

# SAFE WORKING PROCEDURE

## Accident/Incident Reporting and Investigation

CORPORATE HEALTH & SAFETY | VERSION 3.01 | FEB 2022

### **STATEMENT:**

In order to comply with legislation and fulfil statutory responsibility, the council must make sure that:

- All accidents and incidents are reported, recorded on the Health and Safety Management System (HSMS) and investigated.
- All notifiable incidents are reported to the Health and Safety Executive (HSE).
- Appropriate corrective and preventive action is taken to ensure the safety of employees, contractors and members of the public.

### **SCOPE:**

This Safe Working Procedure applies to:

- All Managers and Head Teachers in SCC Maintained schools.
- All employees of Southampton City Council.
- All contractors, agency staff and volunteers working on behalf of the Council.



## 1. Responsibilities

### Service Manager / Head Teachers are responsible for ensuring:

- 1.1. Systems and resources are in place to report and investigate accidents/incidents, in accordance with this procedure.
- 1.2. All employees and contractors are aware of accident/incident reporting procedures.
- 1.3. Consideration is given to recommendations made in accident/incident and investigation reports to prevent the re-occurrence of similar accidents.
- 1.4. Trade Unions are consulted during RIDDOR reportable accident investigations and informed of the outcomes.

### Managers are responsible for ensuring compliance with the SWP and must:

- 1.5. Actively encourage employees to promptly report all accidents and incidents.
- 1.6. Actively manage and review the accidents / incidents reported in their area of responsibility utilising the Health and Safety Management System (HSMS)
- 1.7. All accidents/incidents etc are reported using the HSMS
- 1.8. Report immediately any death or specified injury to the Corporate Health and Safety Service by the quickest possible means (see Procedure Section 2.1 and [Appendix 1](#)).
- 1.9. Ensure that all accidents and incidents in their area of responsibility are fully recorded on the [Online Injury/Accident report form](#) (including contractors where appropriate).
- 1.10. Ensure that all incidents involving abuse, threats or violent attacks in their area of responsibility are recorded on the [Online Violence/Intimidation Report form](#).
- 1.11. Ensure all near miss or hazards are recorded on the: [Online Near Miss/Hazards Report form](#)
- 1.12. Ensure asbestos incident, gas incident or dangerous occurrences are recorded on the: [Online Other Incident Report form](#)
- 1.13. (Schools only) report minor pupil incidents (*minor bumps and scrapes only*) on the School Minor Accident Form.
- 1.14. Ensure all accident incidents are investigated to establish immediate, underlying and root causes, see [Appendix 3](#) for level of investigation required and by whom.
- 1.15. Ensure reporting lines are met as per [Appendix 1](#)
- 1.16. Complete relevant accident / incident online form in the absence of the injured party, ensuring they are given a copy on their return to provide them with an opportunity to submit an amendment if they disagree with what has been submitted on their behalf.
- 1.17. After an accident/incident; implement measures to prevent or reduce the risk of further incidents or accidents (i.e. staff briefings, review risk assessments, arrange necessary training).
- 1.18. Ensure Safety Representatives are consulted on notifiable (HSE) incident investigations.
- 1.19. Liaise with the Corporate Health and Safety Service during accident investigations and complete the online accident investigation form on HSMS.
- 1.20. Assess accident/incident statistics on a regular basis (if necessary) to identify any trends, and ensure appropriate remedial action is taken when necessary.
- 1.21. Collate the necessary documentation according to the level of investigation (i.e. copies of risk assessments, engineering reports, inspection reports/certificates, training records that may be required as evidence in the event of a criminal prosecution or civil claim).
- 1.22. Ensure all relevant documentation is uploaded to the respective online accident / incident report on the HSMS.

### **Accident Investigator must:**

- 1.23. Attended the Corporate Accident / Incident Reporting and Investigation course.
- 1.24. Investigate accidents and incidents to ascertain immediate and root causes of accidents and complete the online accident investigation form in conjunction with management and produce an action plan with remedial actions to prevent a recurrence.
- 1.25. Obtain information and documentation required to support accident investigations (i.e. take witness statements, collate relevant documentation)
- 1.26. Support and assist the Corporate Health and Safety Service with accident investigations where required.
- 1.27. Liaise with the Manager/Head Teacher, Health and Safety Coordinator, Corporate Health and Safety Service, and Safety Representatives (for notifiable) during accident investigations.
- 1.28. Ensure all relevant documentation is attached to the online accident / incident report in HSMS.
- 1.29. Ensure reporting lines are met as per [Appendix 1](#).

