

HEALTH & SAFETY STANDARD ACCIDENT/INCIDENT REPORTING

SCHEDULE			
Title	Accident/Incident Reporting		
Issued By	The Corporate Health & Safety Team		
Approved By	Sue White, Principal Health & Safety Adviser		
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Note: This document is available on the Corporate Health and Safety Manual (CHASM) in SharePoint. It should be noted that any printed copy will be classed as uncontrolled and cannot be guaranteed to reflect the current version of the standard.

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1.0 INTRODUCTION

1.1 This Health and Safety (H&S) Standard sets out what is required to define the arrangements for the reporting, recording and investigation of all work related accidents and incidents or cases of ill health involving Dumfries and Galloway Council employees, members of the public, independent contractors, school pupils, service users and any other persons either on council premises or other locations where this may have arisen out of or in connection with the Council's business.

1.2 This procedure is intended to provide guidance on the measures to take to ensure all accidents and incidents occurring within the council are reported, thoroughly investigated and that adequate remedial action is taken as required to prevent future reoccurrence and ensure accurate records are kept on file.

2.0 PURPOSE AND SCOPE

2.1 To ensure that Dumfries & Galloway Council complies with its legal duties under:

- The Health & Safety at Work etc. Act 1974
- The Management of Health & Safety at Work Regulations 1999
- Other relevant documents

2.2 This standard applies to all employees of Dumfries & Galloway Council, who may be involved in accident/incident reporting. It also applies to contractors and service providers who are employed by the council.

2.3 The Chief Executive is committed to ensuring that all work related accidents and incidents are reported, recorded and investigated by persons competent to do so. Our council will comply with its legislative requirements to inform the appropriate enforcing authorities of notifiable dangerous occurrences and injuries sustained by persons arising out of or in connection with council work activities.

2.4 We shall ensure that sufficient resources are made available to further reduce the number of work related accidents within Dumfries and Galloway Council. We shall ensure that, following investigation, remedial action, where required, shall be prioritised and actioned to prevent/reduce the likelihood or consequence of future re-occurrences. Our staff and others affected by an incident in our undertaking, shall be fully supported.

3.0 ROLES AND RESPONSIBILITIES

3.1 Chief Executive

The Chief Executive is overall accountable for ensuring that our council has adequate arrangements in place for incident reporting, recording and investigation of incidents and that remedial action is taken, as required. This document outlines everyone's responsibilities and procedures in meeting our council requirements.

3.2 Directors

Each Director, in accordance with the corporate health and safety policy, shall prepare, communicate and keep up to date written directorate arrangements for incident reporting, recording and investigation of incidents and required remedial action. Any such arrangements to effect compliance with this procedure should be established and integrated into the health and safety management system.

Specifically Directors shall:

- Notify the Chief Executive of any fatalities, employee RIDDOR injuries or other serious incident/shortfalls that has the potential to cause significant harm to employees/others from our undertaking (imminent high risk incidents or RIDDOR specified injuries to be reported immediately)
- Report on employee RIDDOR incidents to Service Committee, as required within council performance monitoring template
- Clearly define and communicate the scope, roles and responsibilities and expectations of Heads of Service and directorate support persons and mechanisms
- Check the effectiveness and implementation of service management arrangements for incident management including remedial actions and compliance with RIDDOR
- Ensure directorate records of all incidents are held and accurately recorded on to the council incident database and statistics/trends reported are reviewed for action
- Support services with adequate resources to comply with incident management arrangements and identified prioritised preventative actions required
- Fully cooperate with the Corporate Health and Safety Team and/or Enforcing Authority (where applicable) during any subsequent investigation

3.3 Managers responsible for Services

Managers, in accordance with the Corporate and Directorate Health and Safety Policies, shall, prepare, communicate and keep up to date written service arrangements for incident reporting, recording and investigation of incidents and required remedial action.

