO 3**), you must report any plant or equipment that unintentionally comes into:

(a) contact with an overhead electric line that has no insulation with a voltage exceeding 200 volts; or

(b) close proximity with such an electric line, such that it causes an electrical discharge.

Note: Examples of the kinds of incidents which are covered and which must be reported are:

- accidental contact of a mobile crane or a vehicle with an overhead line;
- accidental contact with an overhead line by something being carried or lifted; and
- the collapse of something (for example an engineering structure, a building, a tree during felling operations) across an overhead line.

Electrical incidents causing explosion or fire

6.5 You must report any explosion or fire caused by an electrical short circuit or overload (including those resulting from accidental damage to the electrical plant) (**DO 4**) which either:

(a) results in the stoppage of the plant involved for more than 24 hours; or,

(b) causes a significant risk of death.

Explosives

6.6 You must report the following fire, explosion or ignition (**DO 5**), except where a fail-safe device or safe system of work prevented any person being endangered as a result of it:

(a) any unintentional fire, explosion or ignition at a site where the manufacture or storage of explosives requires a licence or registration under 6 or 7 of the Explosives Regulations 2014; or

(b) any unintentional explosion or ignition of explosives (unless caused by the unintentional discharge of a weapon, where, apart from that unintentional discharge, the weapon and explosives functioned as they were designed to).

6.7 The misfire of explosives (other than at a mine or quarry, inside a well or involving a weapon) is reportable except where a fail-safe device or safe system of work prevented any person being endangered as a result of the misfire **(DO 6)**.

6.8 Any explosion, discharge or intentional fire or ignition which causes any injury to a person requiring first-aid or medical treatment is reportable, other than at a mine or quarry **(DO 7)**.

6.9 The projection of material beyond the boundary of the site on which the explosives are being used, or beyond the danger zone of the site, which caused or might have caused injury is reportable, except at a quarry **(DO 8).**

Notes:

'Danger zone' means the area from which persons have been excluded or forbidden to enter to avoid being endangered by any explosion or ignition of explosives.

'Explosives' includes railway detonators if they meet the definition of explosives within the Explosives Regulations 2014.

6.10 The failure of shots to cause the intended extent of collapse or direction of fall of a structure in any demolition operation is reportable **(DO 9).**

Biological agents

6.11 You must report any accident or incident which results or could have resulted in the release or escape of a biological agent likely to cause severe human infection or illness **(DO 10)**. See Chapter 7 for more details on biological agents.

Radiation generators and radiography

6.12 You must report the malfunction of the following radiation generators or equipment or radiography equipment (**DO 11**):

(a) a radiation generator or its ancillary equipment used in fixed or mobile industrial radiography, the irradiation of food or the processing of products by irradiation, which causes it to fail to de-energise at the end of the intended exposure period; or

(b) equipment used in fixed or mobile industrial radiography or gamma irradiation, which causes a radioactive source to fail to return to its safe position by the normal means at the end of the intended exposure period.

Note: 'Radiation generator' means any electrical equipment emitting ionising radiation and containing components operating at a potential difference of more than 5kV.

Breathing apparatus

6.13 You must report the malfunction of breathing apparatus (**DO 12**) (other than at a mine):

(a) where the malfunction causes a significant risk of personal injury to the user; or,

(b) during testing immediately prior to use, where the malfunction would have caused a significant risk to the health and safety of the user had it occurred during use.

Diving operations

6.14 You must report the failure, damaging or endangering of the following diving equipment if it causes a significant risk of personal injury to a diver (**DO 13**):

(a) any life support equipment, including control panels, hoses and breathing apparatus; or

(b) the dive platform, or any failure of the dive platform to remain on station.

6.15 You must also report the following diving accidents in any situation:

(a) The failure or endangering of any lifting equipment associated with a diving operation (**DO 14**).

(b) The trapping of a diver (**DO 15**).

(c) Any explosion in the vicinity of a diver (**DO16**).

(d) Any uncontrolled ascent or any omitted decompression which causes a significant risk of personal injury to a diver (**DO 17**).

Collapse of scaffolding

6.16 You must report the complete or partial collapse (including falling, buckling or overturning) of scaffolding in the following cases (**DO 18**):

(a) a substantial part of any scaffold more than 5 metres in height;

(b) any supporting part of any slung or suspended scaffold which causes a working platform to fall (whether or not in use); or

(c) any part of any scaffold in circumstances such that there would be a significant risk of drowning to a person falling from the scaffold.

Note: Supporting parts would include outriggers, roof rigs or suspension ropes or winches.

The figure of 5 metres used in relation to the height of scaffolding refers to the height of the scaffolding itself from whatever base. It does not necessarily refer to the distance between the top of the scaffold and the ground.

Train collisions

6.17 You must report the collision of a train with any other train or vehicle, which could have caused the death, or specified injury, of any person (**DO19**). This does not include a collision reportable under the dangerous occurrences listed in Chapter 5.

Note: '**Train**' includes a locomotive, tramcar or other power unit.

Wells

6.18 In relation to a well (other than a well sunk for the purpose of the abstraction of water), you must report the following (**DO 20**):

(a) a blow-out (which includes any uncontrolled flow of well-fluids from a well);

(b) the coming into operation of a blow-out prevention or diversion system to control flow of well-fluids where normal control procedures fail;

(c) the detection of hydrogen sulphide at a well or in samples of well-fluids where the responsible person did not anticipate its presence in the reservoir drawn on by the well;

(d) the taking of precautionary measures additional to any contained in the original drilling programme where a planned minimum separation distance between adjacent wells was not maintained; or

(e) the mechanical failure of any part of a well whose purpose is to prevent or limit the effect of the unintentional release of fluids from a well or a reservoir being drawn on by a well, or whose failure would cause or contribute to such a release.

