

# Accident Reporting and Investigation Procedure

## Purpose

This procedure details what actions are to be taken in the event of an accident. It states how to investigate and document the accident event.

The purpose of the health and safety recording and investigation is to identify learnings and establish additional control measures to prevent a reoccurrence.

## Scope

This procedure is designed to meet the requirements of the Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 and the Management of Health & Safety at Work Regulations 1999 (regulation 5).

An accident record must be completed for all work-related accidents, or cases of ill health and any dangerous occurrences as defined by RIDDOR. This includes incidents of violence, including verbal abuse. A copy of each completed accident form and its investigation, either paper or electronically must always be available for examination by ateb, the Health and Safety Executive, Insurance Brokers and Health and Safety Representatives.

The Management of Health & Safety at Work Regulations 1999 (regulation 5) requires employers to plan, organise, control, monitor and review their health and safety arrangements. Health and safety investigations form an essential part of this process.

## Definitions

**Accident:** an event that results in injury or ill health

**Incident:**

- **Near miss:** an event not causing harm, but has the potential to cause injury or ill health.
- **Undesired Circumstance:** a set of conditions or circumstances that have the potential to cause injury or ill health.

**Dangerous Occurrence:** one of a number of specific, reportable adverse events, as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).

## Responsibilities

### Board

To have assurance that ateb have a commitment to provide adequate resource and facilities for the implementation of this Procedure.

### Chief Executive and Executive Directors

The Chief Executive and Executive Directors shall be responsible for the overall implementation of this Accident Reporting and Investigation Procedure by ensuring adequate resources are made available to promote accident reporting and investigation for root causes.

### All Line Managers

Shall be responsible for the day-to-day implementation of this Accident Reporting and Investigation Procedure and will ensure that all team members are aware of their responsibilities to report accidents & incidents, to include near misses, to their line manager.

## Responsibilities in the event of an accident

### First on the Scene:

- Should ensure the environment is safe, remain with the person (if injured) and help as appropriate until attention is received.
- According to the nature of the injury and geographic location, contact either ateb First Aider or the ambulance service (via emergency number 999).
- Complete incident investigation report form via TEAMS

### Casualty:

- Request first aid as required.
- Report the incident to your Line Manager as soon as possible and before the end of the working day.

### First Aider:

- Administer first aid as required.
- Assist with communication between emergency services and Line Manager where required.
- Ensure any first aid kits used are restocked.

### Line Managers:

- Ensure the casualty receives adequate treatment.
- Ensure the accident location is made safe.
- If required, obtain photographs of the scene and quarantine any suspected faulty equipment.
- Using the 'decision to investigate' table below, ensure the relevant investigation is completed and action accordingly any preventative actions highlighted. Seek advice from the H&S Adviser where an incident is medium or high level.

- Following an incident, ensure the incident investigation report form is complete to gather the relevant information in order to upload into Safety Cloud 2. Support the entry with any necessary documents depending on the level investigation being carried out. See the guidance below.

#### **Health & Safety Adviser:**

- Advise on whether an accident is RIDDOR reportable and send notification to the Health and Safety Executive if required.
- Conduct a meeting with the relevant Manager to discuss and agree any additional actions that may be required.
- Record any rectifying actions to be taken via Safety Cloud and communicate to relevant teams where necessary.
- Advise on further actions or investigations.
- Assist line managers in completing medium & high-level investigations and obtaining witness statements. Carry out spot audits on the quality of accident & incident reporting records on Safety Cloud 2.
- Provide training on accident & incident reporting to all teams where needed.
- Report to Safety Team on accident statistics and trends.

All accidents must be recorded on Safety Cloud 2.

## **Accident Investigation Procedure**

### **The Decision to Investigate**

It is ateb policy that all reported accidents/incidents will be investigated using the low/medium/high level investigation form.

The table below will be used by the Line Managers to assist in determining the level of investigation which is appropriate for the incident. This will be in consideration of the worst potential consequences of the adverse event.

#### **Likelihood of reoccurrence:**

**Certain** – it will happen again

**Likely** – it will reoccur but not as an everyday event

**Possible** – it may occur from time to time

**Unlikely** – it is not expected to happen again in the foreseeable future

**Rare** – so unlikely that it is not expected to happen again

#### **Potential Consequence:**

**Fatal** - work related death

**Major** – (injury or ill health as defined in RIDDOR schedule 1), includes fractures (other than fingers or toes), amputations, loss of sight, a burn or penetrating injury to the eye, any injury or acute illness resulting in unconsciousness, requiring resuscitation or requiring admittance to hospital for more than 24 hours.