Specifically Managers shall:

- Notify the Director and the Corporate Health and Safety Team immediately of any employee RIDDOR incidents or other serious incidents that had the potential to cause significant harm to employees/others from our undertaking
- Clearly define and communicate the scope, and relevant roles and responsibilities and expectations of persons within the service
- Report to the HSE, RIDDOR reportable incidents, within legal timescales after first contacting the Directorate Health & Safety Support Officer to ensure the accident/incident is required to be reported to the HSE
- Ensure council officers have adequate instruction, training, knowledge and experience, and where required make available additional specific expertise to meet their responsibilities
- Provide necessary time and equipment to allow appropriate investigations and, if warranted, make available further specialist/technical support
- Support resource in incident management arrangements and for the implementation of prioritised preventative actions required
- Ensure service records of all incidents are held and accurately recorded on to the council incident database and statistics/trends reported are reviewed for action
- Establish within their arrangements a system for monitoring the standard of investigations and ensuring the suitability and implementation of prioritised remedial actions
- Ensure that staff are appropriately supported and actions taken to feedback to the individual
- Ensure that lessons learnt are communicated, as appropriate, to prevent a reoccurrence elsewhere
- Fully cooperate with the Corporate Health and Safety Team and/or Enforcing Authority (where appropriate) during any subsequent investigation

3.4 Lead Occupier/Premises Manager

Lead Occupier/Premises Managers shall:

- Ensure local incident reporting arrangements are communicated to occupants and forms are readily available to non-workers visiting the building
- Incidents are properly investigated and any premise related remedial actions are taken, as appropriate
- Report to the HSE:
 - fatal accidents at their premises
 - accidents to non-workers that were injured as a result of the council undertaking and are taken immediately to hospital
 - Fully cooperate with the Corporate Health and Safety Team and/or Enforcing Authority (where appropriate) during any subsequent investigation

3.5 Line Managers/Head Teachers/Principal Officers/Supervisors

Line Managers/Officers/Supervisors and Head Teachers or nominated deputies shall:

- Ensure all accidents are appropriately reported, recorded and investigated utilising the [council reporting form](#)
- and that prioritised remedial action is taken, in accordance with their training and procedures (as per section 5)
- Notify their reporting manager immediately of any RIDDOR incidents and other significant incidents that had the potential to cause significant harm and complete additional [serious incident report form](#) where this is the case
- Carry out debrief post incident (as per section 8)
- Provide feedback to “injured”/“affected” persons and discuss with individual the need for additional support, as required
- Attend practical incident investigation training arranged by the council and undertake in-house on-line 3 yearly refresher course available
- If required, request support from your line manager, service safety liaison officer, directorate Health and Safety Officer or the Corporate Health & Safety Team
- Fully cooperate with the Corporate Health and Safety Team and/or Enforcing Authority (where appropriate) during any subsequent investigation

3.6 All Employees

All employees must:

- Comply with all instructions given to them in regard to reporting and recording accidents and incidents and report any shortfalls to their line manager or local management.
- Report any work-related accident, incident (including near miss) or ill-health to their manager.
- Fully complete Part A of the accident/incident report form for all work related accidents/incidents (or if they are incapacitated, someone may do this on their behalf).
- Notify their manager of any sickness absence directly linked to an accident/incident/ill-health at work.
- Fully cooperate with their manager, the Corporate Health and Safety Team and/or Enforcing Authority (where appropriate) during any subsequent investigation.

3.7 Contractors, Agency Staff, Interim Appointees, Elected Members & Volunteers

Contractors

All contractors, working under the council's undertaking, must report incidents to the Contract Administrator and the person in control of the site/premises. Contract Administrators (Property and Architectural Services (PAS) for council premises) and Site Managers/Lead Occupiers will need to satisfy themselves that actions have been taken to prevent re-occurrence.

Agency Staff, Interim Appointees, Councillors and Volunteers

All of the above have a responsibility to cooperate with the Council's Health and Safety Policy, which includes compliance with the council incident reporting arrangements.

Corporate Health and Safety Team

CHAST are required to notify the Director of Safety of any employee RIDDOR incidents or other serious incident/shortfalls that has the potential to cause significant harm and these are subject to discussion at monthly meetings with the Director for Safety.

Where required, the Corporate Health and Safety Team may support the Directorate Health and Safety Officers in RIDDOR investigations or where not available, or otherwise requested by a senior manager, to support management in a serious incident investigation. Any fatalities will be investigated by the Corporate Health and Safety Team, in conjunction with management/Directorate Health & Safety Officer and signed by the Head of Service.

