

Accident and Incident Recording and Reporting Policy and Procedure

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| Status: | Live |
| Document Owner (position) | Head of Estates |
| Statutory / Recommended | Recommended |
| Date Adopted | 4 November 2019 |
| Revision | 1 |
| Review Date | November 2021 |
| Advisory Committee | Finance and Resources Committee |
| Linked Documents and Polices | Health and Safety Policy  Attendance at Work Policy and Procedure  Community Use Policy |

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8. Statement of Intent

The Consortium Academy Trusttakes the health and safety of our learners, staff, contractors and visitors very seriously. The Trust is dedicated to following the correct procedures at all times in order to ensure the safety of everyone on Trust premises.

To maintain a high standard of care, it is important to record and retain information about any incidents, accidents, diseases, illness or dangerous occurrences that take place at our academies or at events and activities organised by our academies. In addition, proper record keeping helps to identify and mitigate similar risks in the future, and ensures that academies have appropriate documentation available, should it be required.

The Trust relies on the co-operation of all its employees and the trades unions for the implementation and on-going success of this policy.

This guidance will be reviewed not less than every two years, or more often if required by legislative or operational change.

1. **Legal framework**

This guidance complies with the following legislation and guidance, including, but not limited to:

1. The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
2. Health and Safety at Work etc. Act 1974
3. DfE (2014) ‘Health and safety: advice for schools’
4. DfE (2014) ‘First aid in schools’
5. DfE (2014) ‘Emergency planning and response’
6. HSE The Health and Safety (First Aid) Regulations 1981 ACOP and Guidance. Third edition.
7. HSE Education Information Sheet No1 (Rev 3) ‘Incident Reporting in Schools’.
8. Reporting hazards
9. Staff, contractors and visitors have a duty of care to report any incident, condition or practice they deem to be a hazard, to a member of staff, their Line Manager or the academy office. Serious issues should be reported immediately. Appendix 1 provides definitions of the terms used for accident reporting. Learners should be encouraged wherever possible, to report hazards to a member of staff.
10. Reported hazards and incidents should be brought to the attention of the academy’s Facilities Manager or Health and Safety Lead as soon as possible, who will inform the Head Teacher as appropriate.
11. Serious issues must be recorded and reported to the Health and Safety Lead immediately, who will record all relevant information, investigate and where appropriate rectify the issue taking care to record all issues and outcomes.

1. Once rectified or otherwise dealt with, all stakeholders and concerned parties should be informed.
2. **Reporting and Recording procedure**
3. In the event of actual ill health or injury, the casualty must be assessed, and if necessary, treated by a First Aider and the appropriate action taken for the symptoms; e.g. treat injuries, refer to GP or hospital etc.
4. In the event of a fatality, the academy Health and Safety Lead, the academy Head Teacher, Trust’s CEO, Head of Estates and the competent Health and Safety adviser must be informed immediately.
5. All instances of verbal abuse, first aid no matter how minor, and near misses, must be recorded as soon as possible to the time of treatment or assessment. This information must be passed to the person responsible for collating the statistics at your site within 24 hours.
6. Attending staff are responsible for ensuring that details of the incident are recorded.
7. The Accident Book, or its equivalent, must be completed. Identify what happened and record the details of the injury or illness and any other relevant information on the form. The form must be forwarded to the academy Health and Safety Lead.
8. For any incident that results in a head injury, seeking further medical attention, hospitalisation or if there are any concerns regarding the events surrounding the incident, the academy’s Health and Safety Lead, or their nominated representative should complete an Accident and Incident Recording / Investigation Form (Appendix 2) as soon as possible.
9. For more serious incidents, including near-misses, the academy’s Health and Safety Lead must conduct an investigation appropriate to the severity of the incident. Guidance is available from the attached Incident Management, Investigation and Reporting Guidance Document (Appendix 3). Written statements should be obtained from all witness and participants, photographs and CCTV footage also should be considered.
10. All investigations and any outcomes should be recorded and kept with the relevant accident record. These records can be kept electronically, however the academy must ensure an appropriate level of security is applied to comply with the General Data Protection Regulation to prevent data protection breaches
11. **Each academy must appoint a member of staff to be responsible for compiling and maintaining the accident and incident statistical records for the site on the sites own School Information Management System (SIMS). The following information is required; Date and time of incident; name, year and tutor group; details and cause of injury; any action taken i.e. medical treatment, return to lesson etc.; is the incident considered reportable to HSE; name of first aider.**
12. **Accident and incident statistics should be forwarded to the academy’s Health and Safety Lead, who will analyse the data for trends on a calendar-month basis. Any identified trends or patterns should be investigated, the investigation recorded and reported to the academy H&S Committee and the Trust’s Head of Estates.**
13. **Accident and incident statistics must be forwarded to the Trust’s Head of Estates**

