Close Call Reporting Procedure

Infrastructure Projects & Principal Contractors – Guidance

Contents

1   Scope and Purpose

1.1   Scope

This document provides guidance to Contractors and Principal Contractors (PC's) working for Network Rail Infrastructure Projects (NR IP) and those who manage them.

It applies from when a close call is identified and subsequently raised on a Contractor or PC's site or by persons working under the control of a Contractor or PC on Network Rail Managed Infrastructure.

This includes how the Close Call is either;
- actioned, "closed" and uploaded to the RSSB Close Call System by the PC (or Contractor); or
- passed by the PC (or contractor) to another organisation able to action and close it;

The process concludes when close call trends have been analysed by the PC (or contractor) and NR Project Team.

This document does not describe how RSSB Close Call System is used (this information may be found in the RSSB Close Call System user guide).

This document summarises information which will be included in the revised Network Rail Standard NR/L3/INI/CP0046 'The Reporting and Investigation of Accidents and Incidents within Investment Projects and Asset Management Works Delivery,' and will be withdrawn once the standard is issued.

1.2   Purpose

This document replaces 'Close Call Reporting Procedure Infrastructures Projects and Principal Contractors', Version 1.0, which was hosted on Safety Central. It maximises opportunity to improve Health Safety and Environmental Performance and therefore minimise harm to people and the environment, by providing a simple and consistent framework for the reporting and analysis of close calls.
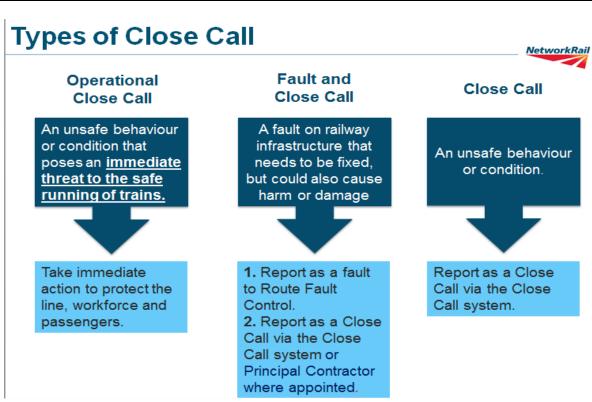
In particular this document clarifies reporting arrangements between various parties in NR IP, Contractors and PC's by describing the businesses expectations of Responsible Managers (RM) and providing PC RM's with an understanding of how NR IP deals with other types of close call.

Additionally, arrangements described herein prepare the way for a revised Close Call System (CCS) which will be rolled out during 2018.

2   Definitions

Safety and Sustainability Development (S&SD) Event	An occurrence that results in an unwanted outcome; this could be an injury to a person, damage to equipment, a structure, a vehicle, the environment, the reputation of the organisation or other identifiable and quantifiable loss. All S&SD events contain aspects that they were unplanned and/or unexpected; and had undesirable and/or unintended consequences.
Accident	An S&SD event that results in an injury.
Injury	Actual harm to a person through exposure to a stressor; mechanical – caused by direct contact with a person, animal, tool, vehicle or other object; chemical – caused through exposure to a harmful chemical substance (often, but not exclusively, these substances come under Control of Substances Hazardous to Health Regulations 2002 or EH40/2005 Workplace Exposure Limits); biological – caused through exposure to a harmful organism; mental – caused through exposure to a situation or number of situations or circumstances beyond an individual's ability to cope.

In circumstances where an individual reports a condition relating to their health that could be as a result of work (e.g. hand-arm vibration, noise induced hearing loss or dermatitis), an investigation is to take place as if the condition were an injury. These events may require additional reporting under RIDDOR – see below. |
| Incident (general definition) | An S&SD event that results in a quantifiable loss or breach of an agreed process or practise.

Within the Railway industry, there are named incidents that have more specific meaning i.e. operational close call.

