

ACCIDENT / INCIDENT REPORTING

Policy and Guidelines

INDEX

	PAGE
Policy	2
The Law	3
What has to be Reported / Recorded	3
Injuries – Reportable to HSE	4
Dangerous Occurrences – Reportable to HSE	5
Diseases – Reportable to HSE	6
Minor Injuries	7
Violent Incidents	7
Near Misses	7
The Accident / Incident involves days lost	8
Examples of Reportable and Non-Reportable incidents to the HSE	8
Who should Report	9
How to Report	9
Investigation - by Line Manager / Health & Safety Unit / HSE	10
Occupational Health Advice	11
Information, Instruction and Training	11
Audit & Review	12
Glossary of Terms	13
Reference Documentation / Information	13

Available on Arcadia

Appendix A	Flow Chart
Appendix B	Blank Form
Appendix C	Guidance for Operational Staff

ABERDEENSHIRE COUNCIL

POLICY: ACCIDENT OR INCIDENT REPORTING

1. POLICY STATEMENT

This document is intended to provide guidelines for all Aberdeenshire Council employees on the recording of accidents/incidents, and in certain circumstances the reporting of these to the Health & Safety Executive (HSE).

2. SCOPE OF THE POLICY

All employees and third parties involved in an accident (major/minor) or incident (violent/near miss).

3. OBJECTIVES

The details of all accidents/incidents should be recorded and in some cases 'reported' so that:

- There is compliance with the law i.e. 'The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995' (RIDDOR).
- Information/reports can be supplied in order to satisfy the requirements of the Social Security (Claims and Payments) Regulations 1979.
- Practical information can be provided, which may be necessary in dealing with claims of negligence.
- Accident/incident statistics can be collated, which are useful in discovering trends, assessing risk, prioritising corrective action, and the allocation of resources.

4. RESPONSIBILITIES

Services are responsible for the management of this policy and should:

- Arrange necessary information, instruction or training for relevant employees.
- Ensure that all accidents/incidents are reported/recorded and investigated where necessary.
- Ensure control measures are in place to eliminate or reduce the effects of hazards identified by risk assessment.
- Keep the required records.

THE LAW

It is important to understand what the Law is and what our obligation/duties are under the law. All health and safety legislation is 'statute law' and any breaches may result in prosecutions (and possible conviction) in criminal courts.

Under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR), the Council has a clear duty to report and record certain specified injuries, diseases and dangerous occurrences, to the Health and Safety Executive (HSE) who are the enforcing authority.

WHAT HAS TO BE REPORTED / RECORDED

The regulations are complex but in broad terms they concern accidents and injuries to 'employees injured/harmed while at work' or 'third parties' injured/harmed in accidents arising in connection with our work.

In brief 'third parties' are any persons who are not our employees but who are or could be injured/harmed by the Council's work activity.

As well as injuries, diseases and dangerous occurrences reportable to the HSE, the Council requires the recording of all minor injury, near miss and violent incidents.

Summary of the categories:

Injury – Reportable to HSE	A fatality, major injury, over-seven-day injury or dangerous occurrence which is reportable to the HSE under RIDDOR A third party being taken directly from the scene of any work related injury to hospital (or similar treatment)
Disease – Reportable to HSE	A work related disease which is reportable to the HSE under RIDDOR
Minor Injury	A work related injury which does not fall into the 'reportable' classification under RIDDOR
Near Miss Incidents	Where no actual injury or damage has occurred, and only good fortune has prevented an injury from happening.
Violent Incidents	A violent incident as classified within the Aberdeenshire Council Violence Policy
Investigation	Line Managers are required to investigate all accidents and incidents of a significant nature, record the results and inform relevant individuals of the outcome

If more than one person is injured in the same incident there must be separate entries for each of those persons.

A fuller explanation of each category is given in this guidance.

INJURIES – REPORTABLE TO HSE

Employees

Injuries to employees, which result in a fatality, major injury (listed below), or an incapacity to undertake their normal duties for more than 7 days, as a result an accident arising out of or in connection with work, are reportable to the HSE.

Where any person at work dies, or suffers a major injury, this must be reported to the HSE and the Council's Health & Safety Unit by the quickest practicable means.