### **Corporate Health and Safety Service must:**

- 1.30. Ensure that accidents, incidents and industrial diseases are reported to the HSE in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) and where required are investigated, with a view to identifying immediate, underlying and root causes to prevent or reduce the likelihood of similar occurrences.
- 1.31. Assist Managers to ensure reporting lines are met as per [Appendix 1](#).
- 1.32. Notify Managers/Head Teachers and health and safety co-ordinators of any accidents/incidents reported to the HSE and request further information, evidence or an accident investigation when necessary.
- 1.33. Assist Accident Investigators, Managers/Head Teachers and Health and Safety Coordinators where required.
- 1.34. Lead high and specialist level accident investigations, with assistance from local Accident Investigators, Managers/Head Teachers and Health and Safety Coordinators and produce an overview report.
- 1.35. Collect and collate data of reportable and non-reportable incidents to assess trends and provide statistics and reports to the Health and Safety Committee and Joint Consultative Groups (JCG).
- 1.36. Keep a record of all incidents and investigations reports as per the corporate retention schedule.

### **Employees must:**

- 1.37. Report all accidents and incidents (See [Appendix 1](#)).
- 1.38. Assist with the Council with accident reporting and accident investigations as required.

### **Contractors must:**

- 1.39. Report all accidents and incidents to the Corporate Health and Safety Service, where the incident takes place on Council premises or on Council Business but not within their premises or the principle contractor compound or area of their own control.
- 1.40. Assist the Council with accident/Incident investigations as required.
- 1.41. Report notifiable accidents / incidents related to their work in accordance with their own procedures.
- 1.42. Ensure reporting lines are met as per [Appendix 1](#).
- 1.43. Following an incident, cooperate with Council investigations

## **2. Procedures**

### **Part 1 Reporting**

- 2.1. If there is a Fatality or an injury that meets the HSEs Specified Injuries classification or a [Dangerous Occurrence](#) (i.e. something happens which does not result in a reportable injury, but which clearly could have done) involving an employee, contractor, pupil or member of the public (on Council premises or business), the Manager/Head Teacher must report to the Corporate Health and Safety Service by the quickest possible means (calling 02380 91 7770 (option 6) during office hours or

- 07770536836 (out of hours emergency only); inform the relevant Health and Safety Coordinator and follow up with the relevant online report.
- 2.2. All accidents and incidents (injury and non-injury), reportable diseases and work related sickness absence involving employees or non-employees on (i.e. contractors, members of the public, visitors, clients, pupils on Council premises or business) shall be reported in a prompt manner via the online [HSMS](#) reporting system to the Corporate Health and Safety Service.
  - 2.3. If there is a work related accident/incident that takes an employee off work for more than 7 consecutive days (not including the day of the incident but including weekends, bank holiday or rest days) or they are unable to carry out their normal duties for more than 7 consecutive days (not including the day of the incident but including weekends, bank holiday or rest days) the Manager/Head Teacher must report this to the Corporate Health and Safety Service using the HSMS as soon as possible.
  - 2.4. **Health and Adult Social Care only**, It is a requirement to fill in the online accident and violence report forms for all Client related incidents occurring in Residential Units, Day Centres and Domestic homes. Due to the volume of these a different process has been introduced in this Directorate so that trends can be monitored more locally. All online accident/incident report forms for Client facing services will be routed through the Health and Safety Co-ordinator in the first instance according to the timescales set out at [Appendix 1](#)
  - 2.5. **Schools only**, Pupils at school who suffer injuries which are not so serious as to cause them to be taken from the site of the accident to hospital for treatment, record the accident in the School Minor Accident Report form and copies are retained in School in a secure place. Pupil incidents occurring as part of a lesson or due to the fabric of the building should always be reported online.
  - 2.6. If there is a [reportable disease](#) notified to the Manager by a doctor this must be reported to the Corporate Health and Safety Service as soon as possible and followed up by completing the online form in HSMS.
  - 2.7. The Corporate Health and Safety Service will report to the HSE all notifiable accidents, dangerous occurrences and reportable diseases and will inform the relevant Manager/Head Teacher and Corporate Health, Safety and Wellbeing Manager. To ensure the Corporate Health and Safety Service meets statutory reporting times scales, Managers/Head Teachers must report incidents to the service in a timely manner (see [Appendix 1](#)).

NB. Printable versions of all the reporting forms are available on the SCC Intranet for local use only. CHSS will not accept these or any other paper reports and all incidents must be reported using the HSMS.