Pipelines or pipeline works

6.19 In relation to a pipeline or pipeline works, you must report the following if they could cause personal injury to any person, or if they result in the pipeline being shut down for more than 24 hours (**DO 21**):

(a) any damage to, accidental or uncontrolled release from or inrush of anything into a pipeline;

(b) the failure of any pipeline isolation device, associated equipment or system; or,

(c) the failure of equipment involved with pipeline works.

6.20 The unintentional change in position of a pipeline, or in the subsoil or seabed in the vicinity, which requires immediate attention to safeguard the pipeline's integrity or safety must also be reported (**DO 22**).

Structural collapse

6.21 The unintentional collapse or partial collapse of the following are reportable if it arises from, or in connection with, on-going construction work (including demolition, refurbishment and maintenance), whether above or below ground (**DO 23**).

(a) any structure, which involves a fall of more than 5 tonnes of material; or

(b) any floor or wall of any place of work.

6.22 The unintentional collapse or partial collapse of any falsework is reportable (**DO 24**).

Explosion or fire

6.23 Any unintentional explosion or fire in any plant or premises which results in the stoppage of that plant, or the suspension of normal work in those premises, for more than 24 hours is reportable (**DO 25**).

Release of flammable liquids and gases

6.24 The following are reportable (**DO 26**):

(a) the sudden, unintentional and controlled release inside a building

(i) of 100 kilograms or more of a flammable liquid;

(ii) of 10 kilograms or more of a liquid at a temperature above its normal boiling point;

(iii) of 10 kilograms or more of a flammable gas; or

(b) the sudden, unintentional and controlled release in the open air of 500 kilograms or more of a flammable liquid or gas.

Hazardous escapes of substances

6.25 The unintentional release or escape of any substance which could cause personal injury to any person other than through the combustion of flammable liquids or gases is reportable (**DO 27**).

7. Occupational diseases

What must be reported (Regulation 8)

7.1 You must report the diseases or conditions listed in Table 7.1 if a diagnosis is received in relation to a person at work. Further guidance on these diseases and conditions can be found on HSE's 'Reportable occupational disease' webpage.

Table 7.1 Reportable occupational diagnoses

Reportable disease or condition	Description
Carpal Tunnel Syndrome, where the person's work involves regular use of percussive or vibrating tools	Carpal tunnel syndrome is caused by compression of the median nerve which controls sensation and movement in the hand. It is not always caused by work-related factors. It is reportable where the person's work involves regular use of hand-held power tools: • percussive tools involving repetitive blows, such as impact drills or jackhammers, or • vibrating tools, such as sanders, grinders or chainsaws It is not reportable when: • The person's work involves typing or similar repetitive movements
Cramp of the hand or forearm, where the person's work involves prolonged periods of repetitive movement of the fingers, hand or arm;	Cramp is reportable when: • it is a chronic condition linked to repetitive movement of the fingers, hand or arm • it usually means the person is unable to move comfortably in the way they used to. A one-off, acute incident of cramp during the course of work is not reportable.
Occupational dermatitis, where the person's work involves significant or regular exposure to a known skin sensitizer or irritant	Dermatitis is reportable when the person's work involves significant or regular exposure to any chemical or biological skin irritant or sensitising agent. In particular, this includes any chemical with the warning 'may cause sensitisation by skin contact', or 'irritating to the skin'. Corrosive and irritating chemicals also lead to dermatitis.

Reportable disease or condition	Description
	Dermatitis can be linked with exposure to a range of common chemicals or substances outside the workplace, such as general household cleaners. The condition is not reportable if it has only been caused by this sort of exposure, rather than the person being exposed to a chemical or substance at work. Further guidance and a list of examples of skin sensitizers or irritants is given in HSE's publication 'Medical aspects of occupational skin disease'.
Hand-arm vibration syndrome ('HAVS'), where the person's work involves regular use of percussive or vibrating tools, or the holding of materials which are subject to percussive processes, or processes causing vibration	Workers whose hands are regularly exposed to high vibration, for example in industries where vibratory tools and machines are used, may suffer from impaired blood circulation and damage to the nerves in their hands and arms. The injuries are collectively known as 'hand-arm vibration syndrome'. The condition is reportable where the person's work involves regular use of: • percussive power tools involving repetitive blows, such as jackhammers • vibrating power tools, grinders, sanders and chainsaws, or • holding materials which vibrate while being processed by powered machinery, such as pedestal grinders, riveting machines or rotary polishers Other names used in industry include vibration white finger, dead finger, dead hand and white finger. The severity of the vascular and neurological effects is indicated using an agreed classification system – the Stockholm Workshop Scales.
Occupational asthma, where the person's work involves significant or regular exposure to a known respiratory sensitizer	Asthma is a common condition and is only reportable when the person's work involves significant or regular exposure to a known respiratory sensitiser. In particular, this will include any chemical with the warning 'may cause sensitisation by inhalation'. It is reportable when there is significant or regular exposure to known respiratory sensitisers including: • epoxy resin fumes • solder fume • grain dusts