Major Injury

- Any fracture, other than to the fingers, thumb or toes
- Any amputation
- Dislocation of the shoulder, hip, knee or spine
- Loss of sight (whether temporary or permanent)
- A chemical or hot metal burn to the eye or any penetrating injury to the eye
- Any work related injury resulting from an electric shock or electrical burn (including any electrical burn caused by arcing or arcing products) leading to unconsciousness or requiring resuscitation or admittance to hospital for more than 24 hours
- Any other work related injury:
 - leading to hypothermia, heat-induced illness or to unconsciousness,
 - requiring resuscitation, or
 - requiring admittance to hospital for more than 24 hours
- Loss of consciousness caused by asphyxia or by exposure to harmful substance or biological agent
- Either of the following conditions which result from the absorption of any substance by inhalation, ingestion or through the skin:-
 - acute illness requiring medical treatment; or
 - loss of consciousness
- Acute illness which requires medical treatment where there is reason to believe that this resulted from exposure to a biological agent or its toxins or infected material

Over-3-day Injuries

All over 3 day injuries must be recorded for statistical purposes and records of such injuries be available to the HSE on request

Over-7-Day Injuries

An over-7-day injury is one which has not been reported as a 'major injury' but results in the injured person being away from work or unable to undertake their full range of normal duties for more than seven days, not counting the day of the accident, but including any days which they would not have normally been working (i.e. weekends, rest days or holidays must be included).

THIRD PARTIES

The term 'third parties' means and includes:

- Residents in nursing /residential homes
- All 'Service Users'
- Visitors to any of our buildings or establishments
- Any members of the general public, including pupils at school, who may be affected by what we do in terms of 'work activity'.

Injuries to third parties must be reported to the HSE if the person is injured as a result of an accident arising out of or in connection with work activities, and is taken from the site of the accident to hospital (or similar) for treatment.

DANGEROUS OCCURRENCES – REPORTABLE TO HSE

Certain incidents defined as a "Dangerous occurrence" within Schedule 2 of RIDDOR are reportable to the HSE. Where an injury results and is reportable under one of the above categories 'injuries – reportable to HSE' then the dangerous occurrence should not be reported separately.

Examples are:

1. Lifting Machinery - collapse, overturning, or failure of any load-bearing part.....
2. Pressure systems - failure of any closed vessel or associated pipework.....
3. Freight containers - failure of any load-bearing part when lifted or lowered.....
4. Overhead electric lines - plant or equipment coming into contact with.....
5. Electrical short circuit - or overload attended by fire or exploding resulting in.....
6. Explosives - unintentional explosion or ignition of explosives.....
7. Biological agents - resulting in the release or escape likely to cause severe human infection or illness
8. Malfunction of radiation generators, etc.
9. Breathing Apparatus - malfunction while in use or during testing immediately prior to use.....

10. Diving operations - failure of any equipment associated with the diving projects, life support equipment etc.
11. Collapse of scaffolding - complete or partial collapse or overturning.....
12. Train collisions
13. Wells - other than water well - blow out, detection of hydrogen sulphide, failure of safety critical elements...
14. Pipelines or pipeline works - damage to, failure of or accidental escape or inrush.....
15. Fairground equipment - failure of load bearing fairground equipment
16. Carriage of dangerous substances by road - road tanker overturns, suffers serious damage, catches fire.....
17. Carriage of dangerous substances by road - uncontrolled release or escape or fire of dangerous goods.....
18. Collapse of building or structure - full or partial collapse.....
19. Explosion or fire - causing suspension of normal work for more than 24 hours
20. Escape of flammable substances - sudden uncontrolled release of flammable gas or liquid.....
21. Escape of substances - accidental release of substance which may damage health.....
41. Quarries - Collapse of storage bunkers
42. Quarries - Sinking of craft
43. Quarries – Injuries
44. Quarries - Projection of substances outside quarry
45. Quarries – Misfires
46. Quarries - Insecure tips
47. Quarries - Movement of slopes or faces
48. Quarries - Explosions or fires in vehicles or plant

The full list of categories is in Schedule 2 of the Regulations, or can be obtained from the Health and Safety Unit.

DISEASES – REPORTABLE TO HSE

The HSE must be notified as soon as the employer has received a formal written diagnosis from

a Doctor confirming the employee has one of the occupational diseases listed corresponding to the work activity in Schedule 3 of RIDDOR, and that there is reason to believe that the disease is likely to have an occupational origin from the employees current job.

The Occupational Health Adviser should be notified in the first instance and all reports made through the Council's accident & incident reporting database

MINOR INJURIES

There may be instances where a 'minor injury' is required to be investigated. This might be due to a recurrence of a similar incident (trend) or the fact that the incident could have a more severe outcome if repeated.. Details of any such investigation and the recommended actions, action taken should be recorded..

VIOLENT INCIDENTS

Violent incidents can be wide ranging e.g.

- Verbal Abuse
- Threatening or Menacing behaviour
- Social / Disruptive Behaviour
- Vandalism
- Breach or Security
- Assault or Physical Violence

Employees are encouraged to report any incidents they feel they would like to bring to the attention of their Service. Recording events can highlight potential problem areas / trends to the Service enabling them to take any necessary action.

