



## ACCIDENT & INCIDENT REPORTING POLICY

### DOCUMENT VERSION CONTROL

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## **1. POLICY STATEMENT**

SEStran aims to provide a safe and healthy working environment for all employees. SEStran is committed to the safety of employees by ensuring that best practices are employed to minimise risks from all accidents and incidents at work.

SEStran accepts that employees should not be subjected to accidents/incidents whilst at work. SEStran will take all reasonably practicable steps to reduce accidents/incidents at work and is committed to accident/incident reporting and investigation to assist in this process.

This Accident/Incident Reporting Policy incorporates recommendations from current legislation. The requirements of HSE as defined in the Reporting of Injuries, Disease and Dangerous Occurrence Regulations 1995 (RIDDOR) are also taken into account.

### **1.1. DEFINITION**

For the purpose of this policy an accident or incident is:

“Any event(s) or activity(s), arising from work which has resulted in, or had a potential to cause, personal injury or damage to property, plant or equipment.”

This will include any acts of violence to employees as described within the Violence at Work Policy. It is a requirement that all accidents are reported by employees to their manager.

## **2. INTRODUCTION**

SEStran is committed to the health and safety of employees and will take all reasonable steps to ensure that the work environment is safe.

SEStran will ensure that working practises are designed to ensure that any risks are minimised. Any potential risks will be subject to Risk Assessments and these will be regularly reviewed. It is accepted, however, that accidents/incidents may occur as a result of a wide range of potential human errors.

## **3. SCOPE**

This policy encompasses all employees of SEStran and complements the Violence at Work Policy. This policy will cover all activities arising out of company business.

## **4. REPORTING OF ACCIDENTS**

SEStran aims to ensure that all accidents/incidents involving employees, consultants and clients that arise from our activities are reported. These

accidents/incidents will be investigated to establish what lessons can be learned to prevent such accidents/incidents re-occurring in the future.

SEStran will support the effective implementation of the policy by providing managers and employees with appropriate training, reporting procedures, forms and professional advice to allow them to:

- Identify the root cause of accidents/ incidents
- Identify if accidents/incidents are reportable to the HSE
- Investigate ways in which to reduce accidents/incidents
- Review the relevant Risk Assessments with a view to making them more robust
- Identify the costs of accidents/incidents

## **5. RESPONSIBILITIES**

### **5.1. PARTNERSHIP DIRECTOR**

The Partnership Director is responsible for the effective operation of the policy across SEStran as a whole and for ensuring that relevant procedures are implemented. They are also responsible for ensuring that adequate resources are made available to implement appropriate protective measures, where these have been identified as a result of risk assessment or accident/incident investigation.

### **5.2. MANAGERS**

Managers are responsible for implementation of the SEStran Accident/Incident reporting procedures ensuring that all employees report all accidents/incidents at work at the earliest opportunity. They are also responsible for ensuring that an Accident/Incident Reporting form (within Incident/Accident Book) is completed fully on each occasion. In the event of injury, they are responsible for ensuring that prompt medical support is provided where required.

In all cases Managers are responsible for conducting an investigation to identify how the accident/incident occurred and for identifying and implementing any appropriate measures to prevent re-occurrence.

The Manager will report the accident/incident to the Partnership Director and, if required under RIDDOR, to HSE.

### **5.3. EMPLOYEES**

Employees are responsible for reporting all accidents/incidents to their manager as soon as possible following the accident/incident. They will give a full and accurate account of details leading to the accident/incident and of the accident/incident itself.

The employee will cooperate with the Manager's investigation into the accident/incident.

**6. MONITORING AND REVIEWING**

The Partnership Director, in conjunction with the Performance and Audit Committee will monitor and review this policy.