Events that have resulted in individuals being potentially exposed to a known health stressor without experiencing immediate injury e.g. uncontrolled exposure to asbestos, lead or silica; shall be recorded as an incident with individuals who may have been exposed recorded as 'witnesses'. |
| Operational Close Call | An S&SD event that has occurred due to an unsafe act that, in other circumstances, could have resulted in an accident on the operational railway. This includes events previously termed 'near miss' or a 'close call' as a result of an unsafe act by a person and/or failures to properly implement rules, processes or procedures necessary to achieve safe working on the operational railway.
A number of examples of operational close calls will be provided within the revised standard

(Note: A 'Near Miss' is an incident involving a train or rail mounted plant that has occurred due to an unsafe condition or act and which in other circumstances would have resulted in injury.) |
| Environment event | An incident that results in the uncontrolled addition of an unwanted chemical or biological substance to land, air or water; or the damaging or destroying (including killing) of any flora or fauna protected by law. |

Crime events	An incident that results in loss or damage to inventory, equipment or property following an act with criminal intent to deprive the owner.

Events that have resulted in loss, damage/vandalism, trespass etc. on a construction site are dealt with by an initial report and closed when a crime number from the police has been provided to Network Rail.

Events involving physical assault or verbal abuse are to be reported as injuries. |
| Close Call | An occurrence that had the potential to develop into an S&SD event. There will have been no injury, loss or damage to any person, asset or the environment, as the occurrence was identified and actions taken locally or by a responsible manager prevented the situation developing into an S&SD event. |
| Designated Competent Person (DCP) | The DCP is an individual that is accountable for the timely investigation, recording and reporting of all Safety Events. Their duties are explained in detail in the Network Rail Accident investigation manual.
Further guidance is available through the RSSB publication 'Investigation Guidance; PART 2 Development of policy and management arrangements' (Guidance and examples of good practices in
accident investigation in Britain's railway industry for Safety and Accident Managers) available for download from **www.rssb.co.uk** |

Types of Close Call

NetworkRail

Operational Close Call	Fault and Close Call	Close Call
An unsafe behaviour or condition that poses an **immediate threat to the safe running of trains.**	A fault on railway infrastructure that needs to be fixed, but could also cause harm or damage	An unsafe behaviour or condition.
Take immediate action to protect the line, workforce and passengers.	1. Report as a fault to Route Fault Control.
2. Report as a Close Call via the Close Call system or Principal Contractor where appointed.	Report as a Close Call via the Close Call system.

Close Call Examples (neither exhaustive nor conclusive)

NetworkRail

Generator with no drip tray in place

Texting while walking down the stairs

Late submitted project documentation

Going to take a call on hands-free while driving

Going to enter a site where ballast dust is being created without proper protection

Obstacles blocking safe passage

3 General Information

3.1 Introduction

The CCS collates and allows analysis of close call data from the Rail Industry it is operated by the RSSB. It helps identify industry wide trends and therefore improve safety and environmental performance.

Each PC and Contractor registered with the CCS is able to download their own Close Call Data and can request anonymised industry data from the RSSB. NR IP maintains an online tool for each IP Region or Major Programme which allows Project Managers (PM) to view close call submission and trend data by project, contractor and period.

3.2 General background regarding Close Call Recording

Close Calls are entered in to the CCS directly or by bulk upload.

Bulk Upload - allows PC's and Contractors to upload a spreadsheet containing data about close calls they have managed using their own organisational arrangements, CC Data uploaded in this way are considered "closed at source".

Directly Entered Close Calls – are submitted by Network Rail Employees, using the NR App, Call Centre (including NSC 24/7 out of Call Centre hours) or e-mail form, data on each CC is placed directly in to the CCS.

Directly entered Close which are not 'closed at source' by the reporter are allocated to a RM in the NR Business Unit most able to address the cause. The RM is responsible for taking further action, if required, and Closing the close call once satisfactory action has been completed.

