

Health and Safety Department

Reporting of Accident, Dangerous Occurrences and Occupational Ill Health Policy

Policy on the Reporting and Investigation of Incidents.

This document forms part of Loughborough University's health and safety policy
Version 8 December 2017

Dangerous Occurrences and Occupational Ill Health

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1. Introduction

- 1.1. Regulation 5 of the Management of Health and Safety at Work Regulations 1999 requires employers to plan, organise, control, monitor and review their health and safety arrangements. Reporting and investigating workplace accidents and cases of ill health, forms an essential part of this process.
- 1.2. Hazards are present in all workplaces and risk control measures are put in place to minimise the identified risks and to prevent accidents and cases of ill health. The fact that an accident, dangerous occurrence, case of ill health or near miss has occurred may indicate that the existing risk control measures were inadequate.

2. University Policy

- 2.1. It is the policy of Loughborough University to ensure that all injuries, occupational diseases and dangerous occurrences which are reportable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (as amended) (RIDDOR) 2013, are reported to the Health and Safety Executive (HSE) by the most appropriate means.
- 2.2. The initial report of an injury, disease or dangerous occurrence will indicate to the University Health & Safety Service (UH&SS), the seriousness of the incident or accident and an appropriate investigation will be carried out. Those incidents or accidents resulting in serious personal injury or significant loss or damage to property will be investigated.
- 2.3. All Schools, Departments and Professional Services will ensure that accidents resulting in injury or damage to plant etc., dangerous occurrences, cases of occupational ill health and near misses are reported to the UH&SS on the online Accident Report Form (ARF) or Near Miss / Dangerous Occurrence form. Both of which are available at; <https://sheassure.net/lboro/Portal/lbu/Index>

3. Relevant Legislation

- The Health and Safety at Work etc. Act 1974 applies to all work activities. It requires employers to ensure, so far as reasonably practicable, the health and safety of their employees, other people at work and members of the public who may be affected by their work.
- The Management of Health and Safety at Work Regulations 1999 apply to everyone at work, regardless of what that work is. They require employers to plan, control, organise, monitor and review their work. They should assess the risks associated with work to identify the control measures necessary to reduce these risks.
- RIDDOR requires that certain types of injuries, some cases of occupational ill health and some dangerous occurrences have to be reported to the HSE within specified time constraints.
- The Health and Safety (First-Aid) Regulations 1981 require employers to provide adequate and appropriate equipment, facilities and personnel to ensure their employees receive immediate attention if they are injured or taken ill at work.
- The Social Security (Claims and Payments) Regulations 1979 require the injured worker or person acting for them to give the employer specific details of accidents as soon as practicable either in writing or orally. The employer is required to investigate

the circumstances of every accident reported and record the circumstances. It also requires employers with ten or more employees to keep an accident book that is readily accessible. All accidents in the workplace must be recorded in the book and records must be kept for a minimum of three years after the last recorded entry.

4. Procedures and Guidance

4.1. Reporting of Serious Incidents

For the most serious incidents such as a fatality, or an incident attracting media attention, the following shall be contacted as soon as possible by telephone (or quickest method available if telephone is not available):

- The Chief Operating Officer
- The Vice Chancellor
- The Health, Safety and Risk Manager

These individuals will then be responsible for deciding who else needs to be immediately contacted regarding the incident.

4.2. All Accidents Requiring First Aid

It is the responsibility of Heads of Schools and Heads of Professional Services to ensure that all accidents requiring first aid treatment are reported on an ARF and submitted to the UH&SS without delay. In these circumstances a first aid treatment form must accompany the ARF. Where accidents occur and students are injured in or adjacent to Halls of Residence, it is the responsibility of Hall Wardens or Sub Wardens to report.

4.3. Dangerous Occurrences

Dangerous occurrences should be reported on the online Near Miss / Dangerous Occurrence form. Available at;

<https://sheassure.net/lboro/Portal/lbu/Index>

The forms can be used by anyone to submit a report of a near miss or dangerous occurrence. Reports can be submitted by someone acting on another person's behalf. Reports are processed by system administrators. They can then be assigned for further investigation, or approval and archiving. The reporting person shall complete the form as soon as possible after the incident, even if all details are not immediately available.

The reporting of near misses is encouraged. A near miss is not the same as a dangerous occurrence. Dangerous occurrences are defined by, and are statutorily reportable under RIDDOR. Reporting and investigating near misses is part of the University's "lessons learned" mechanism. Learning from things that had the potential to go wrong, even though there had been no injury or loss involved.

4.4. Occupational Health

Any employee who believes they are suffering from ill health attributable to their work should report it to the Occupational Health Advisor, (OHA), (in confidence where necessary).

Any manager who considers that an employee is suffering from a work related illness or disease should also report this directly to the OHA. (email: occupationalhealth@lboro.ac.uk) or Telephone 01509 222851 / 222850.