Reportable disease or condition	Description
	• wood dusts Asthma is not reportable if: • there is evidence that the person already had the condition, and • it was not made worse or triggered by exposure at work For further guidance and examples of agents reported to have caused occupational asthma see the asthma pages of HSE's website.
Tendonitis or tenosynovitis in the hand or forearm, where the person's work is physically demanding and involves frequent, repetitive movements	Tendonitis means inflammation of a tendon, and tenosynovitis means inflammation of the sheath that surrounds a tendon. The condition is reportable when it: • is in a hand or forearm, • has resulted from work that involves frequent, repetitive movements, and • is physically demanding There is an increased risk of developing this condition when the person is doing physically demanding work, which could include: tasks involving repeated lifting and manipulation of objects (such as block-laying and assembly-line work) activities involving constrained postures or extremes of movement in the hand or wrist This condition is not reportable when: • a part of the body is affected other than the hand or forearm • it has not resulted from work that involves physically demanding activities involving frequent, repetitive movements

7.2 You also must report the following if a diagnosis is received in relation to the person at work:

(a) any cancer attributed to an occupational exposure to a known human carcinogen or mutagen (including ionising radiation); or

(b) any disease attributed to an occupational exposure to a biological agent,

7.3 Advice on when to report disease diagnoses to ORR (and when to HSE) is in Chapter 8.

Note: 'Diagnosis' means a registered medical practitioner's (e.g. doctor's) identification (in writing, where it pertains to an employee) of:

- new symptoms; or
- symptoms which have significantly worsened

This means, for example, that if a new employee developed HAVS with a previous employer, you only need to report it if the symptoms get significantly worse in their current work and a doctor has diagnosed this. Where an employee develops HAVS in their current work and a doctor has diagnosed this as a new condition this is reportable. If a pre-existing condition remains unchanged (no new or worsening symptoms), then it is not reportable. Reportable diseases must be diagnosed by a registered medical practitioner.

Biological agent

7.4 'Biological agent' means a micro-organism, cell culture, or human endoparasite, whether or not genetically modified, which may cause infection, allergy, toxicity or otherwise create a hazard to human health.

7.5 'Cell culture' means the in-vitro growth of cells derived from multicellular organisms.

7.6 'Micro-organism' means a microbiological entity, cellular or non-cellular, which is capable of replication or of transferring genetic material.

7.7 Biological agents are covered by the Control of Substances Hazardous to Health Regulations 2002. Further information on biological agents and the Approved List of biological agents can be found on HSE's website (http://www.hse.gov.uk/biosafety/infection.htm).

Carcinogen

7.8 'Carcinogen' per the Chemicals (Hazard Information and Packaging for Supply Regulations 2002 means:

(a) a substance or mixture which meets the criteria for classification as a category 1A or 1B carcinogen set out in Annex I to the CLP Regulation[4] whether or not the substance or mixture would be required to be classified under the Regulation; or

(b) a substance or mixture which is—

(i) referred to in Schedule 1; or

(ii) released by a process referred to in Schedule 1 and is a substance hazardous to health;

(c) a substance or mixture:

(i) listed below, or

(ii) released from a process specified below which is a substance hazardous to health.

Other substances and processes to which the definition of 'carcinogen' relates:

List of carcinogens in Schedule 1 of the Control of Substances Hazardous to Health Regulations 2002 (as amended)

- Aflatoxins
- Arsenic
- Auramine manufacture
- Calcining, sintering or smelting of nickel copper matte or acid leaching or electrorefining of roasted matte
- Coal soots, coal tar, pitch and coal tar fumes
- Hardwood dusts

[4] Regulation (EC) No 1272/2008 of the European Parliament and of the Council of 16 December 2008 on classification, labelling and packaging of substances and mixtures

- Isopropyl alcohol manufacture (strong acid process)
- Leather dust in boot and shoe manufacture, arising during preparation and finishing
- Magenta manufacture
- Mustard gas (b,b' -dichlorodiethyl sulphide)
- Rubber manufacturing and processing giving rise to rubber process dust and rubber fume
- Used engine oils
- The following polychlorodibenzodioxins:
  - 2,3,7,8-TCDD
  - 1,2,3,7,8-PeCDD
  - 1,2,3,4,7,8-HxCDD
  - 1,2,3,6,7,8-HxCDD
  - 1,2,3,7,8,9-HxCDD
  - 1,2,3,4,6,7,8-HpCDD
  - OCDD
- The following polychlorodibenzofurans:
  - 2,3,7,8-TCDF
  - 2,3,4,7,8-PeCDF
  - 1,2,3,7,8-PeCDF
  - 1,2,3,4,7,8-HxCDF
  - 1,2,3,7,8,9-HxCDF
  - 1,2,3,6,7,8-HxCDF
  - 2,3,4,6,7,8-HxCDF

- 1,2,3,4,6,7,8-HpCDF
- 1,2,3,4,7,8,9-HpCDF
- OCDF

Where T=tetra, P=penta, Hx=hexa, Hp=hepta, and O=octa.

Mutagen

7.9 'Mutagen' per the Chemicals (Hazard Information and Packaging for Supply) Regulations 2002 means a substance or mixture which meets the criteria for classification as a category 1A or 1B germ cell mutagen set out in Annex I to the CLP Regulation, whether or not the substance or mixture would be required to be classified under that Regulation.

8. Reporting to ORR

8.1 This chapter provides guidance to the rail industry on providing notification of all incidents that are reportable to ORR under RIDDOR. The Regulations require notification to the relevant enforcing authority of the reportable incident by the quickest practicable means without delay. A report of all occupational diseases must be sent to the relevant enforcing authority without delay.

