



# RIS-3119-TOM issue 3

## Accident and Incident Investigation

### Briefing note

#### Background

Accidents and incidents are experienced in the industry. Adopting a consistent approach to investigations means causes are more likely to be understood and the learning more effectively shared, enabling an overall reduction in incidents.

#### What is it about?

The standard provides requirements and guidance on conducting effective investigations, including:

- the legal requirements and safety responsibilities for investigations and adverse event reporting;
- why investigations are necessary;
- how the investigation process works; and
- good practice for investigators, including constructing an effective report, gathering and analysing evidence, understanding and applying human factors.

#### What has changed?

The standard has been revised and updated.

An update to the Safety Management Intelligence System (SMIS) sees new detailed sub-categories added for the Human Performance Factors and 10 Incident Factors, enabling more detailed classification of causes. These new sub-categories are now included in Appendix H7, with detailed tables showing guidance and examples.

In response to requests to look at the quality and consistency of investigations, the following changes are included in issue 3:

- Appendix P provides additional guidance and clarity on levels of signal passed at danger (SPAD) investigations and who is the lead investigator.
- Appendix K clarifies the structure and content of investigation reports, specifically the 'factors for consideration' section.
- Amendments in guidance to encourage industry to collaborate on one industry investigation.
- Minor amendments to improve clarity and consistency, with references to documentation or legislation updated.

#### What are the benefits?

The key benefits of this work are in safety. These changes will support higher quality investigations. More focused classification of causes will improve trend information, assisting industry learning, and reducing incidents. The financial benefit is expected to be around £340,000 over five years.

#### Who is it for?

This standard applies to anyone involved in the investigation process. The update will be particularly important to investigators, investigation panel members and reviewers, and Designated Competent Persons (DCPs) for investigations.