



Accident and Incident Reporting & Investigation Policy

Corporate Health and Safety Team

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Document History

Name of Policy	H&SP04 Accident/Incident Reporting & Investigation
Purpose of Policy	This policy and subsequent arrangements outline the necessary reporting procedure, the information required in accidents, incidents (near misses) and occupational disease(s) reporting. It details the support available for a priority-based investigation of accidents, incidents and occupational illnesses and diseases. The legal duties to investigate accidents, near misses and occupational diseases are laid down in the Management of Health and Safety at Work Regulations 1999, and the Health and Safety at Work, etc. Act 1974. The reporting of certain accidents, dangerous occurrences and occupational diseases to the Health and Safety Executive (HSE) are detailed in the Reporting of Injuries, Diseases, and Dangerous Occurrence Regulations 2013.
Policy Applies to	All New Forest District Council employees including work for the Council on a voluntary basis or those employed on work experience. This policy also applies to contractors and agency staff working on any Council premises and any member of the public involved in an accident or incident whilst on a Council premises or as a direct result of the Council's work activities.
Update Frequency	2 years
Latest Update	September 2024
Update Overview	<p>February 2022 - Revised policy reflecting organisational changes, the leisure centre transfer to Freedom Leisure, and the updated accident, incident and near miss reporting forms.</p> <p>September 2024 - Updated into new corporate format, clarification in roles and responsibilities, investigation templates reviewed.</p>

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1. Introduction

As a responsible employer New Forest District Council plans to reduce accidents and ill health at work to as low a level as is reasonably practicable. To do this the Council has introduced the following accident/incident reporting and investigation policy and subsequent procedures. This policy has been endorsed by the Executive Management Team and sets out the arrangements for reporting incidents/accidents and undertaking a suitable investigation into the root causes and identifying suitable recommendations to relevant managers to reduce the likelihood of reoccurrence.

1.2. Scope of Policy

This policy applies to all employees of New Forest District Council and those individuals undertaking work on behalf of New Forest District Council (agency and voluntary staff) and individuals who are affected by their acts or omissions.

2. Legislative and Regulatory Context

2.1. The Health and Safety at Work etc. Act 1974

The Health and Safety at Work etc. Act 1974 is the primary piece of legislation covering occupational health and safety in Great Britain. It sets out the general duties which employers have towards employees and members of the public, employees have to themselves and each other and certain self-employed have towards themselves and others.

2.2. Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013

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

- Work-related fatalities
- Work-related injuries
- Diagnosed cases of reportable occupational diseases
- Certain dangerous occurrences.

2.3. The Management of Health and Safety at Work Regulations 1999

The Management of Health and Safety at Work Regulations 1999 places additional duties on employers and employees on managing health and safety in the workplace. 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 the process.

3. Definition

Term	Definition
Accident	An unplanned event that does cause injury, damage or ill health.
Incident	An unplanned event that does not cause injury, damage or ill health but could have.
F2508/A Form	The prescribed HSE form used to report an accident, dangerous occurrence, or occupational disease under RIDDOR 2013.
Dangerous Occurrence	The list of dangerous occurrences in Schedule 2 of the RIDDOR Regulations is designed to obtain information primarily about incidents with a high potential to cause death or serious injury, but which happen relatively infrequently. They include failure of lifting equipment; an explosion or fire caused by an electrical short circuit.
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 2013. Legislation which places a duty on employers to report certain occupational accidents, injuries, dangerous occurrences, and diseases, e.g., 7-day injury. Reporting is to be undertaken by the Responsible Person. Reportable incidents include injuries to non-employees which results in them being taken directly to hospital for treatment.
Contractor Incident Notification Protocol	in accordance with the Corporate Control of Contractors Policy, breaches in health and safety legislation and safety standards must not be ignored. The Contractor Incident Notification Protocol has been implemented so should breaches in legislation occur, e.g., Construction Design Management Regulations 2015, or poor health and safety practices be observed during a site inspection, then these can be feedback to other N.F.D.C. teams.
Violence and Aggression	An act of violence or aggressive behaviour, including over the phone or email towards an NFDC employee or third-party contractor working on behalf of NFDC.
Suitable and Sufficient	Suitable for the level, risk, and complexities of the task/project.
Competent Person	Someone who has sufficient training, experience, knowledge, and skill for the task.
SMART	Specific, measurable, agreed, realistic and time-bound recommendation and actions identified with an accident/incident investigation.