Where a violent incident results in an employee being injured, then both the violent incident and the relevant injury should be reported.

NEAR MISSES

Aberdeenshire Council requires that other incidents also be recorded i.e. near miss incidents, this is where no actual injury or damage has occurred and only good fortune has prevented an injury from occurring .

The reasons given for recording these include:

Providing further information or warnings of trends regarding accidents or incidents in addition to that gained from other (HSE) reports.

THE ACCIDENT / INCIDENT INVOLVES DAYS LOST

As well as the accident/incident part of the form on Arcadia, you must complete the parts relating to sickness absence, and indicate here that the absence is due to an industrial injury.

When calculating days lost, the day of the accident should not be counted, only the period after it. Any days the injured person would not normally have been expected to work, such as weekends, rest days or holidays, must be included.

Some situations will include days when the injured person would not normally have been expected to work. Determining whether they would have been unable to do their normal range of duties for 'more than seven consecutive days' may therefore involve a degree of judgement. It may be necessary to ask the injured person if they would have been able to carry out all of their duties if they had been at work.

EXAMPLES OF REPORTABLE AND NON-REPORTABLE INCIDENTS TO THE HSE

Employees

- An employee suffers a major injury whilst carrying out their normal duties – it is reportable to the HSE
- An employee suffers a minor injury whilst carrying out their normal duties at work – it is not reportable to the HSE, but recorded as a minor injury on the Council's database.
- An employee is narrowly missed by a falling cabinet in a depot – it is not reportable to the HSE, but should be recorded as a near miss on the Council's database.
- An employee suffers a minor injury, but is off work due to the injury for 10 days – it is reportable to the HSE as is classed as an over-7-day injury.

Third Parties

- A third party falls over an item of equipment, (i.e. a cable, an item of furniture or badly laid/replaced carpet), left by one of our employees during the course of work. The third party suffered an injury which required him/her to be taken to hospital for treatment; then that accident must be reported to the HSE because the accident was 'in connection with work' and the injured party was taken to hospital from the scene.
- A third party suffers a major injury caused by the failure of equipment owned by the Council or by any work activity engaged in by Council employees and the third party is taken to hospital for treatment - it is reportable to the HSE
- If there was no injury – it is not reportable to the HSE, but may be recorded as a near miss on the Council's database.
- If there was an injury but it did not require hospital treatment – it is not reportable to the HSE, but may be recorded as a near miss on the Council's database.
- If the accident was not caused by an activity 'in connection with the Council's work' – it is not reportable to the HSE or recorded as a Major injury on the Council's database., however it

should be recorded as a minor injury to allow for any necessary prevention of a recurrence".

- **ALL WORK RELATED ACCIDENTS AND INCIDENTS, REPORTABLE OR NOT TO THE HSE, MUST BE RECORDED ON THE COUNCIL'S DATABASE**

WHO SHOULD REPORT

The injured person's line manager should be informed as soon as possible and is the person responsible for completing the appropriate report form. On some occasions when this is not possible it will be the 'person in charge' at the time of the accident. The injured person must not complete the forms themselves.

HOW TO REPORT

The Council uses a central database for the reporting and recording of all accidents and incidents. This can be accessed through Arcadia (by clicking on the category in MY JOB)

Access to the database is controlled by each Service, in order to maintain data protection for individuals. Nominated individuals have been given 'author' access to the database, which can input and amend the records. All nominated individuals will have received appropriate training on the database before being allowed to use it.

Not all Service functions have access to a PC or Arcadia, therefore specific arrangements are in place for individual Services to deal with the procedures for reporting and recording.

Blank forms can be printed from the database or from the Health & Safety policy & guidance section on Arcadia (click on MY JOB, then HEALTH & SAFETY). A stock of blank forms should be passed to operational staff that do not have access to a PC or Arcadia.

Reportable accidents/diseases can be sent directly via the system to the HSE. When a reportable accident is entered into the database, nominated Service individuals and the Health & Safety Unit are automatically informed.

Where any person at work dies, or suffers a major injury, this should be reported to the HSE and the Council's Health & Safety Unit by the quickest practicable means.

Depending on the seriousness of the incident, you may also need to inform your Service Director, the Council's Communication, Personnel, Legal or Insurance Sections.

Alternative methods of reporting directly to the HSE, are as follows:

HSE

- Tel No: 0845 300 9923 (Fatalities and Major injuries only Quoting Ref: W6J2Q)
- Fax No: 0845 300 9924
- Post: Incident Contact Centre, Caerphilly Business Park, Caerphilly. CF83 3GG

Where an alternative method is used for communicating in the first instance to the HSE, then the report must be recorded on the database as soon as possible (but within 15 days of the incident).