**when requested, who will in turn present this information to the Trust’s Finance**

**and Resources Committee.**

1. Lettings must follow the local rules as stated in the Trust’s Community Use Policy or Lettings Guidance Documents. Copies of accident records for any significant injury, ill health or near-miss should be sent to the academy’s Health and Safety Lead.
2. All records must be kept in accordance with the Trust’s Document Retention Policy.
3. Accident investigation
4. **For all recorded incidents and near misses with the potential for significant harm, the academy Health and Safety Lead will look into the circumstances of each event and establish if there is a need for further investigation. Further guidance is available in the East Riding of Yorkshire Councils Incident Management, Investigation and Reporting Safety Guidance Document in Appendix 3.**
5. **If there is any queries or uncertainty surrounding the incident, the Trust’s competent Health and Safety Advisor and Head of Estates must be consulted.**
6. **The level of investigation will depend on the circumstances and severity of any injury. All investigations must be recorded. For consistency please use the recording form in Appendix 2.**
7. **As part of any investigation the corresponding risk assessments will be reviewed and where necessary amended to minimised any reoccurrence of the accident. Revised risk assessments and method statements must be forwarded to the Head of Estates and recirculated to the appropriate personnel.**
8. Notification to the HSE
9. Significant accidents, which are defined in the RIDDOR Regulations 2013 must be reported to the HSE as soon as possible.
10. Significant accidents are outlined in Appendices 4 and 5. For further information and guidance, please consult The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 and Incident reporting in schools (accidents, diseases and dangerous occurrences) guidance document. (Appendix 5)
11. **For confirmation that any incident is reportable, the academy Health and Safety Lead must contact the Trust’s Competent Adviser for guidance and assistance. If it is confirmed as reportable the Trust’s Head of Estates must be notified.**
12. **The designated person will complete the RIDDOR form online (**<http://www.hse.gov.uk/riddor/report.htm>**)** or, if it is essential to submit a report by post, send it to:

RIDDOR Reports, Health and Safety Executive

Redgrave Court, Merton Road

Bootle, Merseyside

L20 7HS

1. Alternatively, the designated person can report fatal, specified and major incidents via telephone on 0345 300 9923 (open Monday to Friday 8.30am to 5pm).

Appendix 1: The definitions of the terms used in accident reporting

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| --- | --- |
| **Section** | **Definition** |
| Dangerous Occurrences: | Significant event, e.g. collapse, overturning or failure of a load-bearing component of lifting equipment, closed vessel or associated pipework; the collapse of a scaffold more than five metres high |
| Near misses: | Incidents, accidents or emergencies which did not result in injury, but have the potential to harm. E.g. a brick falling from a height, but not injuring anyone.  Conduct and record investigation and review risk assessments if significant. |
| Minor injuries: | Sprains, strains and bruising; cuts and grazes; wound infections, minor burns and scalds; minor head injuries; insect and animal bites; minor eye injuries; minor injuries to the back, shoulder and chest.  Most likely would be dealt with by a qualified First Aider and may be referred to seek further medical advice.  Record in accident book. Conduct and record investigation and review risk assessments if significant. |
| Major injuries: | Fractures, other than to fingers, thumbs or toes; amputations; crushing to the head or torso causing damage to the brain or internal organs; serious burns; chemical or hot metal burn to the eye; penetrating eye injury; electric shock or electric burn leading to unconsciousness; scalping; loss of consciousness due to asphyxia or exposure to harmful substances; loss of sight; any injury likely to lead to loss of, or reduced, sight; any injury that leads to hypothermia or heat-induced illness; pain that is not relieved by simple pain killers; acute confused state; persistent, severe chest pain or breathing difficulties; dislocation of any major joint including the shoulder, hip, knee elbow or spine; loss of consciousness or medical treatment arising from absorption of any substance by inhalation, ingestion or through the skin; exposure to a biological agent, its toxin, or infected material; injury requiring admittance to hospital and/or resuscitation.  Record in accident book. Conduct and record investigation and review risk assessments if significant. Determine if incident is reportable. |
| Fatalities: | Injury resulting in death.  Contact Competent Adviser and notify Head of Estates and CEO.  Record in accident book. Conduct and record full and in-depth investigation. Review risk assessments.  These incidents are reportable. |