Directly Entered Close Calls about PC Work – Where a NR Employee using the NR App or Phone Line, reports a close call about work by, or under the control, of a PC; a RM in the IP Business Unit managing the work will;
- Communicate the close call, through the Project Manager to the PC, then,
- Record action taken, as reported by the Project Manager, then
- Close the close call once it is appropriate to do so.

The allocation and auctioning process takes time, during which the cause of the close call has not been addressed; for this reason NR Employees are expected to report close calls relating to PC Activity directly to the PC Rather than using the NR app or Call Centre.

PC's and Contractors record and act upon close calls either raised by those who work under their control or in places they manage and then act as RM.

Likewise where a PC is appointed , they are expected to record and act upon all close calls generated by Contractors working under their control even though, under certain circumstances (see 3.2.1), some Contractors may upload their own close calls to the CCS.

Where a PC or Contractor as RM, believes a Close Call raised with them requires attention from a NR RM, they are expected to arrange for it to be entered directly in to the CCS (using an e-mail form). The Close Call Team will then allocate the Close Call to a NR RM.

Close Calls entered directly in to CCS are allocated to the most appropriate NR Business Unit and may not be visible to the IP Programme Team. For this reason, Close Calls forwarded to Network Rail should also be included in each PC or Contractor's bulk upload.
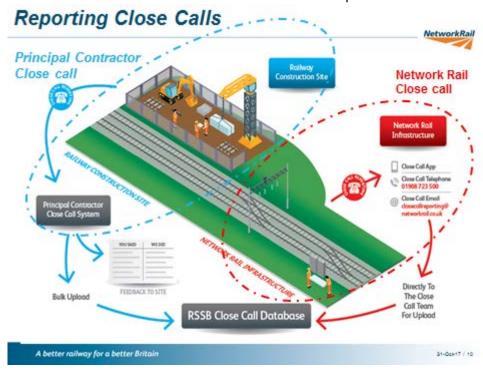
To drive continuous improvement; at least once per NR period the NR PM and PC or Contractor's Representative should review close call trends, and any significant (or high risk) close calls and take improvement action as required. To support this process, PC's and Contractors are asked to notify SCO 24/7 of any Close Calls with High Potential for Learning or Outcome Risk.

3.2.1 Considerations for 'Hybrid' Models i.e. Alliances, Hub & Spoke etc.

Some programme arrangements require Contractors to input S&SD Reporting data (e.g. hours worked) directly in to the NR IP KPI Tool rather than submitting these to the PC for collation and submission. Examples of this may include; contractual arrangements (e.g. Hub and Spoke), or where an Alliance has chosen to use the NR KPI Tool to collate data.

To enable a fair representation of the contractors performance on the IP Balanced Score Card, where a Contractor submits data direct to the KPI Tool they should upload close calls generated by their workforce to the RSSB Close Call System.

Where these arrangements exist, the PC should collate and act on Close Calls raised by the Contractor but not include them within their RSSB bulk upload.
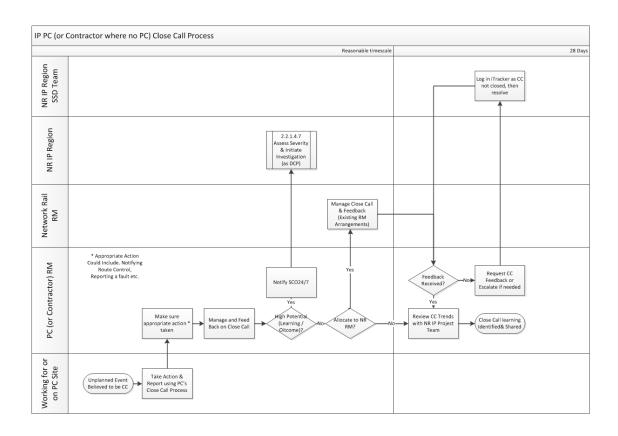
4 Roles and Responsibilities

Although this is a guidance document, it is helpful to set out the general roles and responsibilities associated with Close Call Reporting. This section summarises content from the draft of NR/L3/INI/CP0046.

