



# **Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013**

**Guidance for railways,  
tramways and other guided  
transport systems**

**September 2016**

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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:

- railways;
- tramways; and
- any other system using guided transport.

However, this guidance **does not** apply to:

- anything below a gauge of 350 millimetres (unless it crosses a carriageway)
- guided bus systems
- trolley vehicle systems
- fairground equipment
- cableway installations
- any part of a transport system that is:
  - within a harbour;
  - part of a factory, mine or quarry;
  - used for construction or building work only (if it's not part of the operational railway);
  - in nuclear site; or
  - warehouse premises.

The Health and Safety Executive (HSE) has produced general guidance on RIDDOR which applies to all industries (<http://www.hse.gov.uk/riddor/index.htm>). If a transport system falls outside the scope of this guidance please refer to the HSE's general guidance.

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

RIDDOR require deaths, certain injuries, specific diseases and specific dangerous occurrences, which arise out of or in connection with work to be reported to the relevant enforcing authority. In relation to the railways and other guided transport systems as set out above, the Office of Rail and Road (ORR) is the relevant enforcing authority. All RIDDOR reports arising from work on the operational railway, including occupational

disease or diagnoses reportable under regulations 8 and 9, should be reported to ORR. All other reportable RIDDOR reports should be reported to HSE.

ORR is the health and safety enforcing authority for Britain's railways, including the mainline railway, the London Underground (LU) network, other metro systems, tramways, light rail systems and the heritage sector. The reports provide 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 accidental loss.

# 1. Introduction

## Who is this guidance for?

- 1.1 This guidance is aimed at anyone with the duty to notify, 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?

- 1.2 The **responsible person** could be:

Reg. 3

- (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 Table 1 summarises 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 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**’ include:

- the infrastructure (for example, the permanent way/area on or about the track)
- land;
- railway vehicles;
- stations (including platforms);
- signal boxes; and

- office buildings.

**Table 1: Identifying the responsible person for reportable events**

Reportable event under RIDDOR 2013		Responsible person
1 Injuries and diseases		
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: <ul style="list-style-type: none"> <li>• at the time of the event; and</li> <li>• in connection with their carrying on any trade, business or undertaking</li> </ul>
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 (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: <ul style="list-style-type: none"> <li>• at the time of the event; and</li> <li>• in connection with their carrying on any trade, business or undertaking</li> </ul>
2 Dangerous occurrences		
One of the dangerous occurrences listed in Chapters 5 and 6.	The person in control of the premises where, or in connection with the work at which, the dangerous occurrence happened: <ul style="list-style-type: none"> <li>▪ at the time the dangerous occurrence happened; and</li> <li>▪ in connection with their carrying on any trade, business or undertaking.</li> </ul>	

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). Please note that no such distinction is made to the station operator's obligations for reporting fires where the premises fall within the scope of the Fire Precautions (Sub- Surface Railway Station) Regulations 1989. This means that where a fire occurs in premises not owned or controlled by that station operator (for example a retail outlet) at a sub-surface station, such fires should be reported by the station.

## 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 Chapter 5 and 6) , then the **person in control of the premises** will be responsible for reporting. You should therefore make sure they know 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 you are on your own, 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.
- 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, in law, is 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 be in charge of the work being carried out by the agency worker even if he is not in law their employer.

## Why report and record?

Reg. 12

- 1.15 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.
- 1.16 For the rail industry, notifications and reports are 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.
- 1.17 Incidents reported to ORR under RIDDOR are used to provide statistical data, which include:
- annual health and safety data published by HSE, which covers all industries enforced by HSE, ORR and local authorities;
  - the Annual Safety Performance Report published by the Rail Safety and Standards Board (RSSB);
  - ORR's annual Health and Safety Report; and
  - Common Safety Indicators, which are reported by ORR to the European Railway Agency for inclusion in safety data covering the European Union.
- 1.18 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.
- 1.19 Records of incidents covered by RIDDOR are very important. They ensure that you collect the minimum amount of information to enable you to check that you are doing enough to ensure safety and prevent dangerous occurrences. This information is a valuable management tool that can be used as an aid to risk assessment, helping to develop solutions to potential risks.