8.2 All incidents reportable under RIDDOR which arise from work on the operational railway or on a tramway or other guided transport system, including occupational disease or diagnoses reportable under regulations 8 and 9, should be reported to ORR. All other reportable incidents should be reported to HSE (www.hse.gov.uk/riddor).

8.3 Some employers (particularly renewals contractors) could have the same employees working on both rail and non-rail infrastructure and may be unsure whether a diagnosis of an occupational disease should be reported to ORR or HSE. Use your best judgement on where the most significant exposure to the associated health hazard (for example, work with vibrating tools or with sensitizers) is likely to have taken place. If the most significant exposure (consider the duration and extent of the exposure) was on railway infrastructure, report the disease to ORR. If it was likely to have been on non-rail sites, report to HSE.

8.4 Some incidents reportable to ORR under RIDDOR may also be reportable to the Rail Accident Investigation Branch (RAIB) under the Railways (Accident Investigation and Reporting) Regulations 2005. You must therefore follow the reporting procedures in those Regulations and report to RAIB separately.

Reporting non-serious incidents

8.5 If an accident or dangerous occurrence is not serious and does not require immediate attention (i.e., those not included in the list below) it should be reported using:

(a) our online reporting facility: ORR Data Portal if you are a non-mainline duty holder or a mainline duty holder not using the RSSB's safety management system, Safe Insights (formerly SMIS);

(b) Safe Insights if you are a mainline railway duty holder; or

(c) London Underground's IE2 database (formerly LUSEA) if you are London Underground.

8.6 If these methods are used, we will expect to receive the notification within a reasonably short time following the incident (typically not more than three calendar days after the incident).

Reporting serious incidents

8.7 Serious accidents and dangerous occurrences, that require immediate notification to ORR by telephone, are listed in the box below.

- Any accident (derailment, collision, fire etc.) to a passenger train, tram or guided transport systems where fatalities or serious injuries occur to passengers, rail employees, other members of the public.
- Any serious accident to a train, tram or guided transport system (e.g., high speed derailment or head-on collision) even if there are no casualties.
- Any accident involving the release or combustion of dangerous goods from a train which necessitates the evacuation of railway personnel or the general public from the area affected.
- Any dangerous occurrence (see Chapter 5) involving a freight train carrying radioactive materials.
- Any collision between a train and a road vehicle at a level crossing whether or not there have been any injuries.
- Any pedestrian fatality at any type of level crossing.
- Any fatal accident or serious injury (life threatening) to a rail employee on duty.
- Any incident in which a passenger or their clothing or baggage is caught in the doors of a departing train in a manner likely to kill or injure that person, only if there is a failure of the doors, or a passenger is taken to hospital for treatment in respect of a work-related injury[5].

[5] However, ORR requests all such incidents to be notified by telephone. These incidents are precursors to more serious incidents and platform-train interface incidents account for the largest proportion of passenger fatality risk. ORR has prioritised this area of risk for some years and the intelligence we receive plays an important part in developing our strategy for regulating health and safety risks.

- Any child (age under 18 years) trespasser fatally or seriously injured on the railway.
- Any fatality or life-threatening injury to a passenger.
- The overturning or collapse of any crane, collapse of a high scaffold, collapse of a bridge or tunnel, failure of a structure which occurs on, or blocks, a railway.
- Any incident of a runaway involving a train, wagon, engineers' trolley or on-track machinery.
- Any incident which results or could have resulted in the release of a biological agent likely to cause severe human infection or illness (for example Legionella).
- ORR requests any reportable injury or dangerous occurrence not mentioned above which receives or is likely to receive media attention (not a RIDDOR requirement).

8.8 Based on operational experience, ORR considers that these incidents will require more immediate attention by an inspector. To report these incidents, you must:

(a) notify the relevant reporting point set out below by telephone immediately; and

(b) then follow up this notification within 10 days with a written notification using:

(i) our online reporting facility: ORR Data Portal if you are a non-mainline duty holder or a mainline railway duty holder not using Safe Insights;

(ii) Safe Insights if you are a mainline railway duty holder; or

(iii) IE2 if you are London Underground.

8.9 Guidance on using our online reporting facility can be found on our website, including how to request access to the portal if you have not used it before.

Where to make a notification by telephone

8.10 The numbers below should only be used to report serious rail incidents as set out in the above list of serious incidents reportable by telephone. Only call these numbers if you are a duty holder, the Police or other organisation seeking to report a serious railway incident under RIDDOR.

(a) Monday to Friday from 09:00 to 17:30 – Telephone 020 7282 3910

(b) Outside these hours, weekends and public holidays, serious incidents should be reported to the ORR on telephone at 020 7282 3976.

Details to be notified

8.11 You must pass on the following details to ORR:

(a) your name, organisation and telephone number;

(b) the date and time the incident occur;

(c) where it occurred;

(d) the train involved;

(e) what happened;

(f) number of casualties;

(g) whether the casualties were passengers, rail employees, or other members of the public e. g. motorist, pedestrian etc.;

(h) the initial cause/influencing factors if known; and

(i) the line/route affected and any delays to services.

8.12 You should make a note of the name of the person you spoke to and the time you made the notification.

Sending a report of injuries, fatalities and dangerous occurrences within 10 days

8.13 Once you have made a report by the quickest practicable means you must follow this up within 10 days (or 15 days for over-seven-day injuries) with a written report.