The Network Rail Close Call Team	Maintain the CCS and provide a Close Call Reporting Line, Mobile Application and e-mail reporting service. They are able to provide assistance to Responsible Managers where required, for example with identifying who a particular close call has been allocated to.
NR IP Region / Major Programme Head of S&SD	Monitors and assures application of these arrangements within this document and is DCP for, their area of responsibility. Some DCP Duties may be delegated providing this is supported by an appropriate assurance framework.
The NR IP Project Manager (NR PM)	Carries out the day to day interface with the Contractor or PC who is appoint ted/required to deliver the expectations set out in this guidance.
The Principal Contractor (PC)	Is expected to appoint a DCP and have in place arrangements to act as Close Call Responsible Manager (or similar role within the supplier organisation) . Implement arrangements for the management, investigation and reporting of S&SD Events (Including Close Calls) including: • Registration with the RSSB CCS (mandatory for all PC's); • Making people aware of the protocol for reporting Close Calls; • Promoting and managing Close Calls on their work sites, including those reported by other organisations; • Recording & tracking actions to achieve satisfactory closure of Close Calls reported on the work sites they manage or those working for them; • Review of close call data for the purposes of identifying trends, close calls that should have been reported as accidents or incidents and close calls with high potential for serious injury or other loss.
Contractors	Are expected to implement the PC's Close Call Reporting Arrangements and where required, either by project/contractual arrangements (see 3.2.1) or because no PC is appointed, have in place arrangements to manage, then upload Close Calls in to the CCS and act as RM.
Responsible Manager (RM)	This may be the DCP or a person nominated by them to discharge this role or appropriate organisational arrangements which allow the role to be discharged. The RM: • Allocates any close call not closed at source to a person or organisation that is accountable for addressing the issue raised; • The person accountable for dealing with the close call is responsible for feeding back their actions to the RM so the close call can be closed; • Closes the close call in the CCS and feeds back on actions taken to the initial reporter wherever possible. *Note: Allocating a close call to the correct person or organisation is important as there are specific timescales in which a close call has to be addressed.*
Employees and Workers	Are expected to report S&SD Events in line with the PC's or Contractor's arrangements and, where required, those of their employer. *NOTE – This applies equally to Network Rail Employees who must, report close calls relating to a PC's site or work using the PC's Close Call Arrangements.*

5 Close Call Reporting Procedure for Contractors Working for NRIP

Process Map

Process Start
This process starts when an individual identifies what they believe to be an unsafe act or condition and decides to report a close call.

5.1 Take Action and Report Close Call using PC (or Contractor's) Processes
Individuals should not report a close call until any emergency action and/or any other action they can take to address the cause of the close call has been taken.

To minimise the risk of confusion and encourage reporting, irrespective of what the close call relates to, all close calls raised by individuals working for a PC or Contractor should be reported through the PC's Close Call Arrangements (or Contractor's where there is no PC appointed).

Close calls reported using the NR App or phone line can be subject to a delay whilst they await allocation to a RM. For this reason, Network Rail Employees reporting a close call relating to a PC or Contractors site or work MUST, report the close call directly to the PC (or Contractor where no PC is appointed) and follow their reporting arrangements.

NR employees should not use the NR CC App, CC Call Centre or e-mail report close calls which have already been reported using a PC's (or contractor's if no PC appointed) Close Call Arrangements.

5.2 Make Sure Appropriate Action is Taken

There is a risk that an individual reporting a close call may not be aware of all the options available to them, when deciding how to address a close call. Therefore the PC's (or Contractor's where no PC) management arrangements should include a check, by a suitably competent person, that all appropriate action to address the cause of the close call has been taken.

It is important that this check includes making sure that, where appropriate, existing Network Rail Arrangements available to the PC or Contractor to address the cause, for example reporting the event to Route Operations Control, the Fault Desk, Facilities Management Helpline, or notifying British Transport Police of a crime, have been undertaken.