INVESTIGATION

BY LINE MANAGER

Line Managers must investigate all accidents and incidents reported to them, and should take the appropriate action necessary to prevent a recurrence. Where these are of a significant nature, the results should be recorded on the investigation form.

To complete the report form properly it will be necessary to carry out a certain amount of investigation. This can be achieved by establishing the following facts:

- What was the injured person doing at the time and why?
- How was the task being undertaken?
- What tools/equipment were being used, and were they fit for purpose?
- Were there any obvious factors that contributed to the accident/injury?

Plus all the other answers to the questions set out on the report form, which covers the areas that should be considered:

- Was a suitable risk assessment undertaken?
- Were suitable control measures in place?
- Is a review of the risk assessment and control measures required?
- Is further training required?

In some cases it may be necessary to visit the injured person(s) at home or even in hospital to find out in detail what happened and what caused the accident so that the managers/supervisors in charge can complete the investigation, and take any necessary action as quickly as possible to prevent any future problems.

It is also very important that the injured person is kept informed the outcome of any investigation or any action taken.

BY HEALTH & SAFETY UNIT

The Health & Safety Unit receive notification of all accidents/incidents recorded on the database, and will make a decision as to whether they feel it requires to be investigated. This will usually depend on the severity of the injuries or potential for injury.

Again depending on the nature of what is reported to the Health & Safety Unit, it may be necessary to make a visit, discuss with individuals, write a report to Management, or it may be enough to just ring the line manager and confirm the actions proposed/taken.

BY HSE

The HSE can receive notification into their contact centre office in Wales by the means stated above. Any alternative method used to e-mail generated by the database, should be followed up by this method within 15 days of the accident/incident.

The HSE will make a judgement from the information provided as to whether they wish to investigate.

OCCUPATIONAL HEALTH ADVICE

The Council employs an Occupational Health Nurse Adviser, located within the Health & Safety Unit, who is available to advise on all aspects of occupational health/ill-health, including pre and post referral to the Council's external occupational health provider.

INFORMATION, INSTRUCTION and TRAINING

Induction Training

Line managers should communicate the reporting procedures for any accidents/incidents to their employees at Induction. Employees should be instructed to report any work related accident, symptom, violent or near miss incident to their line manager as soon as possible, who will investigate as appropriate.

Further information on the requirements of RIDDOR and the categories of injuries are available at www.hse.gov.uk/riddor.

If further information is required on Accident Investigation contact the H+S Unit on 01224 664118

Training on the use of the Accident Reporting system

An e-learning package is available on Arcadia / through the Training & Development Unit, for employees who have been nominated by their Service to record information relating to accidents/incidents, onto the reporting database.

All employees required to input into this system must have to have gone through the above training prior to use.

Refresher Training

Refresher training should be undertaken regularly, as dictated by the Service Training Policy.

Records

Records of all training should be retained by the Services/Development & Training to allow for future review of control measures and verification of compliance with relevant statutory duties and should include:

- Course by: title, trainer, content and date

- Attendance by: employee name, payroll number, job title, service
- E-learning package completed

Course evaluation forms are available on Arcadia under the Training & Development section

AUDIT AND REVIEW

The Health & Safety Unit will undertake safety sampling or health & safety audits of the management systems, which are in place to control and monitor accidents and incidents. This will be carried out at regular intervals as agreed and detailed in Service Health & Safety Action Plans. Quarterly reports will be prepared by the Health & Safety Unit and presented to Service Management Team or Health & Safety Committees.

GLOSSARY OF TERMS

HSE	Health and Safety Executive
RIDDOR	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
MHSAWR	Management of Health & Safety at Work Regulations 1999
Arcadia	Aberdeenshire Council's Intranet

REFERENCE DOCUMENTATION / INFORMATION

HSE Publications

A Guide to Reporting of Injuries, Diseases and Dangerous occurrences Regulations 1995 – L73

Management of Health and Safety at Work Regulations 1999 – ACOP – L21

What to expect when a Health & Safety Inspector calls – HSC14

HSE Website Address – www.hse.gov.uk

Technical Indexes

Available on Arcadia

Arcadia

Click on the header MY JOB, then HEALTH & SAFETY, then POLICIES & GUIDANCE to find this guidance note and also related Appendices

Advice / Useful Contact Information

Health & Safety Unit or Occupational Health Adviser:	01224 664118
HSE:	01224 252500
Personnel Section (HR+OD):	01224 664
Communications Section (Chief Executive):	01224 664405
Legal Section (Legal and Governance)	
Insurance Section (Finance):	01224 665378