**Appendix 1: HSE Reporting Accidents and Incidents at Work**

**Appendix 2: Accident/Incident Report Form**

# Reporting accidents and incidents at work

A brief guide to the Reporting of Injuries, Diseases  
and Dangerous Occurrences Regulations (RIDDOR)



This is a web-friendly version  
of leaflet INDG453

## What is RIDDOR?

RIDDOR is the law that requires employers, and other people who are in control of work premises, to report and keep records of:

- work-related deaths;
- serious injuries;
- cases of diagnosed industrial disease; and
- certain 'dangerous occurrences' (near miss incidents).

There are also special requirements for gas incidents (see section below).

This leaflet aims to help employers, and others in control of work premises, to comply with RIDDOR and to understand recent changes to reporting.

## 2012 change

From 6 April 2012, the over-three-day reporting requirement for people injured at work will change to more than seven days. From then, you only have to report injuries that lead to a worker being incapacitated for **more than seven consecutive days** as the result of an occupational accident or injury (not counting the day of the accident but including weekends and rest days). The report must be made within 15 days of the accident.

Incapacitation means that the worker is absent, or is unable to do work that they would reasonably be expected to do as part of their normal work.

**You must still keep a record** of the accident if the worker has been incapacitated **for more than three consecutive days**. If you are an employer, who must keep an accident book under the Social Security (Claims and Payments) Regulations 1979, that record can be treated as a record for the purposes of RIDDOR.

These are the main changes to the reporting requirements for deaths, major injuries, occupational diseases and dangerous occurrences that employers need to be aware of.

# Why report and record?

Reporting and recording is a legal requirement. The **report** informs the enforcing authorities (HSE, local authorities and ORR) about deaths, injuries, occupational diseases and dangerous occurrences so they can identify where and how risks arise, and whether they need to be investigated. This allows HSE, local authorities and ORR to target their work and provide advice about how to avoid work-related deaths, injuries, ill health and accidental loss.

**Records** of incidents covered by RIDDOR are important. They ensure that you collect the minimum amount of information to allow you to check that you are doing enough to ensure safety and prevent occupational diseases. This information is a valuable management tool that can be used as an aid to risk assessment, helping to develop solutions to potential risks. In this way, records also help to prevent injuries and ill health, and control costs from accidental loss.

## You must keep a record of:

- any **reportable death, injury, occupational disease or dangerous occurrence**; and
- all occupational accidents and injuries that result in a worker being away from work or **incapacitated for more than three consecutive days** (not counting the day of the accident but including any weekends or other rest days).

You must produce RIDDOR records when asked by HSE, local authority or ORR inspectors.

# What must be reported?

## Deaths and injuries

Deaths and injuries do not have to be automatically reported, but must be reported if they occur as the result of an accident arising out of or in connection with work.

An accident is a separate event to a death or injury, and is simply more than an event, it is something harmful that happens unexpectedly.

When deciding if the accident that led to the death or injury has arisen out of or in connection to work, the key issues to consider are whether the accident was related to:

- the way in which the work was carried out;
- any machinery, plant, substances or equipment used for work; and
- the condition of the site or premises where the accident happened.

If any of the above factors were related to the cause of the accident, then it is likely that the injury will need to be reported to the enforcing authority. If none of the above factors are satisfied, it is likely that you will not be required to send a report.

Examples of incidents that do and do not have to be reported are available at [www.hse.gov.uk/riddor/do-i-need-to-report.htm](http://www.hse.gov.uk/riddor/do-i-need-to-report.htm).

## Deaths

A death must be reported if:

- it results from a work accident;
- a worker sustains an occupational injury;
- it results from a suicide on a relevant transport system (this is considered to be an accident for the purpose of RIDDOR); or
- it results from an act of physical violence to a worker.

## Injuries to people at work

RIDDOR gives two types of injuries that must be reported if the person was at work – ‘major injuries’ and from 6 April 2012 ‘over-seven-day injuries’.