1.20 You must keep a record of:

- any reportable death, injury or dangerous occurrence;
- any injury to a person at work that results in that worker being away from work or incapacitated for more than three consecutive days (excluding the day of the accident); and
- any reportable diagnosis.

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

1.22 Further details on keeping records are in Chapter 9.

## 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).

**“Work-related accident”** means ‘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. An accident is ‘work-related’ if any of the following played a significant role:

- the way the work was carried out
- any machinery, plant, substances or equipment used for the work or
- the condition of the site or premises where the accident happened.
- 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.

An “**accident**” under RIDDOR, is a separate, identifiable, unintended incident, which causes physical injury. This specifically includes acts of non-consensual violence 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.

## 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:

- less serious injuries and dangerous occurrences;
- more serious injuries, fatalities and dangerous occurrences; or
- 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

Reg. 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 diagnosed by a registered medical practitioner, other than to a finger, thumb or toe;
- (b) amputation 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.

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.

## Over-seven-day injuries

Reg. 4 (2)

- 2.2 You must also 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.
- 2.3 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.
- 2.4 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.

### **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.

## 3. Non-fatal injuries to non-workers

### What must be reported

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

Reg. 5

- (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.

The phrase '**taken from the site of the accident to a hospital for treatment**' describes a situation where someone is taken to hospital because it appears that some medical attention may be required. 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. 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.

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':

- the way the work was carried out;
- any machinery, plant, substances or equipment used for the work; or
- the condition of the site or premises where the accident happened

3.3 For example:

- (a) A person is injured as a result of, for example:

- (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 the injury from the fall cannot be considered to be arising out of or in connection with work and is not reportable.

“**Accident**” means a separate, identifiable, unintended incident, which causes physical injury. This specifically includes acts of non-consensual violence 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.

## What must not be reported

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. For example:

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

3.5 These examples are not exhaustive.

## 4. Work-related fatalities

### What must be reported

Reg. 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 condition which is reportable as '**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:
- occurs on any part of the transport system's premises;
  - is due in any way to the operation of the transport system; and
  - arises out of or in connection with work.

### What must not be reported

#### Suicides

- 4.3 Suicides are not reportable under RIDDOR. It is possible that the 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<sup>1</sup>

- 4.4 Each of the following, on its own, may be treated as sufficient evidence of suspected suicide where the coroner has returned an open or narrative verdict, or has yet to return a verdict.
- suicide note;
  - clear statement of suicidal intent to an informant;
  - behaviour demonstrates suicidal intent;
  - previous suicide attempts;
  - prolonged depression; and

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

- 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.

## 5. Dangerous occurrences specific to relevant transport systems

### What must be reported

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 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 but not when they are within an engineering possession.

Reg. 7

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 that is not a siding, which is ordinarily used for the passage of trains.

### 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**).

Sch. 2,  
Part 5

### 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.

**Note 1:** Collisions and derailments involving non-passenger trains on running lines are **not reportable** where they occur:

- on a section of a running line which, at the time, was under an engineering possession (meaning not available for normal train running); or
- when involving non-passenger trains on a section of a running line which, at the time, was blocked owing to obstruction/major accident (e.g. breakdown trains proceeding to site); or
- in the case of a derailment, during shunting operations; or
- in the case of a derailment, when a wheel flange has ridden under the railhead and then re-seated itself.

**Note 2:** Collisions of a train with any other train or vehicle not reportable here are still reportable under DO19 in Chapter 6 if the collision could have caused the death, or specified injury, of any person.

**Note 3:** Although collisions/derailments may not be reportable in the circumstances described above, any reportable injury or reportable dangerous occurrence occurring as a result should still be reported.

## 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:

- (i) the animal is cattle or horse; or
- (ii) 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 the animal is cattle or horse the train 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:

- (i) 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
- (ii) might have been liable to derail the train.

**Note:** Trains actually derailed as a result of striking objects on the tracks are reportable under DO 55 and DO 57 above.

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:

- (i) passenger train; or
- (ii) 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.

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.