Occupational Health Service

The Occupational Health Scheme provided by the council can support managers and individuals on assessing fitness on returning to work and advising on reasonable adjustments. Support to individuals also includes counselling and physiotherapy.

4.0 DEFINITIONS

- 4.1 **Accident** – an unplanned event which causes injury to a person, damage to plant, equipment or environment (or a combination of both) or loss.
- 4.2 **Incident** – an event or chain of events which has caused or could have caused injury, illness and/or damage (loss) to assets, the environment or third parties.
- 4.3 **Dangerous Occurrence** – is one of a number of specific reportable adverse events as defined under RIDDOR
- 4.4 **Non-worker** – Work related accidents involving members of the public who are not at work must be reported if a person is injured, and is taken from the scene of the accident to hospital for treatment to that injury. There is no requirement to establish what hospital treatment was actually provided, and no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent.
- 4.5 **Near Miss** - an unplanned event which does not cause injury or damage but has the potential to do so.
- 4.6 **Over 7 day injury to a person at work** – where an employee or self-employed person is away from work or unable to perform their normal work duties for more than seven consecutive days, not counting the day of the accident but includes days not normally worked such as weekends.
- 4.7 **RIDDOR** – Reporting of Injuries, Diseases and Dangerous Occurrences Regulations – the legal requirement for employers and others to report deaths, certain types of injury, some occupational diseases and dangerous occurrences that ‘**arise out of or in connection with work**’
- 4.8 **RIDDOR Specified Injury** – is one of a number of specific injuries as defined under RIDDOR requiring immediate reporting to the HSE and backed up with a report within 10 days
- 4.9 **RIDDOR Disease** – certain diagnosed diseases which are linked with occupational exposure to specified hazards
- 4.10 **Violence** – Any kind of incident where staff have been subjected to verbal abuse, aggressive or abusive behaviour or threats or physical harm whilst at work.

5.0 COMPETENCE AND TRAINING

- 5.1 Employees must receive [Induction training](#) by their supervisor, line manager or other designated person on the reporting procedures and be made aware of how to report accident/incidents and where they can get access to the accident/incident forms at local level.
- 5.2 All managers likely to have to carry out accident/incident investigations should attend practical [Accident Investigation training](#). This training is available via the Lifelong Learning Centre as a separate half day course and is now included with the Supervising Safely two day course. Refresher training is available through the council's online incident reporting and investigation module on FLO.
- 5.3 The person undertaking the investigation should be familiar with or consult with persons that are experienced in the working practices, relevant health and safety legislation and council health and safety, data protection and freedom of information requirements.
- 5.4 It is strongly advisable for a manager to get support by a more experienced officer on their first incident investigation, following their training.
- 5.5 Managers must ensure that persons nominated to input and review incident records on to the council's iTrent accident recording system receive training from the Corporate Health and Safety Team. Monitoring checks on accurate data recording should be put in place. A copy of the [i-Trent Health & Safety Module User Manual](#) is available on CHASM along with a [Flow Chart](#) and requirements for reporting on iTrent to assist inputters in deciding what level of reporting is required.

6.0 MANAGEMENT SYSTEMS AND PROCEDURES

6.1 Accident/Incident reporting arrangements within Directorates

Departments and Services shall include:

- Roles and responsibilities for implementing incident management of statistics and sharing lessons learnt
- Co-arrangements i.e. to cover internal & HSE reporting, investigation, inputting incidents on to iTrent, undertaking quality control, production and communication ordination and monitoring of prioritised remedial actions arising from investigations
- Competence and training requirements (see section 5)
- Recording and reporting adverse events internally. (Section 7)
- Reporting adverse events to the HSE.(Section 8)
- Accident investigation procedures including local roles and responsibilities (section 7)
- Incident debriefing (see section 9)

- Adverse event analysis. (see section 10)
- Requirements for feedback to persons affected by an incident and offer of support through the provision of Occupational Health where required and the referral process (Section 9)
- Arrangements for the retention of documents for legal purposes. (Section 11 and 12)
- Auditing, Compliance and Measuring Performance