4. Roles and Responsibilities

4.1. Executive Management Team must:

- Review and consider the findings of any accident/incident investigation report.
- Support managers in implementing control measures and recommendations identified within accident/incident investigations to reduce the likelihood of reoccurrence, as far as is reasonably practicable.
- Review and consider the findings of the quarterly accident/incident statistical reports.
- Lead by example on all health and safety matters and encourage a positive safety culture ensuring good communication channels throughout the workforce.

4.2. Senior Managers must:

- Ensure staff within their service area are aware and have access to all accident and incident report forms.
- Ensure all employees within their service area are provided with sufficient training, experience, knowledge, and skill to report and investigate accidents and incidents.
- Support managers and the Corporate Health and Safety Team in undertaking suitable and sufficient accident/incident investigations.
- Support managers in implementing control measures and recommendations identified within accident/incident investigations to reduce the likelihood of reoccurrence, as far as is reasonably practicable.
- Monitor implementation of control measures assigned to management under their purview following a completed accident investigation and ensure that these are carried out in a timely and appropriate manner.

4.3. Line Managers/Supervisors must:

- Ensure staff with their team have access to accident/incident forms.
- Provide employees within their teams with sufficient information, training, and instruction to allow them to meet their duties as outlined within this policy.
- Ensure accidents, incidents, near misses and occupational diseases are recorded and reported through to the Corporate Health and Safety team.
- Ensure that adequate information is provided to employees following the implementation of new control measures or safe systems of work.
- Support the Corporate Health and Safety team in undertaking accident/incident investigations.
- When required, complete the AIIR3 template as identified within the policy.
- Support the Corporate Health and Safety Team in gathering appropriate information on accidents/incidents, this includes witness statements, details of third parties, site conditions equipment and PPE used.
- Review and consider the findings of any accident/incident investigation report.
- Implement all required actions as identified within relevant accident/incident investigations.
- Ensure the Corporate Health and Safety team are provided appropriate information to submit RIDDOR reportable incidents to the HSE within the regulatory timeframe.

4.4. Corporate Health and Safety Team must:

- Review the Corporate Accident/Incident Reporting & Investigation Policy and appendix every 2 years or if there has been a significant change.
- Undertake a full accident/incident investigation in line with the procedures set out in this policy.
- Ensure all RIDDOR reportable incidents/accidents are reported to the HSE within the relevant time-period.
- Liaise with enforcement bodies on behalf of New Forest District Council.
- Support all managers and supervisors in undertaking suitable and sufficient accident/incident investigations. As identified within the procedures set out within this policy.
- Provide all employees with access to report accident/incidents immediately.
- Maintain the accident/incident database, ensure all records are saved to the Councils document management system in line with the Councils retention policy.
- Act as the Councils competent person in relation to regulation 7 of the Management of Health and Safety at Work Regulations 1999.
- Provide members of the Service Safety Panels and Executive Management team with quarterly accident/incidents statistical reports.
- Support the Risk and Insurance Officer in undertaking suitable and sufficient investigation and as necessary as part of a civil claim.

4.5. Employees must:

- Follow the procedures set out within this policy.
- Report all incident/accidents involving themselves all members of the public (when relevant).
- Provide managers, supervisors or a member of the Corporate Health and Safety Team with factual information as part of the incident reporting process or as part of an accident/incident investigation.

4.6. Human Resources must:

- Update the Corporate Health and Safety Team when an employee is off work for over 7 days as a result of a workplace injury.
- Support managers, supervisors and the Corporate Health and Safety Team in following the procedures outlined within this policy.

4.7. Risk and Insurance Officer must:

- Act as the main liaison between the Council and its insurers.
- Support the Corporate Health and Safety Team when undertaking any accident investigation.
- Investigate all vehicle incidents, which do not result in an injury.
- Provide quarterly stats on vehicle incidents to all Service Safety Panels.

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5. Reporting Procedures

5.1. Reporting Accident/Incidents and Near Misses

All employees must report all accidents/incidents, near misses and cases of occupational disease. All accidents/incidents and near misses must be reported as soon as is reasonably practicable. The Corporate Health and Safety team have created several forms that allow employees to report all accident/incidents and near misses. All forms are held on the Corporate Health and Safety SharePoint pages (**Accidents and Near Misses**).

