

Investigation Level	Incident Types/Sub-types	Investigation
	<ul style="list-style-type: none"> ○ 1-7 day LTIs ○ No-treatment ▪ Incident <ul style="list-style-type: none"> ○ RTC - Public Highway – Damage ○ Property/Plant/Asset Damage ○ Abuse ○ Theft ▪ Near-Miss <ul style="list-style-type: none"> ○ Other/Positive intervention ○ Service Strike (de-escalated) ○ RTC – public highway - damage⁴ ○ Environmental ▪ Occupational Health incidents ▪ Environmental minor incidents depending on assessment³ ▪ All Enforcing Authority interventions¹ 	<p>Report (Investigation Level 1) training course</p> <ul style="list-style-type: none"> ▪ The investigation must implement the Investigation Report Template (Level 1) in Novade ▪ A member of the SHE team with Level 2 Investigator training (as a minimum) must review and sign off completed Level 1 investigation reports
Level 2 ¹	<ul style="list-style-type: none"> ▪ Injury <ul style="list-style-type: none"> ○ RIDDOR Over 7-day absences ○ RIDDOR MoP/non-workers ○ Potential RIDDOR ▪ Incident <ul style="list-style-type: none"> ○ Disturbance to asbestos ○ RTC - Public Highway - Injury^{2,4} ▪ Service Strikes <ul style="list-style-type: none"> ○ Non-MIRP gas, electric, water and telecoms strike ○ Sewerage ○ Drainage ▪ Environmental minor or significant incidents depending on assessment³ 	<ul style="list-style-type: none"> ▪ Level 2 investigators must have undertaken the relevant Investigator training (two-day) ▪ The investigation must implement the Investigation Report Template (Level 2/3) for Level 2 investigations in Novade ▪ The BS Head of SHE must review and sign off completed Level 2 investigation reports
Level 3 ¹	<ul style="list-style-type: none"> ▪ Injury <ul style="list-style-type: none"> ○ Fatalities² ○ RIDDOR specified injury ▪ Incident <ul style="list-style-type: none"> ○ RIDDOR Dangerous Occurrence 	<ul style="list-style-type: none"> ▪ Level 3 investigators must have undertaken the relevant Lead Investigator Training. ▪ The investigation must implement the Investigation Report Template

Investigation Level	Incident Types/Sub-types	Investigation
	<ul style="list-style-type: none"> ○ Fire ▪ Near miss ○ HiPo5 ▪ MIRP Service strikes: <ul style="list-style-type: none"> ○ High pressure gas main strikes (2 bar or greater) ○ High voltage underground cable strikes (11Kv or greater) ○ Overhead cable strikes ○ Water main strike (greater than 1 bar) potentially leading to reputational damage⁶ ○ Telecoms strike (damage to a main trunk fibre or main E-side cable (500 pair and above), incidents involving joint user poles) ▪ Environmental minor or significant incidents depending on assessment³ 	<p>(Level 2/3) for Level 3 investigations in Novade</p> <ul style="list-style-type: none"> ▪ The BS Head of SHE must review completed Level 3 investigation reports ▪ The BU MD must review and sign off completed Level 3 investigation reports
<ol style="list-style-type: none"> The classification of investigation above is to be followed unless escalation / de-escalation agreed with the Business Stream Head of SHE(A). Approved escalation/de-escalation can be made by the Triage role in Novade Investigating fatalities can be traumatising – consider counselling and must involve staff who have received Kier Road Traffic Collision training. Investigation level depends on assessment using <i>SHEMS-GUI-GR-301</i> A Hi-Po (high-potential) incident is an incident or near-miss that, realistically, could have, under other circumstances caused one or more significant injuries e.g. RIDDOR Specified Injury, fatality(ies) and / or catastrophic loss. A water main service strike could be considered to be a MIRP if the circumstances resulting from the event would lead to reputational damage, e.g., the water was cut off to a hospital, school, care-home or other significant receptor. Occupational Health incidents, including RIDDORS are all level 1 for the purpose of Novade entry, they then pass manually to the OH function for investigation and further action and correct allocation. 		

Do

Incident Response

- Initial response to any incident must be in accordance with the Incident Golden Hour Poster (***SHEMS-GUI-GR-011***). The poster must be displayed in all Kier premises, projects, depots and be readily available to transient workers.

