



**HAZARDOUS INSTALLATIONS DIRECTORATE
SI1 - HM INSPECTORATE OF MINES**

SERIOUS INCIDENT RESPONSE MANUAL

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PART 1 - INTRODUCTION

Purpose

1. This document is aimed only at inspectors in the Hazardous Installations Directorate, Specialised Industries, Unit 1 (SI1) – HM Inspectorate of Mines (MI). It is one of MI's Permanent Manuals and sets out the procedures used by MI when **responding to serious** incidents.
2. The document **does not cover** the procedures for **investigating** major incidents, as this is covered in HSE's Corporate Instructions (see below). Neither does it cover the procedures for investigating serious non-major incidents, as this will be covered by MI's Investigation Manual, which is currently being developed to replace several old CIMs currently contained within HID's Previous Document Series.

Relationship with HSE's Framework Documents

1. This document applies the requirements set out in HSE's Corporate Instructions 'Document G - Major Incident Response and Investigation Policy and Procedures' http://intranet/framework/ops_major_incident/.
2. These arrangements comply with HSE's Enforcement Statement/Quality Statement for Continuing Aim 2 - To secure compliance with the law in line with the principles of proportionality, consistency, transparency and targeting on a risk-related basis. http://intranet/framework/qual_framework/.

Serious and major incidents

1. HSE's Corporate Instructions on Major Incident Response and Investigation define a major incident as:

'...a significant event which demands a response beyond the routine. Significance is determined by the severity of the incident, the degree of public concern and the nature and extent of HSE's previous involvement with the duty holder(s); though the nature of previous involvement would not alone trigger a major incident investigation.'
2. The Executive, in consultation with relevant Directors and Heads of Division, decides if a particular event is significant enough to categorise as a major incident. As the incident develops and more information becomes available the status of the investigation may change.
3. Incidents **likely** to be classified as major incidents include:
 - Multiple fatalities or multiple seriously injured casualties;
 - Single fatality or several seriously injured casualties where HSE had been involved in a permissioning process;
 - Entrapment of one or more persons below ground for a protracted period;

- Significant surface events causing damage or injury to members of the public outside the mine curtilage (e.g. a major spoil heap or lagoon failure).
4. MI will respond immediately to those serious incidents the Executive might categorise as major incidents. MI will also respond to other serious incidents in line with the requirements set out in its yearly plans of work.

Priorities

5. The priority for mines inspectors responding to such incidents is to seek to ensure as far as possible, within the limits of their own competence, that appropriate steps are being taken by the duty holder(s) to:
- prevent any further loss of life;
 - rescue survivors;
 - secure the evidence;
 - investigate the incident.

PART 2 – RESPONDING TO SERIOUS INCIDENTS

Scope

1. This part sets out the Mines Inspectorate's policy and procedures for responding to serious incidents in the underground mining sector.

Key Responsibilities

Chief Inspector of Mines

2. The Chief Inspector of Mines (CIM) will:
 - notify the Head of the Hazardous Installations Directorate and, in office hours, HID Secretariat, and provide initial information on the nature of the incident. Outside office hours, in addition to the Head of Directorate, notify HSE's duty officer and duty press officer. Appendix 1 contains a list of issues to consider;
 - ensure that regular updates on the progress of the incident, and HSE's response, are provided to them.

Principal District Inspector of Mines

1. The Principal District Inspector (PDI) will:
 - where the PDI is the first person in HSE to be notified of a serious incident:
 - determine the known facts of the serious incident;
 - ensure that an inspector is briefed and instructed to leave for the mine;
 - ensure that the CIM is notified of the serious incident as soon as initial response arrangements are completed;
 - ensure that accurate and up-to-date information concerning the progress of the incident and significant developments is regularly provided to the CIM;
 - when the CIM cannot be contacted, undertake the CIM duties detailed above. In this case the PDI's duties to manage response will take precedence;
 - ensure that, where appropriate, the first-response inspector has sufficient back-up to establish communications and to allow an inspector to go underground if necessary;
 - when a continued HSE presence is required, organise staff on a rota basis;
 - ensure that HSE staff responding to an incident have access to reasonable facilities, including a telephone and, where possible,

office accommodation. Arrangements should be made through our REFIT IT partner, for a mobile emergency room if required;

- ensure that any specialist staff are alerted should they be required;
- ensure that inspectors who go underground have clear instructions.