Additional information on reporting abuse, violence or aggression can be found on the **Abuse, Violence & Confrontation** SharePoint pages.

5.2. Reporting Member of the Public Accidents/Incidents

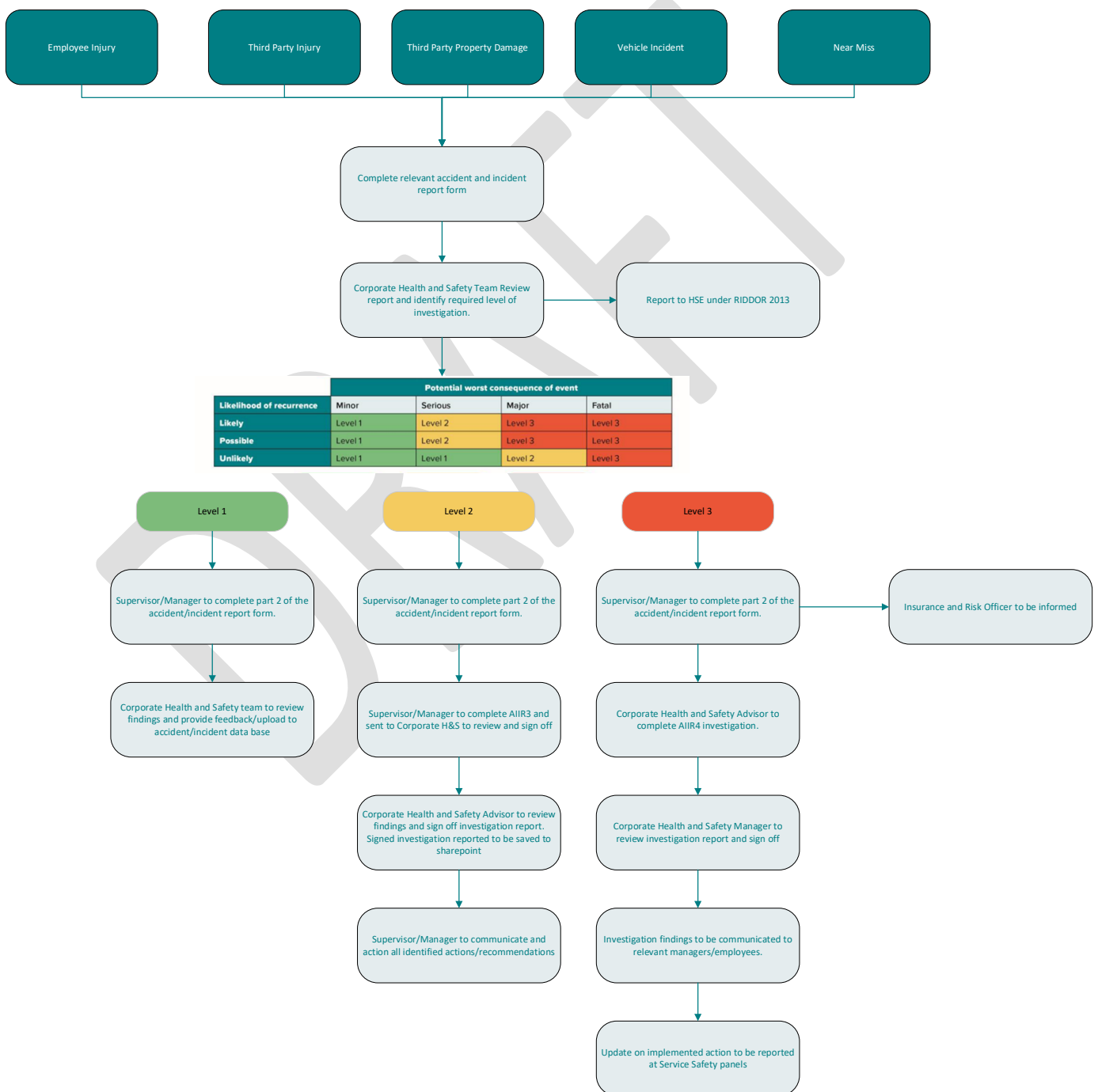
Incidents involving members of the public must be reported to the relevant supervisor/line manager and a member of the Corporate Health and Safety Team, this must be done using the relevant **member of the public accident/incident report form**. If you are unable to complete a member of the public accident/incident report form with the injured person on site, supervisors/managers must send a copy of the completed form to the injured party and guide them to the **Council Privacy notice**. If you are unable to provide this information to the relevant injured person, please contact a member of the Corporate Health and Safety Team via email (**healthandsafety@NFDC.gov.uk**).