**Appendix 2**

**Accident and Incident Recording Form**

**Including near-miss incidents and accident investigation**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | | | |
| About You (The person completing this form) | | | | | | | | | | |
|  | | | | | | | | | | |
| Title | Forename | | | Surname | | | | | | |
|  |  | | |  | | | | | | |
|  |  | | | | |  | | | |  |
| Job Title |  | | | | | Your Phone Number | | | |  |
|  | |  | | | | | | |  | |
| Academy | |  | | | | | | |  | |
|  | | | | | | | | | | |
| Address Line 1 | |  | | | | | | |  | |
| Address Line 2 | |  | | | | | | |  | |
| Town | |  | | | | | | |  | |
| County | |  | | | | | | |  | |
| Post Code | |  | | | | | | |  | |
|  | | | | | | | | | | |
| Your work email | |  | | | | | | |  | |
|  | | | | | | | | | | |
| Did the incident happen at the above address? | | |  | | Yes | |  | No | | |
| ***If ‘Yes’ please GoTo Page 2*** | | | | | | | | | | |
|  | | | | | | | | | | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***ONLY complete this section if the incident happened away from your work base*** | | | | | | | | | | | | | | | | | | | | | | |
| Other details about where the incident happened | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | |  | | | | | | | | | |
| Where did the incident happen? | | | | | | | | | | | | |  | | | | | | | | | |
|  | | | | | | | | | | | | |  | | | | | | | | | |
| Address Line 1 | |  | | | | | | | | | | | | | | | |  | | | | |
| Address Line 2 | |  | | | | | | | | | | | | | | | |  | | | | |
| Town | |  | | | | | | | | | | | | | | | |  | | | | |
| County | |  | | | | | | | | | | | | | | | |  | | | | |
| Post Code | |  | | | | |  | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | |
| Details of where the accident happened (if the address is not known) | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | |
| **About the incident** | | |  | | | | | | | | | | | | | | | | | |
|  |  | |  | | | | | | | | | | |  | | |  | | | |
| Incident date: |  | | Incident time 24hr clock: | | | | | | | | | | |  | | |  | | | |
|  | | | | | | | | | | | | | | | | | | | | |
| Where on the premises/site, did the incident happen? | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | |  | |
|  | | | |  | | | | | | | | | | | | | | | | |
| **About the kind of incident.** Select **one** of the following | | | | | | | | | | | | | | | | | | | | |
|  | | | | | |  | | | | | | | | | |  | | | | |
| Contact with machinery | | | | |  | Drowned or asphyxiated | | | | | | | | | | | | | |  |
| Struck by object | | | | |  | Exposure to harmful substance | | | | | | | | | | | | | |  |
| Struck by moving vehicle | | | | |  | Exposed to fire | | | | | | | | | | | | | |  |
| Struck against | | | | |  | Exposed to explosion | | | | | | | | | | | | | |  |
| Lifting and handling injuries | | | | |  | Contact with electricity | | | | | | | | | | | | | |  |
| Slip, trip, fall same level | | | | |  | Injured by an animal | | | | | | | | | | | | | |  |
| Fall from height\*\* | | | | |  | Physical assault | | | | | | | | | | | | | |  |
| Trapped by something collapsing | | | | |  | Another kind of accident | | | | | | | | | | | | | |  |
| Verbal abuse | | | | |  |  | | | | | | | | | | | | | |  |
|  | | | | | |  | | | | | | | | | | | | | | |
| *\*\*If a fall from height, how high was the fall in metres* | | | | | | | | | | | |  | |  | | | | | | |
|  | | | | | | | | | |  | | | | | | | | | | |
| Tick box if incident was a road traffic accident (RTA) | | | | | | | | | | | | | | |  | | | | | |
|  | | | | | | | | | | | | | | | | | | | | |
| **Work process involved in the incident**  Select one of the following | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | |  | | | | | | | | | | | | |
| Production, manufacturing or processing | | | | |  | | | Monitoring/inspection | | | | | | | | | | | |  |
| Storing/warehousing | | | | |  | | | Service or assistance to the public | | | | | | | | | | | |  |
| Construction - new building | | | | |  | | | Teaching, training, office work | | | | | | | | | | | |  |
| Construction - civil engineering, infrastructures, roads, bridges, ports | | | | |  | | | Commercial activity - buying, selling and associated services | | | | | | | | | | | |  |
| Construction - remodelling, repairing, extending, building maintenance | | | | |  | | | Maintenance, repair | | | | | | | | | | | |  |
| Demolition | | | | |  | | | Movement, including aboard transport | | | | | | | | | | | |  |
| Agricultural work, forestry, horticulture, fishing, work with animals | | | | |  | | | Sport or artistic activity | | | | | | | | | | | |  |
| Cleaning - industrial or manual | | | | |  | | | Other processes not listed above | | | | | | | | | | | |  |
| Waste management, disposal, treatment | | | | |  | | |  | | | | | | | | | | | | |
| **Main factor involved in the incident** Select one of the following | | | | | | | | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | | | | | | | |
| Electrical problem, explosion or fire | | | | | | | | |  | | Being caught or carried away by something (or by momentum) | | | | | | | | | | |  | |
| Overflow, leak, vaporisation or emission of liquid, solid or gaseous product | | | | | | | | |  | | Lifting, carrying standing up | | | | | | | | | | |  | |
| Breakage, bursting or collapse of material | | | | | | | | |  | | Pushing, pulling | | | | | | | | | | |  | |
| Loss of control of machinery, transport or equipment | | | | | | | | |  | | Putting down, bending down | | | | | | | | | | |  | |
| Slip, stumble or fall | | | | | | | | |  | | Twisting, turning | | | | | | | | | | |  | |
| Walking on sharp object | | | | | | | | |  | | Shock, fright, violence aggression\*\* | | | | | | | | | | |  | |
| Kneeling, sitting or leaning on an object | | | | | | | | |  | | Other cause not listed above | | | | | | | | | | |  | |
| |  |  | | --- | --- | | *\*\*If shock, fright, violence or aggression, please specify whether it was:* | | | Physical and wilful violence or aggression |  | | Non-wilful violence or aggression |  | | Verbal abuse / intimidation / threatening behaviour (face-to-face or other) |  | | | | | | | | | | | | | | | | | | | | | | | | |