Inspectors of Mines (all disciplines)

1. The first-response inspector will:

- when directed by the PDI or CIM, leave for the mine as soon as possible;
- if they are the first person in HSE to receive information from a mine that a serious incident has occurred:
 - determine the known facts of the incident;
 - immediately notify the PDI or, if the PDI cannot be contacted, the CIM, that such an incident has occurred;
 - if the CIM cannot be contacted immediately, contact another inspector to stand-in for the PDI, appraise them of the known facts, and then leave to travel to the mine as soon as is safely possible.

2. The stand-in inspector should then:

- make one further attempt to contact the PDI and CIM. If neither of them is available notify in the following order:
 - the Director of the Hazardous Installations Directorate (at any time);
 - in office hours, HID Secretariat (HQ1A) (who will in turn notify HSC/E Secretariat and Press Office);
 - out of office hours, HSE's duty officer and duty press officer;

and tell them:

- his name and contact number(s) and that he is standing-in for the PDI;
 - that a serious incident has occurred giving as much detail as is reasonable at that stage (see Appendix 1);
 - the estimated time of arrival at the mine of the first-response inspector;
- assume the duties of the PDI;

- remain available by telephone to co-ordinate the response until such time as effective communication arrangements are put in place;
 - periodically, try to contact the PDI and CIM.
3. On arrival at the mine the first-response inspector will:
- notify the PDI;
 - make contact with the mine manager or person exercising the mine manager's duties;
 - notify the Police Senior Supervisory Officer where an accident involves a work related death.
 - where the mine has put into place the procedures detailed in its emergency plan, make contact with the Incident Controller;
 - determine as far as possible and as appropriate:
 - the number of casualties and their likely condition;
 - the general state of the underground environmental conditions and the risks posed to those still below ground;
 - whether people are being evacuated from the mine in accordance with the emergency plan;
 - whether the Mines Rescue Service (MRS) has been called if likely to be required;
 - that checks are being instituted on the location and extent of withdrawal of people from underground;
 - the availability of the means of egress;
 - where there are potentially flammable, toxic or suffocating gases in return airways, that controls are being applied to secure that no-one enters upcast shafts, return outlets, air locks and fan drifts other than in an emergency, under proper control and with any equipment necessary to secure their safety;
 - that an effective checking system is in force for the control of persons going into and coming out of the mine;
 - that electrical power is not being used in hazardous circumstances;
 - that efficient communications are available between the surface and the mine workings;
 - that an assessment of air sampling requirements is made and a plan showing sample stations drawn up;

- that arrangements have been made to secure the services of a mobile laboratory;
 - that the Incident Controller has made arrangements for keeping a detailed record of all actions, instructions and reports in a book. Key decisions should be separately recorded so that oncoming Incident Controllers and inspectors can readily assess the position without having to read through a lengthy logbook;
 - with reference to the above, as soon as possible after arrival and within 30 minutes, provide the PDI with assessment of:
 - how the incident has developed;
 - its seriousness;
 - its potential duration;
 - the effectiveness of incident control arrangements;
 - likely requirements both in the short and longer term, including any specialist services.
4. All other inspectors attending the incident should ensure that:
- there is continued liaison with the mine manager, incident controller, incident committee, MRS officers, and others, as appropriate, to monitor the progress of the incident, giving advice as they see fit;
 - regular reports are provided on progress to the PDI, and on request to the CIM, the Director HID, or HID Secretariat;
 - any development likely to give rise to significant interest or concern away from the mine is reported to the PDI;
 - the Rescue Apparatus Testing Officer (RATO) is notified of the wearing, or intention to wear, breathing apparatus;
 - potential witnesses are identified for interview at a later date;
 - they keep a written record of their actions (including key details of any telephone conversations), observations and evidence collected whilst on duty during the emergency¹;
 - they do not go underground without the express agreement of the PDI, that they have clear instructions when they do so, and that there is another inspector available on the mine surface;

¹ Inspectors should bear in mind that evidence might be destroyed or may not be available at a later stage, e.g. a district might have to be sealed off before the emergency is over. Inspectors should use a new notebook for this purpose so that, in the event of it having to be produced as evidence in court, no extraneous material will be included

- if they do go below ground, they maintain regular contact with an inspector in the incident control room, and any others as appropriate;
- details of their arrival at and departure from the mine are logged in the mine owner's emergency incident book.