Incident Reporting

- Internal reporting



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- Initial notification of incidents likely to result in a level 2 or 3 investigation must be made to the business unit SHE Manager as soon as possible. Novade automatically sends notifications from incidents raised.
- In the event of the SHE Manager being unavailable the business unit SHE Director and/or another member of the SHE team must be contacted.
- Incidents must be entered into Novade promptly and no later than 24 hours after occurrence. Notifications are sent from Novade after the event has been triaged in Novade.
- **External Reporting**
 - RIDDOR reportable incidents must be reported to the relevant Enforcing Authority by the business unit SHE Manager within the timescales required by the Enforcing Authority.
 - RIDDOR injury accident involving subcontractors, the business unit SHE manager will contact the employer of the parties involved to ensure that the incident is reported & request a copy of the report to be made to the HSE.
 - Internal Reporting of RIDDORS must be completed and distributed [
 - Business Stream notification
 - As per own arrangements for SLT's/GMD's within the Business Stream
 - Group notification
 - Business Stream Heads of SHE to notify using WhatsApp group 'HSW Leads incident reporting' – which includes Group HSWB Director, Group Head of Safety, Group Head of Business Assurance, Business Stream Heads of SHE
 - Group HSWB Director (or Group Head of Safety in their absence) to notify using WhatsApp group 'Kier notification of incident' – which includes Group HSWB Director, Group Head of Safety, Corporate Affairs Director, Chief People Officer, Group Legal Director
 - Group HSWB Director (or Group Head of Safety in their absence) to notify Kier CEO directly via text
- If the driver holds a vocational driving license (Bus/HGV) and/or the vehicle has an Operator License consideration must be given to notifying the Traffic Commissioner within 28 days. Seek guidance from Group Compliance before any notification is made.
- Some major environmental incidents may be reportable to the relevant environmental regulator (e.g. Environment Agency, SEPA etc.). This includes environmental damage that significant impact on protected species or habitats or the integrity of a Site of Special Scientific Interest, damage to surface water and groundwater bodies or marine waters that significantly affects biological or chemical status of the water body, and damage to land such as contamination that results in significant risk of adverse effects on human health. Such incidents must be reported to the relevant environmental regulator by the business stream / unit environmental manager.
- The business unit SHE manager is responsible for ensuring that incidents are reported to clients who have specific incident reporting requirements.
- **Joint Venture Reporting**
 - The arrangements for the notification, reporting & investigation of incidents for joint ventures must be agreed between the joint venture partners and documented in a Minimum Standard where this differs to the Group Standard.

Incident Recording

- **Major Incidents**
 - The range of incidents likely to be immediately classified or subsequently elevated to a major incident is diverse and the reasoning may not be purely Safety, Health or Environmental (SHE) related.
 - Refer to the Major Incident Response Plan Standard (***SHEMS-STD-GR-013***) for reporting major incidents.
- **All Incidents**
 - Incident details to be recorded directly onto Novade, or initially via the use of the Initial Incident Report (IIR) – (***SHEMS-FOR-GR-053***) then onto Novade within 24 hours provided it has been notified by other means.
 - First Alerts for predefined incident categories will be automatically triggered electronically using Novade.

- Distribution of First Alerts will be business specific and is set-up by an administrator inside Novade. Kier Legal and Insurance.
- Refer to Classifying and Recording Environmental Incidents (***SHEMS-GUI-GR-301***) for incident-specific guidance and information on how to record environmental incidents and Near Misses in Novade.

Incident Investigation

▪ All investigations

- Investigation reports and associated documents must be loaded onto Novade against the associated incident entry
 - *Except where legal privilege has been invoked.* In this case, an electronic file must be submitted to the Group HSW Department for secure filing.
- Investigations must utilise the documents from the incident investigation suite– see section on Related Documents below. The majority of these have been built into Novade and where available these must be used.
- Copies of investigation reports must not be provided to any external organisation without seeking the advice of business stream Head of SHE and Kier legal.
- Archiving of incidents, investigations and any associated documentation must be in-line with the Legal and Other Requirements Standard (***SHEMS-STD-GR-005***).
- Investigators must refer to the guidance in the Resource Guide for Internal Investigations (***SHEMS-GUI-GR-105***)
- Investigation reports must include the incident details, its causes and recommendations for improvement
- Capture recommendations for incident investigations as Actions on Novade and assign ownership
- Follow the Just and Fair Culture Standard (***SHEMS-STD-GR-006***) to understand the requirement for issuing 'Yellow' and 'Red' cards if relevant

▪ Level 1 Investigations

- Complete the Investigation Report template (***SHEMS-FOR-GR-167***) in Novade using the information captured
- A member of the SHE Team with Level 2 investigator training will review and close out Level 1 incidents within seven days.