## Part 2 - Accident/incident Investigation

- 2.8. The main purpose of the accident investigation is to prevent reoccurrence. The Accident Investigation will be used to improve the management of health and safety by identifying immediate, underlying, and root causes (management system weaknesses that allowed the causal factor to occur).
- 2.9. It should be appreciated that the thorough investigation of accidents is essential particularly where there may be the possibility of criminal proceedings by the enforcement authority and/or civil proceedings by the injured party or his/her representatives.
- 2.10. The level of investigation required must be based on the significance of the incident or potential significance and a competent person must be appointed to lead the accident investigation (see [Appendix 3](#)).
- 2.11. An online accident investigation report must be prepared in line with HSE guidance HSG 245 – [Investigating Accidents and Incidents](#) for medium, high and specialist level investigations. Supporting evidence (documentation) should be presented to the relevant Manager(s)/Head Teacher(s) and to the Corporate Health and Safety Service via HSMS.
- 2.12. Accident investigation reports must be completed within 10 working days of the investigator being appointed. Interim reports must be submitted within 5 working days. Where accident investigations reports will not meet these deadlines, the Corporate Health, Safety and Welfare Manager must be informed with a reason why and reasonable time scale for completion followed up with a further interim report.
- 2.13. In complex serious cases, it may be appropriate for Managers/Head Teachers to lead a small investigating committee comprising of the responsible Manager/Head Teacher, supervisors, safety representatives, technical specialists, Health and Safety Co-ordinators and the Corporate Health and Safety Service.

2.14. Examples of evidence documentation that must be collated for medium and high level investigations along with the accident/incident report are:

- 2.14.1. Training records
- 2.14.2. Minutes of meetings
- 2.14.3. Relevant procedures
- 2.14.4. Risk assessments/method statements
- 2.14.5. Engineering inspections
- 2.14.6. Maintenance reports/certificates, inspection reports
- 2.14.7. Statements, photographs, e-mails, etc.

### **3. Safe Working Procedures Relevant to This Document**

- 3.1. Managing Wellbeing at Work
- 3.2. Risk Assessment
- 3.3. Incident List
- 3.4. Preventing Workplace Harassment and Violence
- 3.5. Safety Representatives
- 3.6. First Aid at Work
- 3.7. Control of Contractors and Service Providers

Note: Other safe working procedures may apply and the assessor should consult the SWPs. An A-Z is available on the Council's [Health and Safety Intranet](#). Find the forms in [Forms Library](#).

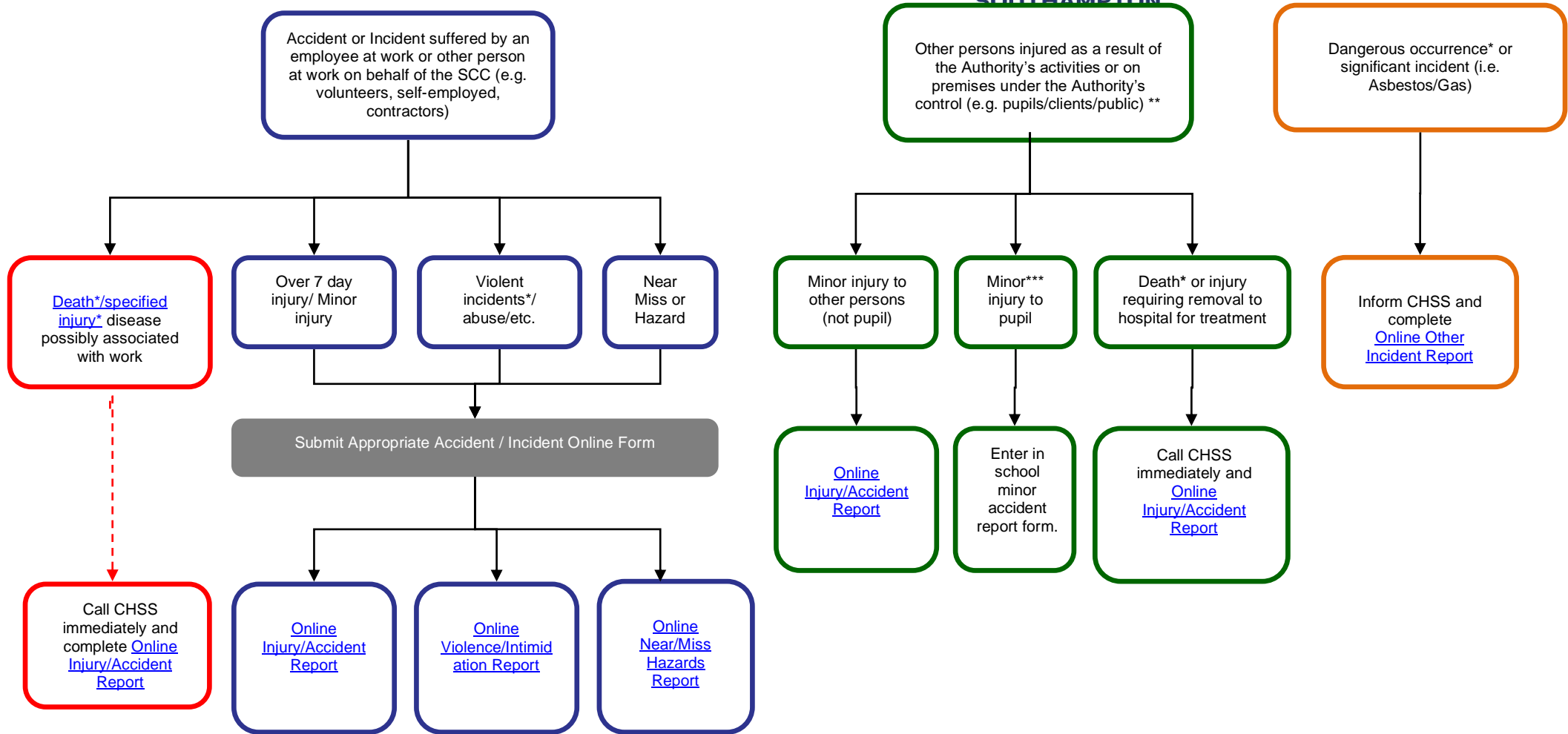
### **4. Main Legislation Relevant to This Document**