5.3 Manage and Feed Back on Close Call (PC or Contractor)

All close calls raised with the PC (or Contractor) should be recorded and managed within their own Close Call management arrangements, these will include provision for feeding back to the person who submitted the close call and bulk upload of close call data to the CCS at the end of each period.

5.4 Close Calls with High Potential Severity / Learning Opportunity

PC's (and contractors if no PC) are to have in place arrangements for identifying Close Calls which:
- Have a High Potential for learning; or
- Have a High Potential Outcome Risk; or
- Are significant for some other reason.

NOTE: the revised Network Rail Standard NR/L3/INI/CP0046 will provide further guidance on evaluating the potential severity / learning opportunity. In the interim IP2.2.1.4 'Identify Learning form Unplanned SSD Events' includes similar guidance and can be downloaded from the NR IP Integrated Management System which can be accessed by all IP Employees.

5.5 Reporting Significant Close Call to SCO 24/7

Close Calls with high potential for learning or outcome risk, identified through the above arrangements should be reported to SCO 24/7 in the same way as Safety Events, so that they can be logged for review by the NR DCP or their representative, and consideration of any further action required.

5.6 Allocate Close Call to NR Responsible Manager

Some Close Calls reported to PC's (or contractors where no PC) will relate to causes outside of the PC or Contractors Control.

Where the close call relates to Network Rail's activity, the PC RM may pass it to a NR RM for further attention.

5.6.1 Interim arrangements – passing close calls between PC & NR Responsible Managers.

Future versions of the CCS will allow PC RMs to transfer Close Calls to the most appropriate NR RM for action.

Until this functionality is available, RMs within a PC or Contractor, who wish to allocate a close call raised by their workforce to a NR RM, should record the Close Call on the Close Call Reporting Form (available from the Close Call Section of Safety Central https://safety.networkrail.co.uk/), and e-mail it to the close call reporting e-mail address shown on the form. A Close Call Reference will be provided.

PC RMs may request that feedback be provided by the NR RM. Feedback can only be provided if the RM includes a valid phone number and e-mail when completing the CC Form. Where feedback is provided in this way, the PC RM retains responsibility for passing this on to the initial reporter.

NOTE: PC RM may make use of the NR Close Call Reporting Phone Line to record close calls however, in order to minimise call volume, we request that they use the e-mail form wherever possible.

5.6.2 Interim arrangements – passing close calls between NR and PC Responsible Managers

Future versions of the CCS will allow NR RMs to transfer Close Calls to the most appropriate PC RM for action.

Until this functionality is available, where a Close Call requiring attention by a PC RM is raised within the Close Call System, it will be allocated to a RM within the NR Business Unit responsible for the work taking place. The NR RM will advise the PC or Contractor's RM who will then manage the Close Call in line with their organisational arrangements.

In this situation, providing the reporter has provided accurate contact detail the NR RM remains responsible for providing feedback to the reporter, using the close call system, once this is received from the PC or Contractor.

5.7 Request CC Feedback or Escalate (advice to PC Responsible Managers who do not receive feedback form NR)

Where feedback is not received within the target timescale set by Network Rail, currently 90 days, PC RM should, in the first instance, seek to contact the NR RM Directly. The NR RM's details may be obtained from the Close Call team by e-mail or phone, quoting the Close Call Reference provided when the Close Call was submitted.

If the above does not resolve the matter or patterns of poor feedback become apparent, the PC RM should arrange for the matter to be raised with the NR PM who will be able to arrange for support from the Head of S&SD or one of their team.

5.8 Close Call review – NR and PC:

Network Rail, through the PM, is to arrange a periodic review with PC organisations where close call trends and close calls with high potential (high risk) for serious injury, other loss, or learning, can be discussed and actions taken, shared as required prevent injury or incident.

Close Calls with a high potential for learning or outcome risk may require a deeper level of investigation.

Process Finish

The intended outcome of this process is that close calls relating to PC (or Contractor) delivered work are reported and analysed, resulting in any learning being identified for sharing and further action.