**Serious** – (injury or ill health), where the person affected is unfit to carry out his or her normal work for more than three consecutive days

**Minor** – All other injuries where the injured person is unfit for his or her normal work for less than three days or damage to property, equipment, the environment, or production losses.

Likelihood of a reoccurrence	Potential consequence of an accident			
	Minor	Serious	Major	Fatal
Certain				
Likely				
Possible				
Unlikely				
Rare				

Risk	Low		Medium		High	
Investigation Level		Low Level		Medium Level		High Level

A Low-Level Investigation will involve a short investigation by the relevant Line Manager into the circumstances. It will include understanding the immediate underlying cause and the root causes of the incident to try to prevent a recurrence and to learn any general lessons. Record the outcomes of the investigation onto the Safety Cloud 2 reporting record.

A Medium / High-Level Investigation will involve a team-based investigation. The Health and Safety Adviser should be advised and will assist with the investigation. The investigation will involve the Senior Manager (if the H&S Adviser deems necessary), the person affected along with their Line Manager and any witnesses. It will look for the immediate underlying cause and root causes.

An investigation will involve an analysis of all the information available including physical (the scene of the incident), verbal (the accounts of witnesses) and written (risk assessments, procedures, instructions, job guidance etc.) information to identify what went wrong and put actions in place to prevent recurrence.

Once you have established the cause of the medium/high-level incident, a detailed report should be compiled which includes the following four steps:

#### Step 1: Gathering the information

Find out what happened and what conditions and actions influenced the adverse event.

It is important to capture information as soon as possible. This stops it being corrupted, e.g. items moved, guards replaced etc. If necessary, work must stop, and unauthorised access be prevented.

Talk to everyone who was close by when the adverse event happened, especially those who saw what happened or know anything about the conditions that led to it. The amount of time and effort spent on information gathering should be proportionate to the level of investigation. Collect all available and relevant information. That includes procedures followed, risk assessed method statements, opinions, experiences, observations, sketches, measurements, photographs, check sheets, permits-to-work and details of the environmental conditions at the time etc. This information can be recorded initially in note form, with a formal report being completed later. These notes should be kept at least until the investigation is complete.

## Step 2: Analysing the information

An analysis involves examining all the facts, determining what happened and why. All the detailed information gathered should be assembled and examined to identify what information is relevant and what information is missing. The information gathering and analysis are carried out side by side. As the analysis progresses, further lines of enquiry requiring additional information will develop. To be thorough and free from bias, the analysis must be carried out in a systematic way, so all the possible causes and consequences of the adverse event are fully considered.

## Step 3: Identifying suitable Risk Control Measures

The methodical approach adopted in the analysis stage will enable failings and possible solutions to be identified. Root cause analysis techniques should be used to identify the immediate, direct, and underlying causes of the incident.

These solutions need to be systematically evaluated and only the optimum solution(s) should be considered for implementation. If several risk control measures are identified, they should be carefully prioritised as a risk control action plan, which sets out what needs to be done, when and by whom. Assign responsibility for this to ensure the timetable for implementation is monitored.

## Step 4: The Risk Control Action Plan

An action plan for the implementation of additional risk control measures is the desired outcome of a thorough investigation. The action plan should have SMART objectives, i.e. Specific, Measurable, Agreed, and Realistic, with Timescales

For those risks that are not high and immediate, the risk control measures should be put into your action plan in order of priority. Each risk control measure should be assigned a timescale and a person made responsible for its implementation. Progress on the action plan should be regularly reviewed.

Please see the report template via TEAMS SA19 for completion. This needs to be added to the Safety Cloud 2 reporting record.

All investigations must be completed within 7 days of the incident occurring.

All medium-level investigations need to be approved by the H&S Adviser and signed by the line manager and H&S Adviser. This signed report needs to be added to the accident & incident record on Safety Cloud 2.

All high-level investigations need to be approved by a Director. The relevant Director will be presented with a copy of the investigation, and when satisfied with the content and actions to prevent recurrence, they will endorse it with a signature. This signed report needs to be added to the accident & incident record on Safety Cloud 2.

Any RIDDOR reportable accident will be completed by the H&S Adviser. The H&S Adviser will inform the relevant Senior Manager and/or Director of the need to report to the HSE.

### **Monitoring and Compliance**

The procedure and its implementation will be monitored by the Health and Safety Adviser. The Health and Safety Advisor as part of their audit programme will undertake an annual audit of this procedure as well as regular audits of training and records.

### **References**

HSG245 Investigating Accidents and Incidents.  
RIDDOR - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations

### **Documents**

Attached to this procedure are the following:

1. Accident / Incident report form
2. RIDDOR reporting Information Sheet
3. Medium/high level Investigation reporting template

### **Records**

Accident / incident statistics  
Accident reports, RIDDOR reports