### Major injuries

These include:

- a fracture, other than to fingers, thumbs and toes;
- amputation;
- dislocation of the shoulder, hip, knee or spine;
- loss of sight (temporary or permanent);
- chemical or hot metal burn to the eye or any penetrating injury to the eye;
- injury resulting from an electric shock or electrical burn leading to unconsciousness, resuscitation or admittance to hospital for more than 24 hours;
- any other injury leading to hypothermia, heat-induced illness, unconsciousness, resuscitation or admittance to hospital for more than 24 hours;
- unconsciousness caused by asphyxia or exposure to a harmful substance or biological agent;
- an acute illness requiring medical treatment;
- loss of consciousness arising from absorption of any substance by inhalation, ingestion or through the skin; and/or
- acute illness requiring medical treatment where there is reason to believe that this resulted from exposure to a biological agent, its toxins or infected material.

### Over-seven-day injuries

From 6 April 2012, the law will introduce the over-seven-day injury category. This is 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).

### Over-three-day injuries

From 6 April 2012, **you do not have report over-three-day injuries but you must keep a record of them** (see 2012 change). If you are an employer, who has to keep an accident book, the record you make in this will be enough.

## **Injuries to people not at work**

You must report injuries to members of the public or people who are not at work if they are injured following an accident that arises out of, or in connection with, work and are taken from the scene of an accident to hospital for treatment.

If the injured person was already at a hospital, the report only needs to be made if the injury is a 'major injury' (see above).

## **Occupational diseases**

Employers and self-employed people must report occupational diseases. This must be done when they receive a written diagnosis from a doctor that they, or an employee, is suffering from one of these conditions and the sufferer has been doing the work activities listed for that illness.

## **Dangerous occurrences**

Dangerous occurrences are certain, listed near-miss events. Not every near-miss event must be reported. There are 21 categories of dangerous occurrences that are relevant to all workplaces, for example:

- the collapse, overturning or failure of load-bearing parts of lifts and lifting equipment;
- plant or equipment coming into contact with overhead power lines;
- electrical short circuits or overloads causing a fire or explosion, which results in the stoppage of the plant for more than 24 hours or has the potential to cause death;
- the accidental release of a biological agent likely to cause severe human illness; and
- the accidental release of any substance that may damage health (not applicable offshore).

For a full list of dangerous occurrences applicable to all workplaces, and additional categories of dangerous occurrences applicable to mines, quarries, relevant transport systems (railways etc) and offshore workplaces, see *A guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995*.<sup>1</sup>

## **Gas incidents**

If you are a distributor, filler, importer or supplier of flammable gas and you learn, either directly or indirectly, that someone has died or suffered a major injury in connection with the gas you distributed, filled, imported or supplied, this can be reported online.

If you are a gas engineer, registered with the Gas Safe Register, you must provide details of any gas appliances or fittings that you consider to be dangerous to the extent that people could die or suffer a major injury. This may be due to the design, construction, installation, modification or servicing, and could result in:

- an accidental leakage of gas;
- inadequate combustion of gas; or
- inadequate removal of products of the combustion of gas.

You can report online.

# Exemptions

In general, regulation 10 of RIDDOR exempts dutyholders from reporting deaths and injuries that result from:

- medical or dental treatment, or an examination carried out by, or under the supervision of, a doctor or registered dentist;
- the movement of a vehicle on a road (unless the person was loading or unloading the vehicle or working alongside the road, eg constructing or maintaining the road or adjacent buildings, the accident involved a train, or the accident involved the escape of a substance from a vehicle) and/or
- the duties carried out by a member of the armed forces while on duty.

# How to report

## Online

Go to [www.hse.gov.uk/riddor](http://www.hse.gov.uk/riddor) and complete the appropriate online report form. The form will then be submitted directly to the RIDDOR database. You will receive a copy for your records.

## Telephone

All incidents can be reported online but a telephone service remains for reporting **fatal and major injuries only**. Call the Incident Contact Centre on 0845 300 9923 (opening hours Monday to Friday 8.30 am to 5 pm).