5. Within the limits of their competence, inspectors should ensure:

- that duty holders have taken sufficient steps to ensure that those involved in the control and recovery work are not exposed to unnecessary significant risks, and that clear instructions have been given;
- rescue workers do not go into an irrespirable atmosphere unless duty holders have duly considered and eliminated alternatives that do not require the use of RPE;
- the incident site or area is disturbed no more than is necessary.

PART 3 - TESTING, MONITORING, AUDIT AND REVIEW OF RESPONSE ARRANGEMENTS

Review and revision of these instructions

1. The PDI and the person nominated by the PDI to be responsible for maintaining this controlled document will review, and if necessary revise, it annually or when issues are identified which require changes in the document.

Testing and monitoring

2. Paragraph 65 of the Approved Code of Practice to Regulation 11 of The Escape and Rescue from Mines Regulations 1995 gives practical guidance on complying with the requirements placed on mine managers to ensure that people working at mines are trained what to do in an emergency situation. This includes carrying out a desktop mock emergency exercise at each mine at least annually.
3. The Principal District Inspector should, periodically, treat these mock emergencies as serious incidents for the purposes of testing communications **within the Directorate**, and should put into effect those instructions relating to communication with others up to and including the Head of Directorate and HID Secretariat.
4. Inspectors notified of such mock emergencies should note the time that they were notified and estimate how long it would take them to arrive at the mine.
5. The PDI should assess how HSE responded to the serious incident and draw to the CIM's attention any apparent difficulties and, if necessary, initiate a review of the relevant parts of this document.

APPENDIX 1 - SERIOUS INCIDENT NOTIFICATION DETAILS

The following headings provide a checklist of the types of information inspectors may need to provide during the early stages of a serious incident response. Inspectors should keep a timed and dated note of the information they provide and to whom in HSE they provide it.

Section 1 - General information

Name and type of mine Location of incident at the mine

Type of incident Date and approximate time of the incident

Section 2 - Casualties and people affected

Workers or members of the public:

Killed Seriously injured Missing Otherwise affected (say how)

Section 3 - Other information

Has HSE previously given an exemption or any other form of legal permission that might have a bearing on the incident?

Has HSE previously received statutory notification of any matter that might have a bearing on the incident?

Press interest

Is there any press interest? If yes, say to what extent and by whom if known.

Has the mine owner, manager or any other person made a statement or issued a press release? If yes, say who and when (but not what it contained)

Wider significance

Are there immediate or longer term implications? If so, what are they?

Section 4 - Summary of the incident

Provide a brief summary of key points, key decisions, current position, and where appropriate, any developments since the last report.

Section 5 - Summary of HSE Action

Provide a brief summary of what inspectors have done since arriving, or since the last report.

Signed, name (print), position, date, time

APPENDIX 2 - SUMMARY OF RESPONSE TARGETS

What they have to do	Response target
Principal District Inspector of Mines	
Instruct an inspector to travel to site	Immediately after receiving notification
Notify the CIM that an incident has occurred and arrange subsequent communications	Immediately after notifying an inspector to travel to site
Notify the CIM of any significant development	Immediately on receiving notification
Arrange rota cover where necessary	Within four hours
Inspector of Mines	
When notified by the PDI or CIM - commence journey to mine	As soon as possible
When notified of an incident by the duty holder - notify PDI, or CIM, or another inspector, the Director of HID and HID Secretariat	Immediately on receiving notification
When notified by the duty holder - commence journey to mine	As soon as possible after notifying others
Make contact with the Incident Controller	On arrival at the mine
Inform the PDI that he has arrived at the mine	Immediately after contacting the incident controller
Provide the PDI with accurate and up-to-date information on the developing incident	As soon as practicable after the initial call but within 30 minutes
Report any significant development to the PDI or person exercising that role.	Immediately