6.2 Accident Investigation

- Every accident/incident must be reported and thoroughly investigated by the relevant competent supervisor/manager to identify the cause. A [causal tree](#) (or similar) can be used to determine what occurred and what went wrong ensuring compliance with the reporting guidance.
- The form for reporting all accidents and incidents is linked here: [council reporting form](#) This form can be completed electronically and emailed as long as an authenticated signature is included and there is secure individual controlled access. Paper copies should be made available for those that do not have easy access to a computing device.
- If witnesses have been identified in Section 'A', then a [witness statement](#) must be provided and accompany the accident/incident report documentation.
- Serious accidents/incidents (i.e. RIDDOR reportable or a potentially serious incident) require an additional more in-depth investigation and the production of a comprehensive report. [Serious Accident and Investigation Report Template](#) should be used for this purpose. An example is linked here: [Report Example](#). These incidents must be reported immediately to the Head of Service involved and the Principal Health and Safety Adviser, for onward reporting to the relevant Director/Director for Safety.
- The investigation should identify what went wrong and determine what steps must be taken to prevent the same adverse event/accident from happening again. In general accidents and adverse events should be recorded on i-Trent, investigated and analysed as soon as possible, and the investigation submitted to the health and safety team at the latest within **4 weeks** of the event occurring.
- With exception to the reporting requirement of four weeks to submit the completed documentation to the Corporate Health and Safety Team, all accident/incident report documentation should be completed and forwarded to the next designated person(s) within reasonable timeframes (**normal working practice being 7 days**).
- When investigating accidents it is important to remember that the objective is not to apportion blame. The aim is to identify any immediate, underlying and root causes (i.e. lack of training, unsuitable equipment etc.) and to instigate remedial actions designed to prevent a recurrence.
- An investigation must consider the location of the accident, equipment being used, any substances being used, method of work, competence and

individual factors, and relevant training and documentation. It is important to confirm that if these aspects are all in order as well as if they are areas for improvement.

- Any investigation should be in proportion to the event that has occurred, involving workforce and management as appropriate. All sections within the report must be legible, completed in full and contain the signatures of those involved.
- Once the report has been fully completed, the original document should be checked for accuracy and quality by a designated person (local arrangements). The original documentation must be retained by the Service in a secure location (as part of the accident book requirement).
- On completion of the quality check one copy (only) should be forwarded to the designated person/directorate to allow the details to be recorded on the Council's Accident database.

6.3 Reporting to the HSE

If you are in control of premises, you must report any work-related deaths, certain injuries to members of the public and self-employed people on your premises, and dangerous occurrences (some near miss incidents) that occur on your premises to the HSE using their [Online Form](#).

NOTE: When completing the online RIDDOR form, page 2 should contain the following information:

- **Main Industry should be Government Administration**
- **Main Activity should be Central/Local Government Administration**
- **Sub Activity – choose the relevant activity from the drop down menu**

See Section 4.0 above for HSE RIDDOR categories. Managers should ensure staff are aware of the requirements for reporting to the Health and Safety Executive including the definitions of dangerous occurrences and occupational diseases.

The Corporate Health and Safety Team will support services if the HSE visit or make enquiries following notification of a RIDDOR incident.

6.4 Critical Incident Debriefing

A critical incident can be defined as “*any situation where staff have been involved in a particularly frightening or traumatic event*”. As guidance, the following should be considered to represent a critical incident:

- fatality or near fatality
- significant injury/trauma
- serious near miss or dangerous occurrence

- an incident where resources were or were nearly overwhelmed

Managers must ensure that employees involved in a critical incident are debriefed as soon as practicable by facilitating a group debriefing session with those directly and indirectly involved with the incident. A debriefing session can be **hot** or **cold**, depending on the circumstances and availability of staff:

- **Hot Debrief** – immediately after the incident has occurred
- **Cold Debrief** – usually a day or so afterwards when relevant staff are available

Debriefing sessions should be used to clearly identify, who did what and when, and if protocols or procedures were being followed at the time in order to identify whether or not improvements are required to prevent a similar incident occurring in the future. They **must not** be used to apportion blame and are specifically designed to assist in the identification of the facts surrounding the incident, dispelling rumours and presumptions.

