

Accident/incident reporting, investigation, RIDDOR and frequently asked questions



Legislation and good management practice require that accidents/incidents and dangerous occurrences are recorded and, in some circumstances, reported to the Health and Safety Executive (HSE). Investigating and analysing work-related accidents/incidents is an essential part of managing health and safety.

Accident/incident reporting

- **Scope**

All employee and significant 3rd party (e.g. visitors, contractors, Community or Voluntary Controlled school pupils, service users) accidents/incidents arising out of a workplace or work activity (including curriculum or extra curriculum activities) must be recorded and reported on KCC's online accident/incident reporting HS157 form as soon as possible.

Some accidents/incidents will require further investigation and a HS160 form should be completed. This form can be accessed via KCC's online accident/incident HS157 reporting form.

Specific 3rd party and employee accidents/incidents must be reported to the HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR). See 'HSE - RIDDOR employee and 3rd party accident/incident reporting' in this document for guidance. Some accidents also need to be reported because they may affect an individual's rights under Social Security legislation.

- **The why, what and how**

It is important to record all accidents/incidents and near misses which arise out of KCC work, and where necessary carry out investigations as KCC:

- Have legal, moral, and financial obligations.
- Can investigate their cause and identify actions to be taken to prevent similar accidents/incidents from occurring again in the future.
- Can demonstrate a positive attitude to health and safety when remedial action has been undertaken following an investigation if legal action has been instigated.

Employee accidents/incidents are uploaded onto Oracle and is available for analysis via the Business Intelligence Health and Safety Dashboard; 3rd party data can also be viewed/analysed as this has been uploaded by an alternative method.

Statistical data is examined and collated on a quarterly basis; trends can be identified, and further guidance is implemented where necessary. The dashboard provides timely employee and 3rd party accident/incident statistics and complies with 'self-sufficiency',

enabling managers, to have instant access to their team’s data. This data may also be used to monitor work-related absence and time lost.

Reporting an accident/incident using KCC’s online HS157 form

Follow the instructions in the Electronic Reporting Employee and 3rd Party Inputting User Guides accessed via the health and safety pages on Knet and KELSI.

- **Accidents/incidents forms not required by KCC and to be kept locally**

Voluntary Aided, Foundation or Academy forms are not required and should be recorded on an in-house accident/incident reporting system.

KCC employees:

- Any illness, seizure, or epileptic fit, unless it has resulted from a work activity.
- Off duty accidents.
- Any very minor accidents/incidents e.g. a paper cut.

Pupils, client service users or other 3rd parties:

- Any resulting in no injury; unless a near miss due to faulty premises/equipment or lack of supervision.
- Minor accidents only taking a few moments of recovery time or applying a cold compress e.g. red marks, scratches.
- Any illness, seizure, or epileptic fit, unless it has resulted from a work activity.

See the accident/incident reporting leaflets on Knet and KELSI for further guidance.

- **Guidance on accident/incident categories and factors for consideration**

The explanation for each of the categories below will help you choose which appropriate box to tick on the online accident/incident reporting HS157 form for employees and 3rd parties. Consider the identified factors and possible prevention measures when carrying out an investigation.

Accident type	Activity
Moving and handling of a person	Lifting, carrying, supporting, moving, pushing, or pulling of a person. Incident factors: consider training, risk assessment, individual’s fitness, use of mechanical aids.
Manual handling of an inanimate object	Any transporting or supporting of a non-person load (including the lifting, putting down, pushing, pulling, carrying, or moving) by hand or bodily force’. Incident factors: consider weight, location, frequency, use of