- 4.1. [Health and Safety at Work etc Act](#)
- 4.2. [The Management of Health and Safety at Work Regulations](#)
- 4.3. [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013](#)
- 4.4. [Reporting Accidents and Injuries at Work](#)
- 4.5. [Reporting of Injuries, Diseases and Dangerous Occurrences in Schools](#)
- 4.6. [Reporting of Injuries, Diseases and Dangerous Occurrences in Health and Social Care](#)
- 4.7. [Safety Representatives and Safety Committees](#)

### **5. Contact Address's and Guidance Links**

- 5.1 Health and Safety Executive  
[www.hse.gov.uk](http://www.hse.gov.uk)
- 5.2 Royal Society for the Prevention of Accidents  
[The Royal Society for the Prevention of Accidents - RoSPA](#)
- 5.3 Institute of Occupational Safety and Health  
[www.iosh.co.uk/](http://www.iosh.co.uk/)
- 5.4 Corporate Health and Safety Service  
[Health and Safety Intranet](#)  
[School Health and Safety](#)

## Appendix 1 - Action Guide for Accident / Incident Reporting



\* In the case of death, serious injury, dangerous occurrences or significant incidents, contact the Health & Safety Service immediately by telephoning 023 80 91 7770 (option 6) For out of hours call 07770536836. Also inform the relevant H&S Coordinator. The exception to this is death by natural causes of a client in care.

