

Accident and Near-Miss Reporting and Investigation Policy



Accident, Near-Miss Reporting and Investigation Policy

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Accident and Near-Miss Reporting and Investigation Policy

1. Purpose & Scope

- 1.1 This policy outlines the procedures which are to be adopted when any employee, contractor or member of the public experiences an accident, near miss or dangerous occurrence on Loch Lomond & The Trossachs National Park Authority premises, which will include any building, property, vehicle, boat or site managed by us.
- 1.2 This policy applies to all Park Authority employees equally, and its purpose is to ensure that:
 - All reported workplace accidents, ill health and near miss events will be investigated
 - Any risk control measures introduced as a result of an accident investigation report will be monitored to ensure that the actions taken are effective
 - Injuries/ill health conditions which are reportable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 be notified immediately, by telephone, to Health and Safety.

2. Definitions

- 2.1 **Accident** - An unplanned event, which causes injury to persons, damage to property or a combination of both. Examples include: a fall resulting in a fracture, incorrect operation of machinery leading to a breakdown of the machine or item of equipment.
- 2.2 **Near miss** – an event that, while not causing harm, has the potential to cause injury or ill health.
- 2.3 **Incident** – an event that does not cause injury or ill health but may have led to loss or damage.
- 2.4 **RIDDOR 2013** - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). RIDDOR set out legal time limits for reporting of certain types of the incident to the applicable enforcing authority.
- 2.5 **Dangerous Occurrence** – one of a number of specific, reportable adverse events as defined under RIDDOR.
- 2.5 **Health and Safety Executive (HSE)** – the enforcing authority requires notification of accidents causing death, major injury and other specified events, including acts of violence, as long as it constitutes an at work situation as per RIDDOR 2013 regulations.

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3. Responsibilities

3.1 Employees

- Conduct yourself in a manner conducive to your own and that of others' health and safety and by complying with the Health and Safety Policy;
- Report all defects in plant and equipment, procedures, systems of work and potential hazards at work which is believed may cause injury or ill health;
- Report all accidents, near misses by completing the accident/incident/near miss form;
- Ensure the highest standards of housekeeping are maintained within the workplace;
- Where an accident results in absence from work, employees must tick the appropriate box on the self-certification form;
- Employees who are absent as a result of an accident at work must keep their manager informed of their progress, up to and including a return to normal duties.

3.2 Managers

- When an injury, incident or near miss is reported the manager should ensure that appropriate records are completed and forwarded to the Health and Safety Advisor;
- All accidents occurring within their area of responsibility are fully investigated to determine cause(s) as soon as possible. A near miss should still be investigated but will not require as in-depth an investigation;
- All injuries/ill health conditions which are reportable under RIDDOR are notified immediately, by telephone, to the Health and Safety Advisor;
- Keep records of any developments to the injured person's health, up to and including a return to normal duties. This information must be forwarded to the Health & Safety Advisor;
- Remedial/control measures recommended should be implemented to prevent a recurrence of the same or similar incidents. Any control measures put in place should also be monitored and reviewed to ensure actions taken are effective;
- Accident data/information is discussed at appropriate meetings.

3.3 Health and Safety Advisor

- Request additional information on incidents, including details of the local investigation findings and may investigate some accidents directly specifically fatalities, major injuries or where HSE investigation or enforcement action is likely;
- Review investigation reports and ensure legislative compliance;
- Liaise with the legal team where necessary;

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- Compile accident statistical reports and identify trends in accident causation. The collection and dissemination of accident data is an important aid in the maintenance and development of accident prevention strategies;
- Ensure that this policy is implemented and managers are appropriately trained in accident/near miss investigation procedures.

3.4 Contractors

- Any contractor who is involved in an accident or near-miss incident whilst on our premises must report the incident immediately to the person responsible for his or her presence on site. If the person responsible is not available, the contractor must obtain the assistance of a responsible person to ensure that company procedure is adhered to;
- All injuries must be reported on a HS1 form, however minor. Contractors who are unable to enter their details onto the HS1 must arrange for another person to complete it on their behalf. Contractors should also notify their own employer where applicable.