8.14 This can be done using:

(a) our online reporting facility: ORR Data Portal if you are a non-mainline duty holder or a mainline railway duty holder not using Safe Insights;

(b) Safe Insights if you are a mainline railway duty holder; or

(c) IE2 if you are London Underground.

8.15 If you initially notified us of the incident in writing using our online reporting facility, Safe Insights or IE2 then you will only need to make a further written report if there is additional information which needs to be provided.

Sending a report of an occupational disease

8.16 A report of a diagnosis of an occupational disease, occupational cancer, or disease due to occupational exposure to a biological agent must be sent to ORR using:

(a) our online reporting facility: ORR Data Portal if you are a non-mainline duty holder or a mainline railway duty holder not using Safe Insights; or

(b) Safe Insights if you are a mainline railway duty holder; or

(c) IE2 if you are London Underground.

8.17 Reports must be sent to ORR without delay (typically within 10 calendar days of the responsible person receiving a diagnosis from a registered medical practitioner).

8.18 As noted above in 'Serious incidents requiring notification by telephone', any incident which results or could have resulted in the release of a biological agent likely to cause severe human infection or illness (for example Legionella) must be reported to ORR immediately by using the procedure for reporting serious incidents.

9. Keeping records

What records must be kept (Schedule 1, Part 2)

9.1 You must keep a record of any reportable:

(a) non-fatal injury to workers (see Chapter 2);

(b) non-fatal injury to non-workers (see Chapter 3);

(c) work-related fatality (see Chapter 4);

(d) dangerous occurrence (see Chapters 5 and 6);

(e) diagnosis of occupational disease or ill health condition (see Chapter 7);

(f) injury that results in a person at work being incapacitated (unable to carry out their normal duties) for more than three consecutive days, not including the day of the accident.

Note: While only injuries that result in a person at work being incapacitated for more than seven consecutive days are reportable to ORR, all injuries must be recorded if the incapacitation is over three consecutive days (not including the day of the accident).

9.2 You must keep records for at least three years from which it was made.

Details to be kept in the records (Regulation 12)

9.3 The records must contain the details set out below. Regulation 12 of RIDDOR allows flexibility in the way records are made and kept and enables responsible persons to choose arrangements which suit their own needs. Records kept for other purposes will satisfy the requirements as long as they contain the details below.

Deaths, injuries and dangerous occurrences

The date and time of the accident or dangerous occurrence.

(a) In respect of an accident injuring or causing the death of a person at work, that person's:

(i) full name;

(ii) occupation;

(iii) injury.

(b) In respect of an accident injuring a person not at work, that person's (unless these are not known and it is not reasonably practicable to ascertain them):

(i) full name;

(ii) status (for example 'passenger', 'customer', 'visitor' or 'bystander'); and

(iii) injury.

(c) The place where the accident or the dangerous occurrence happened.

(d) A brief description of the circumstances in which the accident or dangerous occurrence happened.

(e) The date on which the accident or dangerous occurrence was first notified or reported to ORR (except injuries that incapacitate workers for more than three consecutive days).

(f) The method by which the accident or dangerous occurrence was first notified or reported (except injuries that incapacitate workers for more than three consecutive days).

Occupational diseases

The date of diagnosis of the disease.

(g) The name of the person affected.

(h) The occupation of the person affected.

(i) The name or nature of the disease.

(j) The date on which the disease was first reported to ORR.

(k) The method by which the disease was reported.

Location of records

9.4 The records must be kept either where the work to which they relate is carried out or at the usual place of business of the responsible person. For example, a railway operation may have a system in place where a safety officer makes a report to ORR from a central point. In such a case the records may be kept either at the individual premises where the work to which they relate takes place, or at the offices of the safety officer.

Making records available

9.5 Extracts from the records must be sent to ORR on request. In addition, using powers under Section 20 of the Health and Safety at Work etc. Act 1974, an inspector from ORR may require any parts of the records to be produced. If such a request is made, the records should be produced as soon as is reasonably practicable. In practice, the time taken to produce the records will depend on whether or not they are kept at the place where the work is done or if they are held centrally at the offices of the responsible person.

Use of records

9.6 A primary aim of the record-keeping requirement is to ensure that responsible persons collect a minimum amount of data on health and safety incidents connected with their undertaking, so that they can analyse these for performance monitoring and other safety management purposes. Some responsible persons, often in conjunction with safety committees, find it advantageous to gather and analyse information on a wider range of incidents than just those which have to be reported under these Regulations. Such information is a valuable health and safety management tool.

10. Exemptions on reporting

Road traffic accidents/accidents caused by vehicles on a road

10.1 Accidents arising out of or in connection with the movement of a vehicle on the road should be reported to the police, who have primary responsibility for enforcing road traffic legislation.

10.2 When the injury or death of a person arises out of or in connection with the movement of a vehicle on a road, it is reportable to the police, but it is not reportable under RIDDOR unless:

(a) The person was injured or killed by an accident involving a train (see DO 61 or DO 66),

(b) The person was injured or killed by exposure to substance being conveyed by the vehicle,

(c) The person was engaged in work connected with the loading or unloading of any article or substance onto or off the vehicle at the time of the accident, or was injured or killed by the activities of another person who was performing this work, or

(d) The person was engaged in or was injured or killed by the activities of another person who was at the time of the accident engaged in, work on or alongside a road.