## 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<sup>(2)</sup>;
- (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 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.

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<sup>(2)</sup> 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.

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

A railway platform 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:

- (i) any train striking a road vehicle or gate at a level crossing (**DO 66**);
- (ii) any train running onto a level crossing when not authorised to do so (**DO 67**); or
- (iii) 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**).

## 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) 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.

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

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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 of Schedule 2 of the Regulations.

### 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

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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**).

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 affected 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.

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 regulations 9, 10 or 11 of the Manufacture and Storage of Explosives Regulations 2005; 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)**.

**'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.

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**).

“**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.

“**Cell culture**” means the in-vitro growth of cells derived from multicellular organisms.

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

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>).

## Breathing apparatus

6.12 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.

## Radiation generators and radiography

6.13 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.

**“Radiation generator”** means any electrical equipment emitting ionising radiation and containing components operating at a potential difference of more than 5kV.

## 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:

- (i) The failure or endangering of any lifting equipment associated with a diving operation (**DO 14**).
- (ii) The trapping of a diver (**DO 15**).
- (iii) Any explosion in the vicinity of a diver (**DO16**).
- (iv) 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.

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.

'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 the arise 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

7.1 You must report the diseases or conditions listed in Table 2 if a diagnosis is received in relation to a person at work.

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**Table 2: Reportable occupational diseases**

Reportable disease or condition	Further Guidance
<b>Carpal Tunnel Syndrome</b> , where the person's work involves regular use of percussive or vibrating tools	Further information on Carpal Tunnel Syndrome can be found on the <a href="#">musculoskeletal disorders</a> pages of HSE's website.
<b>Cramp in the hand or forearm</b> , where the person's work involves prolonged periods of repetitive movement of the fingers, hand or arm;	Cramp is reportable where it is a chronic condition linked to repetitive work movements. The condition is usually characterised by the inability to carry out a sequence of what were previously well co-ordinated movements. An acute incident of cramp which may occur in the course of work is not reportable.
<b>Occupational dermatitis</b> , where the person's work involves significant or regular exposure to a known skin sensitizer or irritant	Dermatitis can be caused by exposure to a range of common agents found outside the workplace. If there is good evidence that the condition has been caused solely by such exposure rather than by exposure to an agent at work it need not be reported.  Further guidance and a list of examples of skin sensitizers or irritants is given in HSE's publication <a href="#">Medical aspects of occupational skin disease</a> .
<b>Hand-arm vibration syndrome ("HAVS")</b> , 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 several kinds of injury to the hands and arm including impaired blood circulation and damage to the nerves and muscles. The injuries are collectively known as 'hand-arm vibration syndrome'. 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.  Further guidance is available from HSE's publication <a href="#">Hand-arm vibration</a> .
<b>Occupational asthma</b> , where the person's work involves significant or regular exposure	Asthma is a common condition in the general population. If there is good

to a known respiratory sensitizer	<p>evidence that the condition:</p> <ul style="list-style-type: none"> <li>a) was pre-existing; and/or</li> <li>b) has been caused solely by exposure to agents outside work; and</li> <li>c) was neither exacerbated nor triggered by exposure at work;</li> </ul> <p>the condition need not be reported.</p> <p>For further guidance and examples of agents reported to have caused occupational asthma see the <a href="#">asthma</a> pages of HSE's website.</p>
<b>Tendonitis or tenosynovitis in the hand or forearm</b> , where the person's work is physically demanding and involves frequent, repetitive movements	

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

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- (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.

**'Diagnosis'** means a registered medical practitioner'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 symptom this is reportable. If a pre-existing condition remains unchanged (no new or worsening symptoms), then it is not reportable.

## 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**” means:
- (a) a substance or preparation which if classified in accordance with the classification provided for by regulation 4 of the [Chemicals \(Hazard Information and Packaging for Supply Regulations 2002](#) would be in the category of danger or carcinogenic (category 1 or 2) whether or not the substance or preparation would be required to be classified under those Regulations; or
  - (b) a substance or preparation:
    - (i) listed in Table 3, or
    - (ii) arising from a process specified in Table 3 which is a substance hazardous to health.