# Reporting out of hours

HSE has an out-of-hours duty officer. Circumstances where HSE may need to respond out of hours include:

- a work-related death or situation where there is a strong likelihood of death following an incident at, or connected with, work;
- a serious accident at a workplace so that HSE can gather details of physical evidence that would be lost with time; and
- following a major incident at a workplace where the severity of the incident, or the degree of public concern, requires an immediate public statement from either HSE or government ministers.

If you want to report less serious incidents out of normal working hours, you should complete an online form at [www.hse.gov.uk/riddor/report.htm#online](http://www.hse.gov.uk/riddor/report.htm#online).

More information about contacting HSE out of hours can be found at [www.hse.gov.uk/contact/outofhours.htm](http://www.hse.gov.uk/contact/outofhours.htm).

## Useful resources

- 1 *A guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 L73* (Fourth edition) HSE Books 2012  
ISBN 978 0 7176 6459 7  
[www.hse.gov.uk/pubns/books/l73.htm](http://www.hse.gov.uk/pubns/books/l73.htm)
- 2 [www.hse.gov.uk/riddor](http://www.hse.gov.uk/riddor)

## Industry-specific guidance

*Accident Book B1510* HSE Books 2012 ISBN 978 0 7176 6458 0  
[www.hse.gov.uk/accidentbook.htm](http://www.hse.gov.uk/accidentbook.htm)

*Incident reporting in schools (accidents, diseases and dangerous occurrences)*  
EDIS1(rev2) HSE 2012 [www.hse.gov.uk/pubns/edis1.htm](http://www.hse.gov.uk/pubns/edis1.htm)

*Reporting incidents of exposure to pesticides and veterinary medicines: What to do if you think people, animals or the environment have been harmed by exposure to pesticides or veterinary medicines* Leaflet INDG141(rev1) HSE Books 1999  
[www.hse.gov.uk/pubns/indg141.pdf](http://www.hse.gov.uk/pubns/indg141.pdf)

*Fatal traction: Practical advice on avoiding agricultural transport accidents* Leaflet INDG279(rev1) HSE Books 2001 [www.hse.gov.uk/pubns/indg279.pdf](http://www.hse.gov.uk/pubns/indg279.pdf)

*Reporting injuries, diseases and dangerous occurrences in health and social care: Guidance for employers* Health Services Information Sheet HSIS1(rev1) HSE 2011  
[www.hse.gov.uk/healthservices/information.htm](http://www.hse.gov.uk/healthservices/information.htm)

## Further information

For information about health and safety, or to report inconsistencies or inaccuracies in this guidance, visit [www.hse.gov.uk/](http://www.hse.gov.uk/). You can view HSE guidance online and order priced publications from the website. HSE priced publications are also available from bookshops.

**This leaflet contains notes on good practice which are not compulsory but which you may find helpful in considering what you need to do.**

This leaflet is available in priced packs from HSE Books, ISBN 978 0 7176 6460 3.  
A web version can be found at: [www.hse.gov.uk/pubns/indg453.htm](http://www.hse.gov.uk/pubns/indg453.htm).

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## SEStran ACCIDENT / INCIDENT REPORT FORM