10.3 The exemption for reporting road traffic accidents only applies to vehicles on a 'road', as defined in section 192 of the Road Traffic Act 1988. If the site road is genuinely 'private', and the public do not normally have access, it is not within this definition, and you must report the accident.

‘Work alongside a road’ means construction, demolition, alteration, repair or maintenance of the road, markings, or equipment on the road; the verges, fences, hedges or other road boundaries; the pipes or cables under, over or adjacent to the road; or the buildings or structures adjacent to or over the road.

11. Glossary of Terms

'Accident' means a type of incident which is separate, identifiable, unintended and causes physical injury. This specifically includes acts of non-consensual physical violence done to people at work.

Injuries themselves are not accidents (for example 'feeling a sharp twinge'). There must be an identifiable external event that causes the injury (for example, a falling object striking someone). Cumulative exposures to hazards, which eventually cause injury (for example, repetitive lifting) are not classed as 'accidents' under RIDDOR, but could be classified as occupational disease.

'Disease' includes a medical condition.

'Infrastructure manager' means the person who:

- is responsible for developing and maintaining infrastructure (not including a station) or is responsible for managing and operating a station, except that it shall not include any person solely on the basis that he carries out the construction of that infrastructure or station or its maintenance, repair or alteration; and
- manages and uses that infrastructure or station or allows it to be used for operating a vehicle.

'Mainline railway' means any railway or part of a railway unless:

- ORR determines that it falls within one or more of these categories:
  - metros and other light rail systems;
  - networks that are functionally separate from the rest of the mainline railway system and intended only for the operation of local, urban or suburban passenger services, as well as transport undertakings operating solely on these networks;
  - heritage, museum or tourist railways that operate on their own networks; or

- ORR determines that heritage vehicles that operate on the mainline railway and comply with national safety rules are deemed not to operate on the mainline railway; or
- it is privately owned infrastructure that exists solely for use by the infrastructure owner for its own freight operations.

Railways that fall under the categories listed above are in an Approved List on our website. These railways are described as **non-mainline railways**.

'**Narrative conclusion**' is a verdict given by coroners in England and Wales following an inquest in which the circumstances of a death are recorded without attributing the cause to a named individual.

'**Non-passenger train**' means any train except a passenger trains. This includes empty coaching stock, i.e., passenger trains not in service.

'Non-worker' includes passengers and members of the public such as level crossing users.

'Passenger train' means a train carrying passengers or made available for that purpose.

'**Railway**' means a system of transport using parallel rails which:

- Provide support and guidance for vehicles carried on flanged wheels; and
- form a track which has a gauge of at least 350 millimetres or crosses a carriageway (whether or not on the same level).

'Reportable incident' means an incident which has to be notified or reported under RIDDOR.

'**Running line**' means any line that is ordinarily used for the passage of trains which is not a siding.

'**Train**' includes a locomotive, tramcar or other power unit, and any vehicle used on a relevant transport system.

'**Tramway**' means a system of transport which is used wholly or mainly to carry passengers:

- where the maximum speed allows the driver to stop a vehicle in the distance he can see to be clear ahead; and

- which uses parallel rails which:
  - provide support and guidance to vehicles carried on flanged wheels; and
  - are laid wholly or partly along a road or in any other place to which the public has access (including a place where the public has access only after making a payment).

'**Transport undertaking**' means any person or organisation that operates a vehicle in relation to any infrastructure.

'Work-related accident' means an accident arising out of or in connection with work. The fact that there is an accident at work premises does not, in itself, mean that the accident is work-related. The work activity itself must contribute to the accident. Any reference to a work-related accident or dangerous occurrence in RIDDOR includes an accident or dangerous occurrence attributable to:

- the manner of conducting an undertaking,
- the plant or substances used for the purposes of an undertaking; or any machinery, plant, substances or equipment used for the work or
- the condition of the premises used for the purposes of an undertaking or any part of them.

For the railways and other guided transport systems, this will mean that accidents to members of the public will be reportable if they:

- occur on any part of the transport system's premises;
- are due in any way to the operation of the transport system; and
- result in either the death of a person or a person being injured and taken to hospital for treatment in respect of that injury.

'Worker' includes both permanent and temporary employees, apprentices and trainees, whether full or part-time. It also includes agency staff who is employed by either the agency or the 'host' operator, for example, an engineer supplied by an agency to carry out work for a railway operation.

Annex A: Table of updates to guidance published in October 2023

Changes as of 30 July 2025

Paragraph number	Change	Updated text
Paragraph 5.2	Removed text	Deleted “but not when they are within an engineering possession” from this sentence.
Paragraph 5.7	Removed text	Deleted the ‘Notes’ box after Para 5.7 as exceptions to reporting requirements listed were not aligned with RIDDOR.
Chapter 11 – Glossary of Terms	Revised wording and deletions	Deleted the sentence “People that operate a vehicle that solely carry out work in ‘engineering possessions’ (this means sections of track that are closed to normal traffic for maintenance work) are not included in the term ‘transport undertaking’.” from the definition of ‘Transport undertaking’.

Changes as of 17 March 2025

Paragraph number	Change	Updated text
Throughout	Reformatted	Updated the entire document to ORR’s new long report format and improved accessibility (particularly for people that may use screen readers to read this document).
Throughout	Reformatted	Removed floating text boxes with RIDDOR regulation references to improve accessibility and readability.
Throughout	New text	Added the phrase ‘Note:’ to multiple ‘note boxes’.
Throughout	Reformatted	Removed multiple instances of bold text in the body to minimise the impact on people that may use screen readers to read this document.