**Table 3: 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	The following polychlorodibenzodioxins: <ul style="list-style-type: none"> <li>• 2,3,7,8-TCDD</li> <li>• 1,2,3,7,8-PeCDD</li> <li>• 1,2,3,4,7,8-HxCDD</li> <li>• 1,2,3,6,7,8-HxCDD</li> <li>• 1,2,3,7,8,9-HxCDD</li> <li>• 1,2,3,4,6,7,8-HpCDD</li> <li>• OCDD</li> </ul>
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	The following polychlorodibenzofurans: <ul style="list-style-type: none"> <li>• 2,3,7,8-TCDF</li> </ul>
Hardwood dusts	

Leather dust in boot and shoe manufacture, arising during preparation and finishing	<ul style="list-style-type: none"> <li>• 2,3,4,7,8-PeCDF</li> <li>• 1,2,3,7,8-PeCDF</li> <li>• 1,2,3,4,7,8-HxCDF</li> <li>• 1,2,3,7,8,9-HxCDF</li> <li>• 1,2,3,6,7,8-HxCDF</li> <li>• 2,3,4,6,7,8-HxCDF</li> <li>• 1,2,3,4,6,7,8-HpCDF</li> <li>• 1,2,3,4,7,8,9-HpCDF</li> <li>• OCDF</li> </ul> <p>Where T=tetra, P=penta, Hx=hexa, Hp=hepta, and O=octa.</p>
Magenta manufacture	
Mustard gas ( $\beta$ , $\beta'$ -dichlorodiethyl sulphide)	
Rubber manufacturing and processing giving rise to rubber process dust and rubber fume	
Used engine oils	

## Mutagen

7.9 “**Mutagen**” means a substance or preparation which if classified in accordance with the classification provided for by regulation 4 of the [Chemicals \(Hazard Information and Packaging for Supply\) Regulations 2002](#) would be in the category of danger or mutagenic (category 1 or 2) whether or not the substance or preparation would be required to be classified under those Regulations.

## 8. Reporting to ORR

- 8.1 This chapter provides guidance to the rail industry on notifying **all** incidents that are reportable to ORR under RIDDOR. The Regulations require the notification to the relevant enforcing authority of all reportable injuries, fatalities and dangerous occurrences 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](#).
- 8.3 Some employers (particularly renewals contractors) could have the same employees working on both rail and non-rail infrastructures, 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.

### Notification of injuries, fatalities and dangerous occurrences by the ‘quickest practicable means’

- 8.5 Notification of a reportable injury, fatality or dangerous occurrence should be made to ORR immediately at the earliest opportunity.

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#### Reporting non-serious incidents

- 8.6 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:
- our online reporting facility: <https://raildata.orr.gov.uk/riddor> if you are a non-mainline duty holder or a mainline duty holder not using the Rail Safety and Standards Board’s Safety Management Information System (SMIS);
  - SMIS if you are a mainline railway duty holder; or

- London Underground’s Safety and Environmental Analysis database (LUSEA) if you are London Underground.

8.7 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

8.8 Serious accidents and dangerous occurrences are listed below.

Serious incidents requiring notification by telephone	
1.	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.
2.	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.
3.	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.
4.	Any dangerous occurrence (see Chapter 5) involving a freight train carrying radioactive materials.
5.	Any collision between a train and a road vehicle at a level crossing whether or not there have been any injuries.
6.	Any pedestrian fatality at any type of level crossing.
7.	Any fatal accident or serious injury (life threatening) to a rail employee on duty.
8.	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 <sup>3</sup> .
9.	Any child (age under 18 years) trespasser fatally or seriously injured on the railway.
10.	Any fatality or life threatening injury to a passenger.
11.	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.
12.	Any incident of a runaway involving a train, wagon, engineers’ trolley or on-track machinery.
13.	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).
14.	Any reportable injury or dangerous occurrence not mentioned above which receives or is likely to receive media attention.

<sup>3</sup> These incidents are required to be reported under RIDDOR 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

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.