|   |                            |   |
|---|----------------------------|---|
| <b>SECTION 1</b><br>SERVICE:  | <b>DEPARTMENT/SECTION:</b> | <b>PREMISES/LOCATION OF ACCIDENT/INCIDENT</b> |
| <b>SECTION 2</b><br>EMPLOYEE <input type="checkbox"/> - (go to Section 2a)<br><b>OTHER</b> <input type="checkbox"/> - (tick relevant box & go to section 2b)<br>SERVICE USER <input type="checkbox"/> MEMBER OF PUBLIC <input type="checkbox"/> CONTRACTOR <input type="checkbox"/>   |                            |   |
| <b>SECTION 2a</b>   |                            | <b>SECTION 2b</b>                             |
| NAME: _____   | D.O.B _____                | NAME: _____                                   |
| Employee No. _____  | Telephone No _____         | HOME ADDRESS _____                            |
| JOB TITLE _____   |                            | Telephone No. _____                           |
| PLACE OF WORK _____   |                            |   |
| <b>SECTION 3- DATE &amp; TIME OF ACCIDENT:</b>  |                            |   |
| <b>TYPE OF ACCIDENT:</b><br>Please tick below as appropriate<br><b>ACCIDENT</b> <input type="checkbox"/> <b>INCIDENT</b> <input type="checkbox"/> <b>NEAR MISS</b> <input type="checkbox"/> <b>DANGEROUS OCCURRENCE</b> <input type="checkbox"/><br><b>VIOLENCE:-</b> <input type="checkbox"/><br><b>Physical</b> <input type="checkbox"/> i.e. throwing object <input type="checkbox"/> use of weapon <input type="checkbox"/><br><b>Verbal</b> <input type="checkbox"/> i.e. posturing <input type="checkbox"/> harassment : sexual <input type="checkbox"/> racial <input type="checkbox"/> disability <input type="checkbox"/> religion <input type="checkbox"/><br><b>Both</b> <input type="checkbox"/> <b>Other</b> <input type="checkbox"/> please specify ..... |                            |   |
| <b>SECTION 3a - DESCRIPTION OF ACCIDENT/INCIDENT</b>  |                            |   |
| <i>Were there any witnesses? Yes/No- if yes see Section 8</i>   |                            |   |
| <b>DESCRIPTION OF INJURY:</b><br>( If appropriate)  |                            |   |
| <b>DETAILS OF NAME OF FIRST AIDER AND ANY FIRST AID TREATMENT OR ADVICE/SUPPORT GIVEN:</b><br>(If appropriate)  |                            |   |
| <b>SECTION 3b – to be completed by person involved in Accident/Incident.</b><br>SEStran will process this data for recording and monitoring purposes in relation to the Health & Safety Policy and Procedures. In order to comply with Health & Safety Legislation, SEStran may have to disclose details of this accident/incident to the HSE.<br>I confirm that the details on this form are correct and that I am the person/guardian/parent of the person involved in the accident/incident as described. <i>Please circle as appropriate</i>  |                            |   |
| Printed Name: ..... Signed ..... Line/Unit Manager    Date .....  |                            |   |

*This form should be completed by the Employee and relevant Line/Unit Manager and returned as quickly as possible to the Office Manager. Line/Unit Managers should monitor whether the absence lasts 7 days or more and notify the HSE accordingly. You should NOT WAIT until the individual has signed the form or returned to work before forwarding a copy of the form to the Health Safety & Care Team.*

**Section 4 - MANAGER'S INVESTIGATION DETAILS** (Note: *Line Manager or Manager of Premises to complete this section*- Please attach copies of sketches, photographs and/or relevant documents to support your investigation. Witness statement(s) should also be included if applicable – see Section 8 – separate copies to be completed for each witness.)  
**EXACT LOCATION OF ACCIDENT/ INCIDENT**

**CAUSE OF ACCIDENT/ INCIDENT**

**IMMEDIATE ACTION TAKEN TO PREVENT RECURRENCE OF ACCIDENT/INCIDENT** (If appropriate)

WAS DEBRIEFING RECEIVED? YES  NO  IF YES WAS IT: EMPLOYEE  SERVICE USER  BOTH  GIVE DETAILS

**PROPOSED FURTHER ACTION TO PREVENT RECURRENCE OF ACCIDENT/INCIDENT** (If appropriate)

Printed Name: ..... Signed .....Line/Unit Manager Date .....