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| **\*Describe what happened** |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **About the Injured Person** | | | | | | | | | | | | |
|  | | | | | | | | | | | | |
| Title | | Forename | | | | | Surname Year & Tutor Group | | | | | |
|  | |  | | | | |  | | | | | |
|  | | | | | | | | | | | | |
| Address Line 1 | | |  | | | | | |  | | | |
| Address Line 2 | | |  | | | | | |  | | | |
| Town | | |  | | | | | |  | | | |
| County | | |  | | | | | |  | | | |
| Post Code | | |  | | | | | | Phone No | | |  |
|  | | | | | | | | | | | | |
| Gender | Male | | |  | Female | |  | | Age | | |  |
| **Injured person’s employment status** | | | | | | | | | | | | |
| What is the person’s occupation or job title? | | | | | | | | |  | | | |
|  | | | | | | | | | | | | |
| Was this person on a school trip? | | | | | | Yes | |  | | No |  |  |
|  | | | | | |  | |  | |  | | |

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| --- | --- | --- | --- | --- | --- |
| **\*Was the injured person:** Select one of the following | | | | | |
|  | One of your employees? |  | On a training scheme? |  | Employed by someone else? |
|  | On work experience? |  | Self-employed and at work? |  | Member of the public? |
|  | Child/Pupil? |  | Resident/Service User? |  | Volunteer? |
|  | | | | | | |
| Details if the injured person was on a training scheme/employed by someone else.  i.e. company name & address | | | | | | |
|  | | | | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **About the injured person’s injuries** Select one of the following | | | | |
|  | | | | |
| Amputation | |  | Asphyxia or poisonings |  |
| Loss of sight | |  | Strains and sprains |  |
| Fracture | |  | Superficial injuries |  |
| Dislocation without fracture | |  | Multiple injuries |  |
| Concussion and/or internal injuries | |  | Electric shock |  |
| Lacerations and open wounds | |  | Natural causes |  |
| Contusions and bruising | |  | Other known injuries |  |
| Burns | |  | Other not known |  |
|  | | |  | |
| **Part of the body affected**Select one of the following | | | | |
|  | | | | |
| Eye | |  | Wrist |  |
| Ear | |  | Upper limb |  |
| Other parts of face | |  | Several upper limb locations |  |
| Head | |  | Toe |  |
| Several head locations | |  | Foot |  |
| Neck | |  | Ankle |  |
| Back | |  | Lower limb |  |
| Trunk | |  | Several lower limb locations |  |
| Several torso locations | |  | Several locations |  |
| Finger or fingers | |  | General locations |  |
| Hand | |  | Unknown locations |  |
| **If the injured person was an employee** | | | | | |
| *Please check as many of the following 4 options as apply:* | | | | | |
|  | The injured person became unconscious | | | | |
|  | The injured person needed to be resuscitated | | | | |
|  | The injured person remained in hospital for more than 24 hours | | | | |
|  | None of the above | | | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **What was the severity of the injury?** | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
|  | | | Fatality |  | | Major injury | | |  | | Injury preventing the injured person from working for more than 7 days | | |  | | Member of the public - taken directly to hospital |
| **Or Lost time option** | | | | | | | | | | | | | | | | |
|  | No absence | | | |  | | 1-3 days | | |  | | 4-7 days | | | *Required for employees only* | |
| *Please specify start date of absence (if different to the date of the incident)*   |  | | --- | |  |  |  | | --- | |  |   *Please specify the return to work date (if known)* | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| **Preventative Action**  What action has been, (or will be), taken to prevent recurrence? | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