5.3. Vehicle Accidents

Employees who drive on Council business, including fleet vehicle and grey fleet vehicle drivers, must report any vehicle incident or near miss. Employees must complete the **motor claim form**, once completed a copy will be sent to the relevant Supervisor/Line Manager, the Corporate Health and Safety Team and the Councils Insurers. All fleet vehicle incidents which do not result in an injury are reviewed and investigated by the Risk and Insurance Officer.

6. Investigation Procedures

All accidents, incidents and near misses must be appropriately investigated by the relevant supervisor, manager or member of the Corporate Health and Safety Team. The level of investigation required must be proportionate to the severity of the accident, incident or near miss. The below flowchart sets out the requirements for investigation within the Council.



6.1. RIDDOR Reportable Incidents

As outlined under RIDDOR 2023 certain incident/accidents must be reported to the HSE. The following incidents must be reported to the HSE:

- The death of any person (with the exception of suicides)
- Specified reportable injuries:
 - Fractures (other than to fingers, thumbs, and toes).
 - Amputation of an arm, hand, finger, thumb, leg. Foot, toe.
 - Any injury likely to cause permanent blinding or reduction in sight in one or both eyes.
 - Any crush injury to the head or torso causing damage to the brain or internal organs in the chest or abdomen.
 - Serious burns (including scalding) which cover more than 10% of the body, cause significant damages 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.
- Over-7-days missed by a worker due to a workplace injury (this includes weekends).
- Non-fatal incidents to members of the public (if the person has been taken directly from the scene of the accident to hospital for treatment to that injury).
- Occupational diseases
- carcinogens, mutagens, and biological agents.
- Certain Dangerous Occurrences including gas incidents and asbestos incidents.

Employees should visit the [HSE RIDDOR pages](#) for further information on all RIDDOR reportable incidents or contact member of the Corporate Health and Safety Team via email (healthandsafety@NFDC.gov.uk).

Incident must only be reported to the HSE under RIDDOR 2013 by a member of the Corporate Health and Safety Team.

Only a member of the Corporate Health and Safety team should report an incident to the HSE under RIDDOR 2013.

6.2. Follow up Action Following RIDDOR Report

Once a report has been submitted to the HSE under RIDDOR, a member of the Corporate Health and Safety team must save a copy of the form and record on the Councils document management system in line with the Councils records and retention policy. A member of the Corporate Health and Safety Team must also share a copy with the relevant Senior Manager, Supervisor, Assistant Director, Strategic Director, and insurance & Risk Officer.

6.3. Low Level Accident/Incident Investigation Procedures

Following the flowchart under section 6. All accident/incidents that fall under the low-level investigation category must be locally investigated by the relevant supervisor/manager. Managers/supervisors must complete the management action section of the relevant accident/incident form. Managers/supervisors must include specific information about the root, underlying and immediate causes of the incident. Managers/Supervisors should also review relevant risk assessments, method statements, witness statements and safe systems of work. As part of the review process, a member of the Corporate Health and Safety Team will review the incident and the managers/supervisors' comments and, where appropriate detail has not been provided, the Corporate Health and Safety Team will follow up with the relevant manager/supervisor.

6.4. Supervisor/Manager Accident/Incident Investigation Procedures

Where required within the accident/incident investigation flowchart or when indicated by a member of the Corporate Health and Safety team, the relevant supervisor/manager must complete the AIIR3 accident/incident investigation form. Supervisor/Managers must answer all questions identified within the templates and provide sufficient factual information. The Corporate Health and Safety team will provide additional advice and guidance to all Supervisor/Managers where required. Each investigation report will include the root causes, underlying causes and immediate causes and SMART recommendations to prevent reoccurrence.