Paragraph number	Change	Updated text
Throughout	Reformatted	Added 'Place in this document' hyperlinks to references to chapters in this document.
Foreword	Revised wording and reformatted	Added links and the phrase "including underground railways and minor and heritage railways" in square brackets to provide context on what sectors this guidance applies to.
Foreword	Revised wording	Re-worded the paragraph to make it clearer what guidance applies to which sectors and added details about and a link to EARR.
Foreword	Revised wording	Summarised the two paragraphs on what is reportable, for improved clarity and ease of understanding. Replaced "accidental loss" with "occupational disease".
Foreword	New text	Added new text about work-related accidents and what RIDDOR data is used for.
Paragraph 1.1	Revised wording	Added "ORR" after "notify" to clarify that this guidance is for those with a duty to notify ORR.
Paragraph 1.2	Revised wording	Replaced "could" with "will".
Paragraph 1.6	Revised wording	Clarified what section of HSWA this paragraph refers to and added the word "can" to clarify instances when the person controlling the premises may be the responsible person.
Paragraph 1.6	New text	Added a 'note box' to indicate the responsible person should make the reportability assessment.
Tables 1.1 and 1.2 (following Para 1.6)	Revised wording and reformatted.	Split the table into two and changed the table number from 1 to 1.1 and 1.2 in line with ORR formatting. Deleted "in connection with their carrying on any trade, business or undertaking" from the second row of Table 1.1 under 'Responsible person'. Added an asterisk to the third and fourth rows of Table 1.1 under 'Responsible person', with an explanation under the table to explain ORR's guidance on delegation of reporting responsibility for incapacitated self-employed workers. Added a row to Table 1.2 to clarify that employers are the responsible person with respect to employees.

Paragraph number	Change	Updated text
Paragraph 1.8	Removed text	Deleted the sentences speaking about the Fire Precautions (Sub- Surface Railway Station) Regulations 1989 as it is speaking to a different set of regulatory obligations.
Paragraph 1.9	Revised wording	Clarified the last sentence to make it more explicit that the responsible person should be made aware of the injury or dangerous occurrence.
Paragraph 1.10	Revised wording	Edited the last sentence in the paragraph to say "This is regardless of whether your exposure occurred on your own premises or someone else's work premises" to better clarify the reporting requirement.
Paragraph 1.11	Revised wording	Added "or where they are the sole occupier, whether it is a fatal accident or fatal exposure" to the end of the paragraph to better clarify the reporting requirement.
Paragraph 1.15	New wording	Added a new section above the previous Para 1.15 that indicates that HSE provides guidance on volunteer classification. This addition replaces the previous Para 1.1.5 shifts numbering for the rest of the chapter.
Paragraph 1.17 (now 1.18)	Revised wording	Removed capitalisation and removed 'Performance' to generalise the term 'Annual Safety Performance Reports' as provided by RSSB to better clarify the reporting requirement.
Paragraph 1.17 (now 1.18)	Revised wording	Deleted "d) Common Safety Indicators, which are reported by ORR to the European Railway Agency for inclusion in safety data covering the European Union" and replaced with "Common Safety Indicators, for ORR's Common Safety Indicators report" as these are no longer reported (though still collected).
Paragraph 1.19 (now 1.20)	Revised wording	Minor updates to clarify why RIDDOR records need to be kept.
Paragraph 1.20 (now 1.21) and 1.22	Revised text and removed text	Replaced Para 1.20 (now 1.21) with a reference to Chapter 9, and deleted the paragraph that states "Further details on keeping records are in Chapter 9".

Paragraph number	Change	Updated text
Paragraph 1.23	Removed text	Deleted the 'note box' that covered 'work-related accident' and 'accident' as they are already included in Chapter 12: Glossary of Terms.
Paragraph 2.1	Revised text	Added details to 2.1 a) to clarify what constitutes a reportable bone fracture.
Paragraph 2.2	New text	Added a new section after 2.1 clarifying who the 'responsible person' is when an employee works off-site or when a person is self-employed.
Paragraph 2.2	New text	Added a new 'note box' at the end of the section to clarify that incidents still may be reportable, even if no time is lost.
Paragraph 2.6 and 2.7	New text	Added a new 'What should not be reported' section to provide examples of injury types that should not be reported under RIDDOR.
Paragraph 3.1	Revised text	Revised the 'note box' text under Para 3.1 to describe the circumstances when going to hospital for treatment becomes a reportable injury.
Paragraph 3.3	Removed text	Deleted the 'note box' providing a definition and explanation of the term 'accident' as it is included in the glossary.
Paragraph 3.4	Revised wording	Changed the name of this section from "What must not be reported" to "What should not be reported", as the determination is the responsible person's.
Paragraph 3.4	New text	Added an example of an injury that is not reportable under RIDDOR.
Paragraph 3.5	Removed text and revised wording	Deleted "these examples are not exhaustive" from a separate paragraph and added it to Para 3.4.
Paragraph 4.1	Revised wording	Provided more details on when a work-related non-fatality becomes a fatality.
Paragraph 4.3	Revised wording	Changed the name of this section from "What must not be reported" to "What should not be reported", as the determination is the