|  | | Risk Assessment Review | | | | | |  | | Protective clothing obtained | | |  | Discipline | | |
|  | | Guarding | | | | | |  | | Protective clothing enforced | | |  | Prohibition | | |
|  | | Training | | | | | |  | | Supervision | | |  | Procedures | | |
|  | | Repairs requested | | | | | |  | | Other | | |  |  | | |
|  | | | | | | | | | | | | | | | | |
| **Give brief explanation of preventative actions**; List any other actions and give brief explanation | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Give details of the perpetrator**  ***For use only if the incident was assault or violence related and the details are known.*** | | | | | | | | |
|  | | | | | | | | |
| Name | | | | | | | |  |
| Address | | | | | | | |  |
| **Level of Investigation undertaken** | | | | | | | | | |
| Minimal |  | Low |  | Medium |  | High |  | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Please contact the Trust’s Competent Advisor for advice or if assistance is required.  **You must notify the Trust’s Head of Estates if the level of investigation is “High”**   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | Name: |  | Position: |  | Date |  | |  | | | | | | | By ticking this box  I confirm that the information contained on this form is, to the best of my knowledge, a true reflection of the information obtained in relation to this incident at the time of completion. | | | | | | |  | | | | | |     When complete this form must be sent immediately to the academy Health and Safety Lead.  If this incident is reportable to the HSE under RIDDOR, please contact the Trust’s competent Health  and Safety Advisor for advice and guidance; and notify the Trust’s Head of Estates. |

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# Incident Management, Investigation and Reporting

# Safety Guidance Document

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| --- | --- |
| **Lead Directorate and Service:** | Corporate Resources - Human Resources, Safety Services |
| **Effective Date:** | October 2018 |
| **Contact Officer/Number** | Garry Smith / 01482 391110 |
| **Approved by:** | CMT Minute 18262 1st October 2018 |

**1. Background**

1.1 This safety guidance document provides information on how to investigate and report accidents and incidents, including those of violent/aggressive nature.

**2. Foreword**

2.1 In accordance with the Councils’ corporate safety policy, the Council is committed to pursuing continual improvements in health and safety. This safety guidance document supports this commitment and forms part of the Council’s health and safety management system.

**3. Implementation**

3.1 Directorates are responsible for the implementation of this safety guidance document, and communication of its content as appropriate.

3.2 This safety guidance document is to be fully implemented by schools.

3.3 This safety guidance document is available on the safety services intranet page and, where employees do not have access to the Council’s intranet, via their line manager/headteachers.

3.4 The Council relies on the co-operation of all employees, and trades unions for the successful implementation of this safety guidance document.

**4. Roles and Responsibilities**

**4.1 Directors and Heads of Service**

4.1.1 Directors and heads of services are ultimately responsible and accountable to the chief executive for ensuring this safety guidance document is issued to their management team.