4. Reporting Procedure

4.1 Fatal Injuries

If any person dies, arising out of or in connection with work, you must:

- Ring 999 (Police/Ambulance);
- Inform the manager concerned, the Health and Safety Advisor who will in turn advise the Director of Corporate Services/Chief Executive;
- The HSE will be informed by Health and Safety Advisor or Director of Corporate Services;
- The accident scene must not be disturbed as it may hold vital clues in establishing what happened. The area should be made safe and roped off.

4.2 Non-Fatal Injuries

All accidents and near-miss incidents must be reported, however minor. In order to achieve this, the following procedure should be adopted:

- Obtain treatment for the injury from a First Aider. However, if an emergency arises, medical assistance, e.g. an ambulance, must be called at the first opportunity. Any incident involving an emergency must be reported to the Health & Safety Advisor immediately;
- Make the area safe following the incident (e.g. by using barriers, warning notices), to safeguard other personnel in the vicinity (except where the accident results in a major injury, in which case the scene should be left undisturbed until advised otherwise by the enforcing authority);
- Enter details onto an Accident, Incident, Near Miss HS1 form and send through to your manager for completion and or investigation. All accidents and near misses must be recorded on an HS1 form, however minor. Unless we are informed of these incidents we will be unable to take remedial action;

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- If an injury renders an employee unable to complete the HS1, a witness or someone who is able to should complete the form. The employee's account must be entered as soon as possible after the event;
- The manager (or a responsible person) will then forward the completed form to the HR department, in a timely manner, for the Health and Safety Advisor's attention;
- Injuries, which occur whilst carrying out work duties off-site, must be reported in the same way and the occupier of the site should be advised accordingly;
- Keep the H&S Advisor informed of any after-effects of the incident, including periods of total or partial incapacity for work.

4.3 Notifiable Injuries:

The Health and Safety Advisor will be responsible for submitting completed forms online:

- If the incident results in over seven consecutive days of incapacity for work it is reportable under RIDDOR 95 and the HSE must be informed on a prescribed form (F2508 revised) within 15 days of the accident;
- Major incidents (as defined in RIDDOR '95) must be reported to the HSE immediately by telephone and be followed within 10 days by a completed Form 2508 revised;
- A copy of the completed form will be kept within the HR department including documents relating to the accident investigation, and to advise the insurers of a potential claim. For further details see Appendix B.

5. Accident Investigation Procedure

5.1 Why investigate?

- To determine the facts and ensure that lessons are learned in the interests of preventing a recurrence;
- To identify underlying failures in health and safety management systems, e.g. risk assessments, written instructions, procedures etc.;
- To enable informed decisions to be made about preventative measures.

5.2 Extent and Depth of an Investigation

- Not all events need to be investigated to the same extent or depth;
- Minor injuries, near misses can be classified as minor and, as such, will usually require minimal investigation and result in simple and obvious precautions to prevent a recurrence e.g. re-routing trailing equipment leads and improving housekeeping standards to prevent further tripping hazards;
- The greatest effort should concentrate on significant events where there has been significant injury, ill health or damage or where the event had the potential to cause widespread or serious injury or damage.

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5.3 Accident Causation

It is rare for an accident to arise from a single cause, more frequently there is a combination of factors which must be present simultaneously. These can be grouped as follows:

Job Factors (Unsafe Conditions)

The adequacy of the workplace precautions for the premises, plant, substances involved and the procedures and systems of work used e.g. inadequate guards/barriers, inadequate warning systems, noise exposure, defective tools.

Underlying Causes: Organisation & Management

- Adequacy of H&S Policy
- How work is controlled
- how employees are involved
- Adequacy of communication of H&S information
- How competency is achieved and tested
- Adequacy of planning, risk assessment and design of risk control systems
- Review and audit arrangements
- Management structure, adequate finance and resources.