Certain occupational illness and diseases are reportable to the HSE. The OHA shall investigate all cases and, where necessary refer the case to the University's Occupational Health Physician for further investigation.

4.5. Statutory Reporting Obligations Under RIDDOR

Whenever necessary, reports of injuries etc. under RIDDOR are made to the HSE by the "responsible person" (the University Health and Safety Service (UH&SS)). The UH&SS is the single point of contact between the HSE and the University in respect of RIDDOR. It is important therefore, that all relevant information is passed to the UH&SS as soon as possible, by completing the relevant online form, and in more serious cases, informing the UH&SS by the quickest practicable means e.g. telephone. (Contact UH&SS by telephone on; 01509 222181 or email; HSE@lboro.ac.uk).

Fatalities and major injuries must be notified to the HSE forthwith using the quickest practicable means. (A list of major injuries is given in a Schedule to RIDDOR). A further written report on an F2508 form must be made to the HSE within 10 days of any of the aforementioned reports.

Employers are required to report injuries that lead to a worker being incapacitated for more than seven consecutive days. 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 but including weekends and rest days). The report must be made as soon as reasonably practicable and in any case, within 15 days of the accident / incident. Employers must keep a record of any accident, including those where the worker has been incapacitated for more than three consecutive days.

Injuries to members of the public or people who are not at work, which arise out of or in connection with work activity and which result in the injured person being taken to hospital from the scene of an accident for treatment, are reportable. Injuries must be reported forthwith by the quickest practicable means. A further written report on an F2508 form must be made to the HSE within 10 days.

Certain specified dangerous occurrences, which involve major accident potential, are reportable, even where personal injury has not occurred. A list of dangerous occurrences is given in Part 1 of Schedule 2 of RIDDOR. Dangerous occurrences must be reported forthwith by the quickest practicable means. A further written report on an F2508 form must be made to the HSE within 10 days.

Certain specified occupational diseases must be reported to the HSE forthwith, if, in respect of an employee, a written diagnosis of one of the occupational diseases, (listed in Column 1, Part I of Schedule 3 of RIDDOR), is received from a doctor, and the affected employee's current job involves the corresponding work activity, (listed in Column 2, Part I of Schedule 3 of RIDDOR).

In the event of accidents occurring outside normal working hours, or during the absence of officers in the UH&SS, relevant information regarding major incidents must be telephoned to the LU Security Service, who in turn will oversee the notification arrangements in accordance with procedures agreed between the University Health, Safety and Risk Manager and the LU Security Service Manager. (Contact the LU Security Service on; 222141, or email; gatehouse@lboro.ac.uk).

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All RIDDOR reported injuries, cases of ill health and dangerous occurrences must be reported by the UH&SS to the University Insurance Officer as soon as possible after the RIDDOR notification. This ensures that the insurance office keeps the University's Employers and Public liability insurers informed of any possible claims.

4.6. Records and Statistics

Detailed records of all accidents, dangerous occurrences and reportable occupational health illnesses are maintained by the UH&SS. Data on non-reportable ill-health is maintained by the OHA. Accident statistics are reported to every meeting of the University Health, Safety & Environment Committee.

Under RIDDOR and the Social Security (Claims and Payments) Regulations 1987, an accident book / record must be maintained. The online Accident Report Form fulfils this requirement.

4.7. Application to Contractors and Visitors

Contractors, visitors, and self- employed persons, whilst on University premises, must report all accidents, near misses and dangerous occurrences to the UH&SS, via the Department or Professional Service for which they are temporarily employed or visiting. If a contractor or self- employed person uses their own version of an accident report form, a copy should also be sent to the UH&SS.

4.8. Completion of an online Accident Report Form (ARF)

The form can be used by anyone to report an accident, or case of ill health. It can also be filled out by someone acting on another person's behalf.

The ARF should normally be completed and submitted to the UH&SS within 24 hours of accidents and dangerous incidents occurring. In the case of occupational ill-health, the form should be completed immediately a written confirmation of diagnosis of reportable occupational ill-health, relating to academic or work activities, has been received.

Departments and Professional services should indicate whether the reported incident caused any absence from work. However, it may not be practicable for departments to complete the relevant section of the report accurately in respect of lost time injuries, therefore the form should be submitted in accordance with the above instructions, even though all details may not be immediately available.

Departments should subsequently advise the UH&SS by telephone or email immediately the information relating to absence from work becomes available. The UH&SS will then update the outstanding section of the form and also liaise with the Insurance Office in respect of lost time injuries and occupational ill- health. After 1 December 2017, the online reporting system replaces the use of hard copy versions of the ARF.

5. Incident Investigation

The Health, Safety and Risk Manager shall confirm the investigation level based on the description detailed below:

- Level 1 A basic investigation involving the department / function personnel initiated after any incident.
- Level 2 A detailed investigation carried out by a team appointed by the Chief Operating Officer and the Health, Safety and Risk Manager. This team may include representatives from other Schools / Functions and specialists brought in to assist with the investigation process.