Paragraph number	Change	Updated text
		responsible person's. Added the word 'exact' to this paragraph for clarity.
Paragraph 4.4	Removed text	Deleted the second half of the sentence to ensure emphasis is on important details for responsible persons making reports only.
Paragraph 4.7	Revised wording	Clarified where a death to a self-employed person is not reportable.
Paragraph 5.1	Revised wording	Replaced "the Regulations" with "RIDDOR".
Paragraph 5.10	Removed text	Deleted "actually" from the first 'note box' under Para 5.10.
Paragraph 5.13	New text	To the 'note box' following Para 5.13, added a sentence to the end of the paragraph to clarify when reports should be made, and how many reports made with regards to a single injury, particularly with regards to an over-seven-day injury.
Paragraph 5.14	Revised wording and new text	To the first 'note box' under this section, added "in extinguishing the fire" before "on arrival" to maintain accuracy with regards to RIDDOR, and added a footnote to the third 'note box' to clarify what regulation the interpretation came from.
Paragraph 5.19	New text	Added "the damage caused" before "obstructs the line".
Paragraph 6.1	Revised wording	Replaced "the Regulations" with "RIDDOR".
Paragraph 6.6	Revised wording	Updated the reference to the Manufacture and Storage of Explosives Regulations with a new reference to the Explosives Regulations
Paragraph 6.9	New text	Added "if they meet the definition of explosives within the Explosives Regulations 2014" to the 'note box' under paragraph 6.9 to clarify it must meet the criteria in the reference regulations.
Paragraph 6.11	New text	Added a reference to go to Chapter 7 for the definition of 'biological agents', 'cell culture' and 'micro-organism'.

Paragraph number	Change	Updated text
Paragraph 6.11	Removed text	Removed ‘note box’ under Para 6.11 as there was a duplication of the definition of ‘biological agents’, ‘cell culture’ and ‘micro-organism’.
Paragraph 6.12 and 6.13	Reformatted	Swapped these two sections to align with the order of DOs captured in RIDDOR.
Paragraph 7.1	New text	Added “Further guidance on these diseases and conditions can be found on HSE’s ‘Reportable occupational disease’ webpage” with link included.
Table 7.1	Revised text	Changed the table number from 2 to 7.1 in line with ORR formatting.
Table 7.1	Revised text	Updated the table of occupational diseases to better reflect RIDDOR definitions and align with current ORR interpretation and HSE interpretation and change the name of the second column from ‘Further Guidance’ to ‘Description’.
Paragraph 7.3	New text	Added “e.g., doctor” in parentheses after ‘registered medical practitioner’ to provide the most typical example of a medical practitioner that would provide diagnoses. Added a sentence at the end of the ‘note box’ paragraph explaining that a reportable disease must be diagnosed by a medical practitioner.
Paragraph 7.8	Reformatted	Reformatted Table 3 that outlines carcinogens per COSHH Regulations 2002 (as amended) into a ‘note box’ for improved accessibility and added new carcinogens per COSHH.
Paragraph 7.8	Revised text	Revised the definition of carcinogen per the COSHH regulations.
Paragraph 7.9	Revised text	Revised the definition of mutagen per the COSHH regulations.
Chapter 8 throughout	Revised wording	Replaced all instances of ‘LUSEA’ with ‘IE2’ to reflect LUL database name change.
Chapter 8 throughout	Revised wording	Update 13 March 2025: Replaced all instances of ‘SMIS’ with ‘Safe Insights’ to reflect new RSSB safety management system.

Paragraph number	Change	Updated text
Paragraph 8.1	Revised wording	Revised the wording about reporting by quickest practicable means to align better with RIDDOR.
Paragraph 8.2	Reformatted	Edited the hyperlink to HSE's RIDDOR webpages so it is fully written out.
Paragraph 8.5	Removed text	Removed the original Para 8.5 section "Notification of injuries, fatalities and dangerous occurrences by the 'quickest practicable means'" that repeated the point clarified in Para 8.1.
Paragraphs 8.5 and 8.8	Revised wording	Replaced the links to ORR's Data Portal with the updated, useable link.
Paragraph 8.7	Reformatted	Moved the formerly unnumbered table in Para 8.7 (formerly 8.8) to a 'note box' for improved accessibility.
Paragraph 8.7	Revised wording	Revised the wording to specify that serious incidents require immediate telephone notification to ORR, moving it out of the 'note box' (formerly table) for greater clarity and comparability with the previous section on non-serious incidents.
Paragraph 8.7	New text	Added clarification to the "Any reportable injury or dangerous occurrence not mentioned above which receives or is likely to receive media attention" bullet that this is an ORR request and not a RIDDOR requirement.
Paragraph 8.8	New text	Added the word "incidents" to clarify what this paragraph is referring to (the incidents in the 'note box' above).
Paragraph 8.9	New text	Added "including how to request access to the portal if you have not used it before" to the end of Para 8.9 to clarify that first-time users must request access before using the ORR reporting form.
Paragraph 8.18	New text	Added a new paragraph that clarifies reporting responsibilities an incident which results or could have resulted in the release of a biological agent likely to cause severe human infection or illness.
Paragraph 9.1	Revised wording	In the 'note box' under Para 9.1, added details to clarify that the three-day rule is three

Paragraph number	Change	Updated text
		consecutive days, not counting the date of the accident.
Chapter 10	New text	This entire section is new and corresponds with RIDDOR's Regulation 14 (3) and (4) – arising out of or in connection with movement of a vehicle on a road.
Chapter 11 – Glossary of Terms	Revised wording and deletions	Revised wording of some definitions and deletion of terms already defined in-text.

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