**4.2 Managers and Headteachers**

4.2.1 Managers and headteachers are responsible for achieving the objectives of this safety guidance document where relevant to their area of service delivery and are responsible for ensuring that:

* The information contained within this safety guidance document is implemented and complied with;
* Appropriate levels of investigation are completed for all incidents;
* Incident report forms are completed and submitted
* Following an incident risk assessments are reviewed and updated and any lessons learnt incorporated into safety management systems;
* Employees are provided with information, instruction and training, as appropriate, to enable them to undertake their job safely.
* When requesting personal data from members of the public they ensure that any queries from the data subject are resolved and/or refer them to [www.eastriding.gov.uk/privacyhub](http://www.eastriding.gov.uk/privacyhub)

**4.3 Employees**

4.3.1 Employees must ensure they carry out assigned tasks and duties in accordance with information, instruction, training and agreed safe systems of work. Specifically they must ensure:

* They report incidents and near misses as soon as is practicable;
* This safety guidance document is complied with;
* They participate in investigations and the completion of incident report forms.
  1. **Safety Services**

4.4.1 The primary function of Safety services is to support the Council and its employees by providing professional, authoritative, impartial advice on all aspects of health, safety and wellbeing. Where managers or headteachers require further assistance, Safety services will advise on achieving compliance with this safety guidance document.

**5. What is an incident?**

5.1 All of the following are incidents that may need some degree of investigation and reporting**:**

* Accidents resulting in injury
* Violence and aggression
* Dangerous occurrences as defined by the Reporting of Incidents, Dangerous Occurrences and Diseases Regulations (RIDDOR)
* Occupational illnesses (see also RIDDOR)
* Near misses that cause no harm
* Vehicle collision
* Fires
* Damage to property and plant

**6. An Incident Occurs; Immediate Actions**

6.1 Any employee who discovers that an incident has occurred should:

* Call the emergency services if necessary, e.g. paramedic, fire service, coastguard or police,
* Without putting themselves at risk, make the area safe to prevent further injury/harm/damage or injury to others,
* Keep themselves safe without taking unnecessary risks,
* Assist casualties,
* Inform supervisors/managers’
* Note who is present including members of the public who may be witnesses,
* Preserve the scene as far as is possible.

**7. Supervisor or Manager receiving call that an accident/incident has happened**

7.1 When a call is received, the supervisor/manager must decide how best to support those at the scene. This may involve advising more senior managers and Safety services and an early decision that on scene support is necessary.

7.2 Consideration should be given to instigating alcohol/drug testing at an early stage where appropriate.

7.3 Service areas should consider what types of incident may foreseeably occur in their operations and develop plans to ensure that the situation can be dealt with effectively.

**8. Who will investigate the incident?**

8.1 Most incidents will continue to be investigated by the local supervisor or manager unless it involves or had the potential for any of the following:

* A fatality,
* A fall from height,
* A person being struck by a moving vehicle,
* A person being trapped by something collapsing or overturning,
* The potential that there could have been any one of the specified injuries within the Reporting of Industrial Diseases and Dangerous Occurrences Regulations:
  + fractures, other than to fingers, thumbs and toes
  + amputations
  + any injury likely to lead to permanent loss of sight or reduction in sight
  + any crush injury to the head or torso causing damage to the brain or internal organs
  + serious burns (including scalding) which:
    - covers more than 10% of the body
    - causes significant damage to the eyes, respiratory system or other vital organs
  + any scalping requiring hospital treatment
  + any loss of consciousness caused by head injury or asphyxia
  + any other injury arising from working in an enclosed space which:
    - leads to hypothermia or heat-induced illness
    - requires resuscitation or admittance to hospital for more than 24 hours

8.2 If any of the above apply, safety services must be contacted by the most effective method (in the case of the more significant events, this should be immediately) for further advice on how to proceed.

8.3 Safety services will determine whether to:

* Consult the service area Director to draw up a multi-disciplinary investigation team,
* Manage the investigation themselves, or,
* Support local managers to investigate thoroughly.

**9. The Investigation Process**

9.1 Investigations should start as soon as it is practicable.

9.2 The purpose of any investigation is to establish the facts about what happened during the incident and identify any relevant documents or records appertaining to the tools, equipment, vehicles, workplace, management systems and individuals involved.

**a. The Incident Scene**

If the scene has been preserved the task will be much easier; if not, eyewitness accounts may be used to try and recreate it.

Photographs, sketches and measurements may contribute to the understanding of the scene.

Record what personal protective equipment was in use by those involved and either inspect or impound it.

A record of any potential witnesses and their location relative to the scene should be established.

The equipment, plant or tools involved in the work activity (not just those immediately involved in the incident) must be identified and if necessary impounded for further examination.

The traffic and weather conditions.

**b. Witnesses - Statements and Interviews**

Part of the investigation process is to interview potential witnesses to identify whether they have any relevant information about the incident.

Keep witnesses apart, do not allow them to discuss the incident between themselves.

Interview them separately and as soon as possible after the incident.

Put them at ease and emphasise that the reason for the interview is to establish what happened and why, not to find blame.