Debriefing also plays a part in the identification of staff that may need support post incident. Managers should be vigilant for staff members who are unusually quiet, withdrawn or visually upset following the incident. It's imperative that staff feel supported following a critical incident and every effort must be made to identify those who may need additional support.

The outcomes of debriefing sessions should be clearly communicated within or attached to the Serious Accident and Incident Report Template. Details of staff in attendance at debriefing sessions should also be recorded and included with submitted documents.

6.5 Adverse Event Analysis

The reporting, recording and investigation process must be monitored. Statistical analysis should be carried out by directorates and services to determine trends, patterns and hotspots that may require further actions.

The Principal Health and Safety Adviser will provide update accident/incident statistical reports to the Council Management Team based on information input into I-Trent by Directorates.

Directors are required to include RIDDOR data within performance reporting to Service Committees twice yearly and the Principal Health and Safety Adviser reports overall council RIDDOR data to Audit and Risk Committee on a six monthly basis.

6.6 Keeping Records

Form F2508 (RIDDOR report) must be attached to the original accident/incident report and kept on file in a secure location. A copy of the F2508 (RIDDOR report) must accompany the accident/incident report documentation when being forwarded for inclusion within the Accident Recording Database, and thereafter sent to the Principal Health and Safety Adviser. Where the accident/incident has been reported to the Health and Safety Executive but a copy of the RIDDOR report has not yet been received, the incident report number must be recorded on the report documentation before forwarding to the relevant person/department. On receipt of the RIDDOR report it should be filed with the original documentation and a copy forwarded to the Principal Health and Safety Adviser.

All accident/incident report documentation must be kept for a minimum of 5 years. Longer retention periods may apply under the following conditions:

- Potential Asbestos/Lead Exposure = 40 years
- Potential Ionising Radiation Exposure = 50 years
- Where an accident involves a child 16 years or under, records must be retained until they have reached age 21. If over 16 years of age retain records for five years as normal.

6.7 Confidentiality/Document Release

All accident/incident reports and associated documentation must be treated as 'confidential' and privileged information at all times. Where an employee or third party requests a copy of the report form a copy of the front page (Section 'A') may be provided. Requests for further information must be made in writing and directed to the Council's Principal Health and Safety Advisor.

7.0 COMPLIANCE & PERFORMANCE MEASURING

- 7.1 Performance of Directorate health and safety management arrangements is reported in the Corporate/Directorate Health and Safety Plan for review by the Corporate Management Team and is subject to reporting to the relevant Service Committee.
- 7.2 Performance of service health and safety management arrangements is reported in the Directorate/Service Health and Safety Plan for review by the Director/Directorate Management Team and where requested by the Corporate Management Team.

8.0 REVIEW AND AUDITING

- 8.1 Compliance with this Standard should be audited by inter-directorate inspections/audits. Health and Safety management audits are also undertaken periodically by the Corporate Health and Safety Team.

- 8.2 Performance of directorate health and safety management arrangements is reported in the Corporate/Directorate Health and Safety Plan for review by the Corporate Management Team and is subject to reporting to the relevant Service Committee.
- 8.3 Performance of service health and safety management arrangements is reported in the Directorate/Service Health and Safety Plan for review by the Director/Directorate Management Team and where requested by the Corporate Management Team.
- 8.4 Directors are required to report employee RIDDOR incidents/other significant incidents within monthly 1-1s with the Chief Executive and similarly the Principal Health and Safety Adviser will report to the Director of Safety.
- 8.5 Directorate Compliance with this procedure should be audited by inter-directorate inspections/audits. Health and Safety management audits are also undertaken periodically by the Corporate Health and Safety Team.

9.0 LEGISLATION, COUNCIL POLICIES, STANDARDS AND GUIDANCE

The following are considered to be the main documentation associated with this Health & Safety Standard. The list is not exhaustive and new or further associated relevant documentation may become available

- [Health and Safety at Work etc Act 1974](#)
- [HSE Reporting Accidents and Incidents at Work](#)
- [Reporting injuries, diseases and dangerous occurrences regulations \(RIDDOR\)](#)
- [Management of Health and Safety at Work Regulations 1999](#)
- [Council H&S Policy](#)
- Plus any specific regulations/ guidance etc.

This H&S Standard will be kept under continual review and subject to formal review every three years