	mechanical aids, assistance required, training, risk assessment, individual's fitness.
Struck by	<p>Involves an individual being struck by an object.</p> <p>Incident factors: struck by a falling object, hit by a moving or flying object, struck by an object being thrown or ejected from a machine.</p>
Sharp object	<p>Involves contact with a sharp object.</p> <p>Incident factors: faulty or damaged equipment, exposed sharp edges, needlestick injuries, glass, knives, kitchen equipment.</p>
Hot/cold contact	<p>Contact with a hot or cold surface or object.</p> <p>Incident factors: burns, scalds.</p>
Slip/trip/fall on same level	<p>A slip, trip, fall on the same level, including stairs.</p> <p>Incident factors: stairs, nosings and handrails, flooring, shoes, cleanliness of floor, liquid spills, polish, dropped litter, carrying equipment, lack of attention, running, playground collisions, snow, ice.</p>
Fall from height	<p>A fall from below or above ground level e.g. a ladder, staging, kick stool, chair, from the top of a vehicle, down a pit, side, or roof of a building, scaffolding.</p> <p>Incident factors: shoes, dizziness, carrying equipment, lack of guarding, poor scaffolding, drugs or alcohol, lack of training or attention.</p>
Machinery/equipment	<p>Involves the direct use of machinery or equipment.</p> <p>Incident factors: damaged/faulty machinery/equipment, guarding, lack of maintenance or training, incorrect use of equipment, safe system of working.</p>
Electrical injury	<p>Involves contact with electricity - shock, burn, spark.</p> <p>Incident factors: faulty or damaged equipment, exposed live wires, misuse of equipment, inadequate training, lack of maintenance.</p>

Awkward movement	<p>Resulted from an awkward movement.</p> <p>Incident factors: twisting, turning, moving in an awkward way.</p>
Hazardous substance	<p>Involves contact with a hazardous substance.</p> <p>Incident factors: inhalation, ingestion, skin contact, exposure to asbestos.</p>
Violence	<p>Involves written, verbal or physical abuse.</p> <p>Incident factors: assault, violent threats, abuse, or any other incident that the victim considered involved violence including telephone calls and written communication.</p>
Road traffic collision	<p>Involves use of a vehicle while at work or being involved in a work activity.</p> <p>Incident factors: fatigue, high speed, late for appointment, assault by passenger, unsuitable vehicle, lack of concentration, drugs, or alcohol, using equipment or eating while driving.</p>
Sports/PE	<p>Arose as part of a curriculum or extra-curricular activity only.</p> <p>Incident factors: faulty or damaged equipment, poor layout of equipment, lack of suitable supervision/training, or knowledge of skill. Failure to appreciate risks, insufficient procedures in place e.g. risk assessment.</p>
Animal contact	<p>Involves contact with an animal.</p> <p>Incident factors: bites, scratches, puncture wounds, stings.</p>
Near miss	<p>The incident could have resulted in an accident or injury.</p>
Other	<p>Only tick if none of the above categories apply.</p>

Accident/incident investigations

Investigations are essential to assist managers in identifying how and why things went wrong, the ways in which we can improve our methods of working and any appropriate lessons learnt in the interest of action to prevent re-occurrence.

An investigation should be carried out for accidents/incidents if:

- An HSE RIDDOR F2508 or F2508a form has been completed.
- It could happen again.
- There has been a near miss and the incident could have resulted in injury.
- It occurred from insufficient procedures/risk assessments or apparent failure to follow procedures/risk assessments.
- Damaged or faulty premises, plant or equipment were involved.
- There was insufficient supervision.
- There was any significant injury involving assault or violence.

The above list is not exhaustive and is provided as a guide. If you have any concerns following an accident/incident which you feel require further investigation, you should discuss them with your line manager or a health and safety adviser.

A KCC HS160 form (accessed via the online HS157 form) should be completed; this is automatically sent to the Health and Safety Team to process and a Health and Safety Adviser will be advised if required. Blank copies of the HS160 form should be kept locally to offer guidance on the information required for completion. It is advisable to hold all records of investigations so that lessons learned can be shared throughout the organisation.