**SERIOUS ACCIDENT/INCIDENT – DIRECTOR COMMENTS**

Signed

Director/Head of Service

(date)

**SECTION 5 – ABSENCE DETAILS AS A RESULT OF ACCIDENT/INCIDENT**WAS TIME TAKEN OFF WORK? YES  NO WAS TIME OF MORE THAN 3 DAYS  NO  e.g. Reportable under old RIDDOR RequirementsWAS TIME OF MORE THAN 7 DAYS  NO **N.B. \* If absence lasts for more than 7 days, the Line Manager MUST notify the HSE as these absences are reportable as per RIDDOR legislation. (See details below on how to report to HSE)****SECTION 6 - REPORT TO HSE***N.B. The Line Manager must notify the HSE if an employee/client/service user: is fatally injured/has a major injury/is absent for more than 7 days as a result of an accident/incident at work or violence /is taken to hospital and stays in for more than 24 hours/or is involved in a dangerous occurrence, or a member of public who is injured through SEStran's negligence is taken directly to hospital from our premises. Must be reported within 15 days of accident.*

DATE REPORTED TO H.S.E.:

REPORTED VIA: INTERNET: <http://www.hse.gov.uk/riddor/report.htm>  Printed form to be attached to accident/Incident form HR 14)

TELEPHONE: (08453009923)

 Only for fatal or Major Injury September 2011**SECTION 7****COSTS ASSOCIATED WITH ACCIDENT/INCIDENT****DIRECT COSTS**GRADE

INJURED PERSON Lost Time = (hours)

Days Lost = (days)

**ANCILLARY PERSONS**

FIRST AIDER Lost Time = (hours)

WITNESSS Lost Time = (hours)

SUPERVISOR Lost Time = (hours)

MANAGER Lost Time = (hours)

OTHERS (please specify) Lost Time = (hours)

**DAMAGED EQUIPMENT**

(Repair costs or replacement costs) £

e.g. damaged clothes, replacement staff etc. £

£

**INDIRECT COSTS****TOTAL COSTS**

**Section 8 - WITNESS STATEMENT(S) – WITNESS REPORT OF ACCIDENT/INCIDENT**

*N.B. If more than one witness statement, please photocopy this page and attach it to the form.*

DID YOU WITNESS THE ACTUAL ACCIDENT/INCIDENT TAKING PLACE? YES  NO   
DID YOU ATTEND THE SCENE AFTER THE ACCIDENT/INCIDENT TOOK PLACE? YES  NO   
ARE YOU AN EMPLOYEE? YES  NO

NAME OF WITNESS \_\_\_\_\_ Address/ or place of work \_\_\_\_\_

Telephone number: \_\_\_\_\_

WITNESS STATEMENT:

**Witness:**

Printed Name: ..... Signed ..... Date .....

**SEStran will process this data for recording and monitoring purposes in relation to our Health & Safety Policy and Procedures. In order to comply with Health & Safety Legislation, SEStran may have to disclose details of this accident/incident to the HSE**

**Section 9 – Ethnicity of person/s involved in accident/incident**

Please note: This section should be fully completed by the individual involved in the accident/incident in order to satisfy the requirements of SEStran to report on statistics in connection with the Race Relations (Amendment) Act 2000 and all information will be treated as strictly confidential

**A. WHITE**

- Scottish
- English
- Welsh
- Irish
- Northern Irish
- Any other

White background, please write in .....

**B. MIXED**

- Any Mixed background, please write in .....

**C. ASIAN, ASIAN SCOTTISH, ASIAN ENGLISH, ASIAN WELSH OR OTHER ASIAN BRITISH**

- Indian
- Pakistani
- Bangladeshi
- Chinese
- Any other Asian background, please write in .....

**D. BLACK, BLACK SCOTTISH, BLACK ENGLISH, BLACK WELSH OR OTHER BLACK BRITISH**

- Caribbean
- African
- Any other Black background, please write in .....

**E OTHER ETHNIC BACKGROUND**

Any other background, please write in .....