



EAST RIDING

OF YORKSHIRE COUNCIL

Incident Management, Investigation and Reporting

Safety Guidance Document

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 1 st 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

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.

4.4 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/>

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.

**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 overleaf.

Safety Services

Room BG13

County Hall

Cross Street

Beverley

HU17 9BA