Accident/incident investigators can be:

- Supervisors: as a person with a level of operational control of the area, they will have good local knowledge of the people involved, workplace conditions and sources of information e.g. risk assessments, working procedures.
- Middle or senior management: could be asked to take charge of the situation when the actual or potential scale of the incident exceeds the experience or authority of others to deal with the event. In schools the Headteacher or a member of the management team should carry out accident/incident investigations.
- Health and safety advisers: provide support and advice to managers and may assist with the investigation of accidents/incidents where necessary.
- Specialists: can be involved as and when necessary to deal with technical questions raised by the investigation (e.g. electricians, engineers, personnel, or occupational health advisers).

- Employee and Trade Union safety representatives: have a right to be involved in or carry out workplace accident/incident investigations. You may wish to engage either party when considering carrying out an investigation.

The aim of an investigation is to determine:

- who was involved?
- what happened?
- where and when did it take place?
- why did it happen?
- what can be done to prevent a reoccurrence?

In gathering the answers to the above questions, you should consider the following:

- Did something the individual(s) and/or organisation do or fail to do, contribute in any way to the accident?
- What further improvements might be considered by management or the individual(s) concerned to prevent a reoccurrence?
- The organisational health and safety arrangements.

Investigate whether procedures or guidance were being followed and if further control measures/improvements are required:

- Have risk assessments and procedures for the appropriate tasks been carried out?
 - Were they being followed correctly and are they available?
 - Are they reviewed on a regular basis?
- Are the work schedules achievable and were there enough staff?
- Are training records available?
 - Should the person have been carrying out the task?
 - Have they been trained?
- Are the maintenance logs up to date?
 - Are there any issues with the machinery/equipment?
- Was there adequate supervision?
- Were the correct equipment/tools used for the job?
 - Were employees sufficiently trained to use the equipment?
 - Were they being used correctly?
 - Were the appropriate guards in place?
 - Were they fit for purpose? (i.e. sufficiently maintained and in correct working order?)
- Was appropriate PPE required and available for the task?
 - Was PPE being worn correctly?

Consider environmental conditions:

- What were the weather conditions like, and did they contribute in any way?
- Was there adequate or poor heat/noise/lighting/ventilation?

- Was the layout of the area adequate?
- What was housekeeping, storage etc like?

Once you have investigated the accident/incident and detailed your findings you will need to develop an action plan that addresses any deficiencies identified and what further improvements you propose are needed to prevent a reoccurrence.

The plan can be both individual actions and/or actions which need to be put in place by the organisation. The plan should be agreed and passed to the appropriate individual(s) to action and sign/date on completion.

HSE – RIDDOR employee and 3rd party accident/incident reporting

KCC are legally required to report certain accidents/incidents to the HSE under RIDDOR 2013. Full details of what is notifiable is available on the HSE website; a F2508 or F2508A (specific reportable work-related diseases) must be completed. A responsible person should complete and save the RIDDOR form at the point of submission and attach it to the online HS157 accident/incident form, or email a copy to the Health and Safety Team (healthandsafety@kent.gov.uk) quoting the unique AF number. Contact the Health and Safety Advice Line on 03000 418456 for further information or advice if required.

Scope

Managers/supervisors are required to report specific notifiable accidents, incidents, diseases and dangerous occurrences that take place whilst at work. This guidance covers the types of accidents/incidents which are notifiable to the HSE and the methods/timescales for reporting.

- **The why, what, and how**

KCC are involved with a wide range of activities to meet the needs of the county e.g. social care, education, catering, transport, highway maintenance. Engaging in these activities means KCC are potentially exposed to and need to manage, a vast range of health and safety issues. It is therefore possible that certain notifiable accidents, incidents, diseases and dangerous occurrences may occur to employees whilst at work. Managers/supervisors will need to be aware of these and know how and when to report them.

Significant events that involve 3rd parties (contractors, visitors, client/service users, volunteers, agency staff and members of the public) whilst on KCC premises, also need to be reported via the HSE website.