Avoid asking questions which can be answered by a yes or no.

Ask open questions; do not lead.

Let them talk and actively listen. Do not interrupt.

Take notes and records, perhaps using another member of the team to do this.

Confirm that you have the statement correct.

It is ok to ask questions to seek clarity but do not prompt answers.

It is always preferable to write statements on behalf of the witness which they subsequently sign, but always allow them to write their own if they ask.

Always close any interview on a positive note.

**c.** **Relevant Records**

The following documents may need to be obtained:

Risk assessments and safe systems of work (including hazardous substances) relevant to the activities and equipment being used during the operation that was being undertaken at the time of the incident.

Equipment, plant or vehicle service and inspection documents including driver checks, log books and tachograph records.

Statutory inspection records, e.g. lifting equipment or pressure vessels.

Training records.

Site documentation including construction phase plans, attendance, site inspections, plant, scaffold or access equipment, tool box talks and briefing records.

Work orders or scheduling documents.

**d. Written reports**

At the conclusion of the investigation a report should be written. In its simplest form this will be an entry on the accident report form briefly detailing what went wrong and what actions have been taken.

More detailed reports will include:

* A factual description of what happened leading up to and during the incident, referring to supporting photographs, sketches, plans and measurements etc. where necessary.
* Other relevant factual matters relating to the incident.
* Facts of any proven, unsafe acts, omissions, etc.

**10. Remedial Actions**

10.1 When the investigation has concluded, sooner if any significant matter has been proven, the relevant service area will take any necessary remedial steps including a review of any relevant risk assessment and safe system of work. These reviews will be recorded on a revised copy of the risk assessment document.

**11 Incident Reporting**

11.1 All incidents are subject to some form of reporting mechanism, this may include a statutory duty such as under Reporting of Incidents, Diseases, Dangerous Occurrences Regulations, and the Road Traffic Act or for the purposes of insurance and internal procedures.

**a. Accidents resulting in injury and violence and aggression**

There is a statutory duty to report some accidents and incidents to the Health and Safety Executive. The Council also have to keep records of incidents that result in an absence of more than three working days.

The Council require all accidents that are work related to be recorded to identify accident trends and hotspots.

Incidents within this category are to be reported by line managers and supervisors (not the injured person) on an achieve form.

Safety services will manage the reporting of all these incidents to the Health and Safety Executive. Where any incident falls within the parameters detailed in 8.1; the opinion of Legal Services will be sought and Insurance Services advised before any explanation of the cause of the incident is provided to the HSE.

School’s access to the report is: [http://insight.eastriding.gov.uk/schoolforms/](http://insight.eastriding.gov.uk/directorates/cfs/schools/schools-achieve-form-links/)

Manager’s access to the Achieve input form is on “My Insight” in “My Apps”.

The form requires no input guidance as it is self-explanatory.

**b. What is an Accident for the purposes of RIDDOR?**

Any incident that results in an injury including violence and aggression even if that injury is ‘shock or fright’. This does not include incidents that result from an underlying medical incident or ill health such as hand arm vibration syndrome. Some work related illnesses are reportable separately.

Incidents involving members of the public including pupils, clients, service users etc. are also to be recorded if they are related to a work activity. For the purposes of accident recording, premises defects and management system failures are work related.

It is not necessary to record non-work related accidents to members of the public to comply with RIDDOR. It may, however, be prudent to record the circumstances of such incidents and carry out a suitable investigation for the purpose of assuring the injured person or their family and in the event that a civil claim is pursued. If such reports are submitted, Safety services will identify them so they can be flagged as “not statistical” and they will not show on any subsequent statistical reports.

**c. Dangerous Occurrences and Occupational Diseases as defined in RIDDOR**

Dangerous occurrences (except gas safety incidents) and occupational diseases (diagnosed by a registered medical practitioner) should be reported to Safety services as soon as possible. Safety services will manage any reporting to the HSE and assist, manage or draw an investigation team together as may be necessary.

In respect of any gas safety incident, an appropriately qualified engineer(s) in conjunction with their managers will carry out any investigation.

Such reports should be discussed and agreed with supervisory managers and safety services before submission; safety services will submit any report to the HSE.

**d. Near misses that cause no harm**

A near miss is any incident without any injury or loss. For example; the object that fell from a scaffold or ladder that struck nobody, the colleague using a cut off saw without respiratory protective equipment or water suppression.