Once completed, a copy (including all relevant appendices) must be submitted to the Corporate Health and Safety team for review. The Corporate Health and Safety team will add additional feedback to the form, once agreed, a copy of the investigation report must be signed by the relevant Supervisor/Manager and a Corporate Health and Safety Advisor. A copy of the investigation report and original incident report must be saved to the Corporate Health and Safety teams internal SharePoint pages for record keeping. A copy will be held in line with the Councils retention policy.

6.5. Full Accident/Incident Investigation Procedures

All RIDDOR reportable incidents and incidents/accidents which could result in potential enforcement action, lead to a serious injury/fatality or could lead to a civil claim must be investigated by a member of the Corporate Health and Safety team. The Corporate Health and Safety team will undertake an investigation using the AIIR4 Template.

All full accident/incident investigations must be signed by the relevant Corporate Health and Safety Advisor and the Corporate Health and Safety Manager.

All full investigation reports will be communicated to the relevant Supervisor/Manager, Service Manager, Assistant Director, Strategic Director, and Insurance & Risk Officer.

Each investigation report will include the root causes, underlying causes, immediate causes and SMART recommendations to prevent reoccurrence. All actions will be logged by the Corporate Health and Safety team and reported at subsequent Service Safety Panel meetings.

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7. Performance Management

7.1. Accident/Incident Stats

To achieve a positive health and safety culture it is important to be open and transparent with the accidents and incidents that occur. Recording and reporting on accident and incident stats also helps organisations identify potential trends which could give rise to significant incidents in the future.

The Corporate Health and Safety Team are responsible for maintaining the corporate accident/incident database (**employee accident database**) (**member of the public database**). The Corporate Health and Safety team will also provide a statistical accident/incident report to all members of the service safety panels and the Executive Management team every quarter. This report will also include information on all significant accident/incidents and RIDDOR reportable incidents.

Where trends are identified, the Corporate Health and Safety Team will take immediate action, this may include undertaking a specific investigation and report. The finding of a report will be sent to the relevant Manager, Supervisors and Service Manager with additional recommendations.

8. Liaising with Third Parties

7.1. The Health and Safety Executive (HSE)

The more serious workplace incidents are required to be reported under RIDDOR 2013 to the HSE via the online F2508/A e-form. As the Responsible Persons this statutory reporting will be undertaken by members of the Corporate Health and Safety team.

An HSE representative may contact New Forest District Council seeking further information to support the information on the F2508 submission, and this would be responded to by the Corporate Health and Safety team, usually the adviser who completed the form. It may be the case that by assuring the HSE representative that a full internal investigation is being undertaken by a competent person, that this could persuade them a visit from a Health and Safety Inspector is not required. Where a serious incident has resulted in the HSE asking for an interview under caution with an employee of New Forest District Council, the Corporate Health and Safety Team will provide assistance along with colleagues in the Legal Service.

7.2. Insurers

For some of the incidents which are reported, where the outcome of the incident has resulted in property damage, harm or injury to an employee or non-employee, there will be interest from the insurers of New Forest District Council.

The Council will not always be liable to compensate. Often events occur which are not due to any negligence on the part of the council. As such there is no automatic right to compensation and the majority of claims are not paid. Negligence must be established against the Council for any claim to succeed, and it is suggested claimants seek legal advice.

As per reporting incidents as listed in this policy, insurers require the below as a minimum:

- Full name and address
- Exact date and time of the incident
- Exact location (photographs and or sketch map will assist)
- Brief summary of the circumstances
- The reason why you think the council is at fault for the accident.

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9. Relevant Legislation & Guidance

- **Health and Safety at Work etc Act 1974**
- **The Management of Health and Safety at Work Regulations 1999**
- **The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013**
- **HSE RIDDOR 2013 Webpages**
- **HSE RIDDOR Make a Report Webpages**
- **Corporate Health and Safety SharePoint “Corporate Policies” pages**
- **Corporate Health and Safety SharePoint “Accidents and Near Misses” pages**
- **Corporate Health and Safety SharePoint “Abuse, Violence, Confrontation” pages**
- **Contractor incident Notification Protocol Report Form**

10. Appendices

Appendix 1 – AIIR3 Template

Appendix 2 – AIIR4 – Corporate Health and Safety Accident/Incident Report Template

Appendix 3 – Statement of Witness Template

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