It is important that KCC do not fail to report accidents/incidents which should be reported, as failure to do so is a criminal offence.

- **KCC employee work related accidents/incidents must be reported to the HSE if they have occurred from:**

- Damaged/faulty premises or equipment.
- Lack of health and safety processes or procedures.

And has arisen out of or in connection with work:

- Resulting in a specified injury including fracture (not fingers, thumbs or toes), amputation, loss of sight, electric shock, asphyxia, acute poisoning etc:
 - Notifiable within 10 days.
- Preventing the injured person from continuing their normal work for 7 or more consecutive days following the day of the accident/incident (this excludes the actual day of the accident/incident):
 - Notifiable within 15 days.
- Specific work-related diseases including Lyme disease, carpal tunnel syndrome (for activities involving the use of hand-held vibrating tools), occupational dermatitis, hepatitis etc. Written diagnosis from a doctor is required stating the employee has a reportable disease linked to occupational exposure. Visit the HSE's website for the full list of reportable diseases:
 - Notifiable immediately after a doctor's letter has been received stating the employee is suffering from a reportable work-related disease.
- Dangerous occurrences (collapse/failure of lifts or lifting equipment, accidental release or escape of any substance that may cause a serious injury or damage to health, plant coming into contact with overhead lines, electrical short circuit or overload causing a fire or explosion etc):
 - Notifiable immediately.
- Resulting in death:
 - Notifiable immediately, and contact KCC's Head of Health and Safety.
- **3rd party work related accidents/incidents that must be reported to the HSE if they have occurred from:**
 - Damaged/faulty premises or equipment.
 - Inadequate supervision.
 - Failing in the organisation and management of an event.

And has arisen out of or in connection with work, including curriculum or extra curriculum activities which:

- Resulted in an injury to a member of the public, pupil (classed as a member of the public), service user etc. and was taken from the scene of the accident/incident to a hospital and received treatment:
 - Notifiable within 10 days.
- Resulted in death:
 - Notifiable immediately, and contact KCC's Head of Health and Safety.

Reportable events which result in accidents/incidents to contractors through their own acts or omissions must be reported to the HSE by the Contractor's organisation.

Accident/incident reporting frequently asked questions

- Where can I get health and safety help and advice?

Health and safety advisers are available to assist you with carrying out your responsibilities and can be contacted by emailing healthandsafety@kent.gov.uk or telephone 03000 418456. If an accident/incident involves or has resulted in an occupational health issue being identified, then it is advised that a referral to Staff Care Services is made on 03000 411411.

- What do I do if I receive written correspondence from the HSE?

Inform and consult both the Head of Health and Safety, and a Health and Safety Adviser before responding. Refer to the Enforcing Authorities Communication on the health and safety pages of Knet and KELSI for guidance on how to proceed once contact is received about potential and actual investigation or enforcement action.

- What action is needed if I receive written correspondence from a solicitor regarding a litigation claim?

Before responding inform and consult a Health Safety Adviser and KCC's Insurance Team by emailing liability@kent.gov.uk or telephone 03000 418118.

- How long should accident/incident reporting forms be kept?

KCC's retention of records confirm all completed accident/incident forms should be kept securely for 4 years from the date of the accident (+ 22 years where the injured person is a minor at the time of the accident).

Accidents/incidents involving exposure to dangerous substances should be retained for 40 years.

- Do I have to use the HSE's accident book BI 510 2018 edition?

In agreement with the Department of Works and Pensions Form, the HS157 replaces the HSE's accident book BI 510 2018 edition and complies with the Data Protection Act 2018 if it is used correctly. KCC is therefore exempt from having to use the national accident book, as the information gathered on our electronic forms more than satisfies the requirements of accident reporting and investigation.

- Where do I report environmental pollution incidents?

All incidents that cause pollution to the environment (water, land or air) need to be notified to the KCC Environment Team on 03000 410237 / 03000 411471 or by email scc@kent.gov.uk.