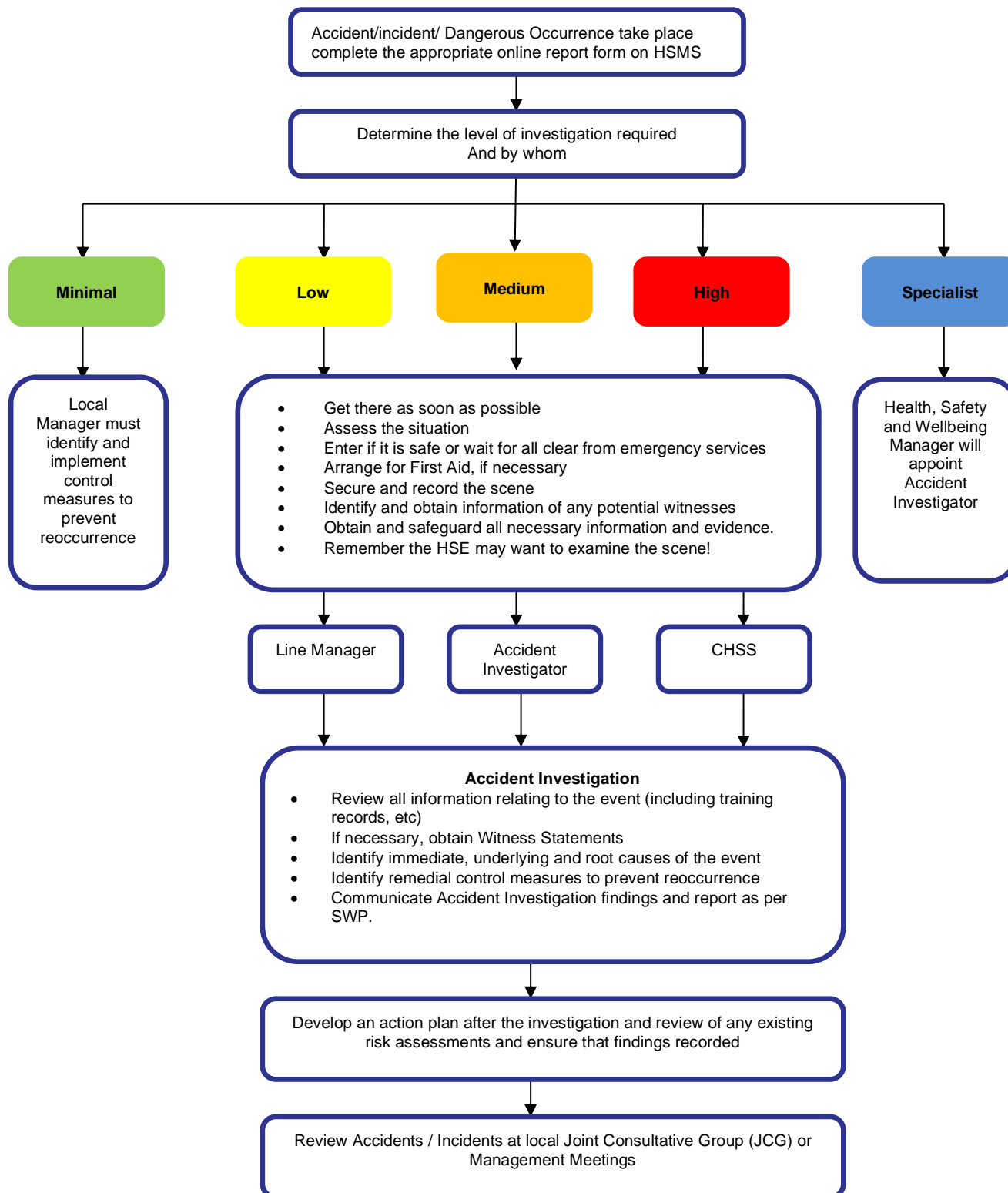
\*\*In the case of client incidents in care homes where there is no obvious health and safety implication i.e. the client falls or falls out of bed or hits another client, the accident / incident must still be reported via the HSMS.

\*\*\* Pupils at school who suffer injuries which are not so serious as to cause them to be taken from the site of the accident to hospital for treatment record the accident in the School Minor Accident Report form and copies are retained in School in a secure place. All pupil incidents occurring due as part of lessons or due to the fabric of the building, should be reported on HSMS, regardless as to whether or not treatment is required.

The Corporate Health & Safety Service is responsible for statutory reporting to the Health and Safety Executive. Providing that the internal procedure is followed by Divisions/Schools, no further action is necessary on their part.



## Appendix 2 - Key Stages in an Accident/incident / Dangerous Occurrence Management and Investigation





**Appendix 3 - Level of Investigation Guide**

Level of investigation	Level of Investigation Indicators	Investigated by	Core Competence required	Additional Competency required
<b>Minimal</b>	No harm or minor injury was sustained not requiring significant first aid assistance.	Relevant Supervisor or Accident Investigator	Corporate Managers H&S Training	
<b>Low</b>	A minor injury which may require significant first aid assistance or more serious harm resulting in up to 7 days off. A near miss that could have resulted in the equivalent results.	Line Manager or Accident Investigator	Risk & Manual Handling Assessment Course + as for Low	Must have attended corporate 1-day Accident / Incident and Investigation Training
<b>Medium</b>	An over 7 days off work injury or a near miss that could have had equivalent results. A non-employee is taken directly to hospital. Any specified injury or near miss equivalent deemed unlikely to re-occur	Accident Investigator and CHSS where required	IOSH Managing Safely or NEBOSH Certificate (equivalent) + as for Low & Med	Must have attended corporate 1-day Accident / Incident and Investigation Training
<b>High</b>	Serious injuries / Fatality Dangerous occurrence Near miss that could have had the equivalent results Reportable disease or Press Interest	CHSS (Assistance provided Directorate H&S /Accident Investigator)	CMIOSH/ Grad IOSH (or an equivalent)	Must have attended corporate 1-day Accident / Incident and Investigation Training
<b>Specialist</b>	This will compliment Medium or High level investigations, where there is a need for a specialist report. For example structural engineers, field specialists, etc.	Specialist on appointment from the Corporate Health, Safety and Wellbeing Manager	Must be competent in their specialist field.	