▪ Level 2 Investigations

- Use the Investigation Action Plan (***SHEMS-GUI-GR-054***) as appropriate to ensure that all required incident information is captured. This form is not in Novade so must be uploaded against the Novade record when used
 - Follow the filing index identified in the Investigation Action Plan when collecting information relevant to the investigation
 - File electronic documents in a logical way e.g. incident number-YYYY-MM-DD-UID-Description
- Complete the Investigation Report template in Novade (***SHEMS-FOR-GR-055 / including SHEMS-FOR-GR-129 for service strikes***) using the information captured
- Level 2 investigations must be reviewed and closed out within 21 days of the incident occurring
- A peer review of completed investigation reports must be organised by the business stream Head of SHE prior to close out
- Investigation Reports must be signed off by the business stream Head of SHE

▪ Level 3 Investigations

- Must incorporate the requirements of Level 2 investigations with the following modifications:
- Level 3 investigations must be reviewed and closed out within 21 days of the incident occurring, extensions of time must be approved by the business stream Head of SHE
- **Investigation Reports must be signed off by the business stream Head of SHE and BU Managing Director**

Check

- Undertake Incident Review Board (IRB) meetings for RIDDORs, HiPo's and significant environmental events, along with any others as deemed appropriate by the business unit Director responsible for SHE, in consultation with the business unit Safety and Environmental teams, to understand trends



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- Business Stream Head of SHE(A) must send outputs from IRBs to Group business assurance for loading onto the IMS. Relevant notes should be added to the incident record in Novade and actions raised as needed.
- Monitor incidents and recommendations for improvement as part of the monthly reporting process
- Ensure results of incident information and results of incident investigations are fed into the formal management review process (**STD-GR-2014**)

Act

- Take action to address trends and commonly occurring recommendations

Responsibilities

- **Business Unit Managing Directors:** Are responsible for appointing Investigation Managers for all Level 3 incidents and signing off Level 3 investigation reports
- **Business Stream Heads of SHE / Group HSW:** Are responsible for acting on commonly occurring recommendations
- **Business Unit SHE Managers:** Are responsible for sending the initial notification of potential Level 2 and Level 3 incidents, ensuring all incidents are captured on Novade, reporting RIDDOR incidents to the relevant enforcing authority and clients (where required), arranging peer reviews of Level 2 and Level 3 investigation reports, and organising Incident Review Boards & sending IRB outcomes to Group business assurance.
- **Owners of incident recommendations:** Are responsible for ensuring actions are implemented in-line with recommendations made

Related Documents

- Incident reporting and investigation toolkit documents. Those marked with an asterisk are replicated inside Novade and these must always be used:
 - [SHEMS-GUI-GR-011](#) Incident Golden Hour Poster
 - [SHEMS-FOR-GR-053](#) Initial Incident Report Form *
 - [SHEMS-FOR-GR-167](#) Investigation Report template (Level 1) *
 - [SHEMS-FOR-GR-055](#) Investigation Report template (Levels 2 and 3) *
 - [SHEMS-FOR-GR-129](#) Service Strike Investigation *
 - [SHEMS-GUI-GR-054](#) Investigation Action Plan (Level 2 & 3)
 - [SHEMS-FOR-GR-057](#) Witness Statement
 - [SHEMS-GUI-GR-105](#) Resource Guide for Internal Investigations
 - [SHEMS-GUI-GR-150](#) Kier LLP Investigations Briefing Note Guidance
 - [SHEMS-GUI-GR-227](#) Group IRB Template
- Other documents:
 - [SHEMS-STD-GR-005](#) Legal and Other Requirements Standard
 - [SHEMS-STD-GR-006](#) Just and Fair Culture Standard *
 - [STD-GR-2014](#) Management Review Standard
 - [SHEMS-GUI-GR-104](#) RIDDOR Guidance
 - [SHEMS-GUI-GR-301](#) Classifying and Recording Environmental Incidents *
 - [SHEMS-GUI-GR-150](#) Kier LPP Investigations Briefing Note