Personal Factors (Unsafe Acts)

The behaviour, suitability and competence of those doing the work e.g. operating equipment without authority, removing safety devices, improper lifting, under influence of alcohol/drugs

5.4 The Investigation

A good investigation should seek to:

- Collect evidence about what has happened;
- Assemble and consider the evidence;
- Compare the findings with appropriate legal, industry and Park Authority standards and draw conclusions;
- Implement the findings and track record.

5.5 Sources of Information

It is important to gather information about the accident scene, to assess the adequacy/relevance of formally documented procedures and to obtain witness testimonies. Consider the following:

5.5.1 Physical Conditions/Accident Scene

- Premises, place of work;

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- Access and egress;
- Environmental conditions e.g. lighting, temperatures, state of floors, space.

5.5.2 Documentary Evidence

Documents help establish what should have happened as well as providing evidence about the adequacy/quality of risk assessments, inspections, tests etc.

5.5.3 Interviews

Interviews provide both direct testimony and an opportunity to cross refer to issues arising from examination of the physical conditions and documentary evidence. Information can be obtained from:

- Those involved and their line management;
- Witnesses;
- Those observing or involved before the event occurred e.g. inspection, maintenance staff.

5.5.4 When carrying out an investigation it is always preferable to interview people involved in the accident. Some general points apply:

- Put the person at ease;
- Stress the purpose of the interview is to establish the facts so that steps can be taken to prevent a recurrence and definitely not to apportion blame to anybody;
- Ask what happened – do not interrupt – be a good listener;
- Don't ask leading questions or make assumptions. Ask questions to bring out the facts you want to know;
- It is important to try and establish the underlying causes (management and organisational factors) as well as the immediate causes (unsafe acts and conditions).

5.6 Training

Training in accident investigation skills and techniques can be arranged through Health and Safety.

5.7 Preventive Action

Arising from the investigation findings, action should be taken to remedy the deficiencies identified. It may be necessary to prioritise these actions into immediate and long term measures. It would, for instance, be relatively simple to clear spillages and improve housekeeping standards but it will take longer to develop policies, change procedures, arrange appropriate training or conduct risk assessments etc. An action plan should be developed to indicate what is to be done, by whom and when. The actions taken should be monitored to ensure effectiveness and reviewed if circumstance change.

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5.8 Accident Prevention

The Health and Safety Executive estimates that 8 out of every 10 accidents are primarily caused through a lack of effective management control and are therefore preventable. Whilst investigating accidents is important as a means of learning lessons and improving safety management systems, it is by definition a reactive measure triggered after an event. There is an accepted hierarchy of accident prevention strategies which are proactive and should be adopted in order to prevent/minimise the risk of accidents occurring. Refer to Risk Assessment Policy for further guidance.

6. **Related Policies**

[Risk Assessment](#)

7. **Policy review**

This policy will be reviewed to ensure legislative compliance and effectiveness.

8. **Equality and diversity Impact Assessment**

An initial screening process was carried out and no discriminatory effects were identified for any particular group within the workforce. This will be monitored on an on-going basis.

9. **Best Value**

This policy meets the use of resources and equalities aspects of best value by promoting and providing a healthy and productive work environment for all staff and ensuring equality of access to appropriate resources and support services to enable employees to meet their role requirements in accordance with our performance management system.

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DOCUMENT CONTROL SHEET

APPENDIX A

Prepared By	Jen Keenan
Date Effective From	October 2017
Review Frequency	
Contact	

Revision History:

Version:	Date:	Summary of Changes:	Name:
V2_0	19/10/2017	Review of policy and update to accident investigation procedure.	

Approvals: This document requires the following signed approvals.

Name/Title	Date	Version

Distribution: This document has been distributed to

Name:	Title/Division:	Date of Issue:	Version:

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RIDDOR FLOWCHART

APPENDIX B

All RIDDOR reportable incidents must be reported to the HSE by the H&S Advisor within 10 days of the incident.