Such incidents can be recorded on the Near Miss and Unsafe Behaviour Report at Appendix One, also available on Safety services Insight pages.

The report forms should be available to all employees and they may be submitted anonymously, however, it is preferred that they are processed through supervisors and managers so that any implications can be acted upon without delay.

Anonymous reports received by Safety services will be copied to the appropriate management team for information and any further action.

**e. Fires and Collisions involving Council Vehicles**

Any fire that damages our property will require appropriate documents to be submitted to the insurance section.

In addition to reporting some road traffic accidents to the police if you fail to exchange details with any third party, it will be necessary to complete the appropriate insurance forms.

**f. Damage to property and plant**

Damage to plant and minor property damage is often not covered by insurance and reports may be restricted to local managers or involve the organisation that owns any hired plant

**Appendix 4**

**NEAR MISS and UNSAFE ACT or CONDITION REPORT**

**Directorate: …………………………………………………………….**

**Service Area …………………………………………………………….**

**Date and Time of Occurrence: ………………………………………..**

**Was this? (tick one)**

|  |  |
| --- | --- |
| **An unsafe act or condition** |  |
| **Plant or equipment damage** |  |
| **A spillage or contamination** |  |
| **A near miss** |  |

**Describe what happened:**

**………………………………………………………………………………………………………………………**

**………………………………………………………………………………………………………………………**

**………………………………………………………………………………………………………………………**

**..............................................................................................................**

|  |  |  |
| --- | --- | --- |
| **Has the person been advised of their unsafe act and/or have you made the situation safe? (please circle)** | **No** | **Yes** |

**If No, please take further appropriate action but only if it is safe to do so.**

**If you wish to do so, please print your name and a contact phone number:**

**………………………………………………………………………………..**

**Hand this completed form to your supervisor/manager or fold and place in the internal mail, address below.**

**Safety Services**

**Room BG13**

**County Hall**

**Cross Street**

**Beverley**

**HU17 9BA**

**Appendix 4: Outline of reportable accidents and incidents**

1. Accidents to employees causing either death or major injury.
2. Accidents resulting in employees being away from work or being unable to perform their normal work duties for more than seven consecutive days. This seven-day period does not include the day of the accident.
3. Fractures, other than to fingers, thumbs and toes.
4. Amputation of an arm, hand, finger, thumb, leg, foot or toe.
5. Any injury likely to lead to permanent loss of sight or reduction in sight in one or both eyes.
6. Any crush injury to the head or torso, causing damage to the brain or internal organs.
7. Any burn injury (including scalding) which covers more than 10 percent of the whole body’s surface area or causes significant damage to the eyes, respiratory system or other vital organs.
8. Any degree of scalping requiring hospital treatment.
9. Any loss of consciousness caused by head injury or asphyxia.
10. Any other injury arising from working in an enclosed space which leads to hypothermia or heat-induced illness, or requires resuscitation or admittance to hospital for more than 24 hours.
11. Poisonings.
12. Skin diseases including but not limited to: occupational dermatitis, skin cancer, chrome ulcer, oil folliculitis/acne.
13. Lung diseases including but not limited to: occupational asthma, farmer’s lung, asbestosis, mesothelioma.
14. Infections including but not limited to: leptospirosis, hepatitis, anthrax, legionellosis and tetanus.
15. Other conditions such as occupational cancer, certain musculoskeletal disorders, decompression illness and hand-arm vibration syndrome.
16. The term ‘significant accidents’ is also used to describe incidents concerning equipment and the premises, including:
17. The collapse, overturning or failure of any load-bearing part of any lifting equipment.
18. **The explosion, collapse or bursting of any closed vessel or pipe work.**
19. **Electrical short circuit or overload resulting in a fire or explosion.**
20. **Unintentional explosion, misfire or failure of demolition to cause the intended collapse, projection of material beyond a site boundary, injury caused by an explosion.**
21. **Any accidental release of a biological agent likely to cause severe human illness.**
22. **Any collapse or partial collapse of scaffolding over five metres in height.**
23. **Unintended collapse of any building or structure under construction, alteration or demolition including walls or floors.**
24. **Any explosion or fire resulting in the suspension of normal work for over 24 hours.**
25. **Any sudden, uncontrolled release in a building of: 100kg or more of flammable liquid, 10kg or more of flammable liquid above its boiling point, 10kg or more of flammable gas or 500kg or more of these substances if the release is in the open air.**
26. **Accidental release of any substances which may damage health.**
27. **Serious gas incidents.**

**For further guidance please refer to The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.**