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

- (i) notify the relevant reporting point set out below by telephone immediately;  
**and**
- (ii) then follow up this notification within 10 days with a written notification using:
  - our online reporting facility: <https://raildata.orr.gov.uk/riddor> if you are a non-mainline duty holder or a mainline railway duty holder not using SMIS;
  - SMIS if you are a mainline railway duty holder; or
  - LUSEA if you are London Underground.

8.10 Guidance on using our online reporting facility can be found on our [website](#).

## Where to make a notification by telephone

8.11 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.

- Monday to Friday from 09:00 to 17:30 – Telephone 020 7282 3910
- Outside these hours, weekends and public holidays, **serious** incidents should be reported to the Department for Transport (DfT) Duty Officer on telephone 020 7944 5445.

## Details to be notified

8.12 You must pass on the following details to ORR or the DfT Duty Officer:

- your name, organisation and telephone number;
- the date and time the incident occur;
- where it occurred;
- the train involved;
- what happened;
- number of casualties;
- whether the casualties were passengers, rail employees, or other members of the public e. g. motorist, pedestrian etc.;
- the initial cause/influencing factors if known; and
- the line/route affected and any delays to services.

8.13 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**

8.14 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.

8.15 This can be done using:

- our online reporting facility: <https://raildata.orr.gov.uk/riddor> if you are a non-mainline duty holder or a mainline railway duty holder not using SMIS;
- SMIS if you are a mainline railway duty holder; or
- LUSEA if you are London Underground.

8.16 If you initially notified us of the incident in writing using our online reporting facility, SMIS or LUSEA 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**

8.17 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:

- our online reporting facility: <https://raildata.orr.gov.uk/riddor> if you are a non-mainline duty holder or a mainline railway duty holder not using SMIS; or
- SMIS if you are a mainline railway duty holder; or
- LUSEA if you are London Underground.

8.18 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).

## 9. Keeping records

### What records must be kept

9.1 You must keep a record of any reportable:

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- (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** days.

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

### Details to be kept in the records

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.

Reg. 12

#### Deaths, injuries and dangerous occurrences

- (a) The date and time of the accident or dangerous occurrence.
- (b) In respect of an accident injuring or causing the death of a person at work, that person's:
  - full name;
  - occupation;
  - injury.
- (c) In respect of an accident injuring a person **not at work**, that person's:
  - full name;

- status (for example “passenger”, “customer”, “visitor” or “bystander”);  
and
- injury

unless these are not known and it is not reasonably practicable to ascertain them.

- (d) The place where the accident or the dangerous occurrence happened.
- (e) A brief description of the circumstances in which the accident or dangerous occurrence happened.
- (f) 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).
- (g) 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**

- (a) The date of diagnosis of the disease.
- (b) The name of the person affected.
- (c) The occupation of the person affected.
- (d) The name or nature of the disease.
- (e) The date on which the disease was first reported to ORR.
- (f) 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 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. Glossary of Terms

**“Accident”** means a separate, identifiable, unintended incident, which causes physical injury. This specifically includes acts of non-consensual violence 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.

**‘Diagnosis’** means a registered medical practitioner’s identification (in writing, where it pertains to an employee) of:

- new symptoms; or
- symptoms which have significantly worsened.

**‘Disease’** includes a medical condition.

**‘Infrastructure manager’** means any person or organisation that:

- is responsible for developing and maintaining infrastructure (not including a station) or for managing and operating a station; 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:

- (a) 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
- (b) 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
- (c) it is privately owned infrastructure that exists solely for use by the infrastructure owner for its own freight operations.

Railways that fall under (a) and (b) above are in an [Approved List](#) on our website. These railways are described as non-mainline railways.

**‘Narrative verdict’** 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 passenger or made available to carry passengers.

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

- support and guide 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 it is 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 not a siding, which is ordinarily used for the passage of trains.

**‘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 completely 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:
  - support and guide vehicles carried on flanged wheels; and
  - are laid completely 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. People or organisations that only 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’.

**‘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. An accident is ‘work-related’ if any of the following played a significant role:

- the way the work was carried out
- any machinery, plant, substances or equipment used for the work or
- the condition of the site or premises where the accident happened.

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.



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