The incident potential rating should be used to determine the worst probable outcome of a situation. The outcome must be credible in terms of potential circumstances and severity.

In order to determine the potential circumstances, it is necessary to consider what could have happened and how severe the incident could have been. The actual outcome of an incident may not realize the ultimate potential outcome.

Each School or Service shall make appropriate arrangements to investigate incidents and cases of ill health in a timely manner and as soon as reasonably possible (without compromising investigation findings).

The level of investigation shall be generally based upon the incident Potential Matrix

When using this matrix consider the potential outcome of the incident, not the actual outcome		Number of People				
		0	1	1-2	2-10	10+
Consequence	Injury / Health					
	1 First Aid / minor health effect					
	2 Medical treatment / restricted work / moderate health effect					
	3 Lost time injury / Significant Health effect					
	4 Serious injury / severe health effect / long term disability					
	5 Fatality					
		High Potential Incidents (Red) = LEVEL 2, Medium Potential Incidents (Amber) = LEVEL 1 or 2 (at H&S Manager's Discretion)				

High Potential Incidents (Red)	Level 2
Medium Potential Incidents (Yellow)	Level 1 or 2 (at the Health, Safety and Risk Manager's discretion)
Low Potential Incidents (Green)	Level 1

The Health, Safety and Risk Manager shall have the authority to overrule these levels to reflect low potential incidents that may have significant learning potential, of medium/high potential incidents that may have little learning potential.

Composition of the Investigation Team

The investigation team for a Level 2 investigation shall be led by an independent senior manager.

In selecting team members, consideration should be given to ensuring that the team members have relevant experience of the incident and work processes, the should include at least one member with professional Health and Safety expertise.

Scope and objectives of the Investigation As a minimum they shall include:

- To identify the sequence of events
- To identify the Immediate and Root Causes
- To make recommendations and agree actions to prevent recurrence of the incident

Level 2 investigations will require a written investigation report to be completed.

5.1. Incident Review Panel (IRP)

For incidents requiring a level 2 investigation an incident review panel shall be established which will:

Confirm the adequacy of the investigation

Ensure that root cause(s) have been identified

Identify any further actions to share learning and closeout the incident The IRP shall be based upon the Risk Potential Matrix with the following priority:

High Potential Incidents (Red)	Shall be taken to an Incident Review Panel chaired by Chief Operating Officer or Deputy Chief Operating Officer (or their nominated deputy)
Medium Potential Incidents (Yellow)	Shall be taken to an Incident Review Panel chaired by the Dean or Head or Director of the Function

Low Potential Incidents
(Green)

Shall not normally be taken
to Incident Review Panel
unless advised by the
Health, Safety and Risk
Manager

Principles for the Incident Review Panel

The following principles will apply:

1. All incidents classed as requiring level two (more in depth investigation) will be presented to the Incident Review Panel by the Dean or the Director or Head of function within 4 weeks of the incident. If it has not been possible to complete the incident report in this time a preliminary incident report will be presented to the Incident Review Panel by the Dean or the Director or Head of function they may be supported by relevant staff. The preliminary report should detail the incident, preliminary findings, action taken to date and ongoing, and timescale to report fully to the Incident Review Panel.
2. The IRP attendees will include the Chair, a representative from the Health and Safety function and such other attendees agreed by the Chair and the Health, Safety and Risk Manager. These attendees will be of a suitable seniority e.g. Other Deans, Directors or Heads of Department, Operations Managers etc. In additional technical specialists may be invited to attend for their specific specialist input.

6. Definitions

- 6.1. Accident – Any unplanned event that results in personal injury or damage to property, plant or equipment.
- 6.2. Incident – Any event or occurrence which might disrupt or interfere with normal operations e.g. false activation of the fire alarm system, malicious damage.
- 6.3. Near misses – Any unplanned event or chain of events in which personal injury or damage to property, plant or equipment has only been avoided by chance.
- 6.4. Hazard – The potential to cause harm, including ill health and injury, damage to property, plant or the environment or increased liabilities.
- 6.5. Risk – the probability or chance that a hazard will lead to harm.
- 6.6. Harm – Injury, ill health to people and effects on the University.
- 6.7. Incapacitated – a worker is absent, or is unable to do work that they would reasonably be expected to do as part of their normal work.

7. References and Further Reading

- Managing for health and safety HSG 65; Go to; <http://www.hse.gov.uk/managing/index.htm>
- Reporting accidents and incidents at work – a brief guide to the Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) – INDG 453 (Rev1) HSE Books.

HSE priced and free publications are available by mail order from; HSE Books, PO Box 1999, Sudbury Suffolk CO10 2WA. (Email; hsebooks@prolog.uk.com, or, download from; <http://books.hse.gov.uk/hse/public/home.jsf>)

8. Document Management Table

Version	Owner	Revised by	Summary of revision	Date of revision	Date of next review
V1	UH&SS		Original	Apr 2008	N/A
V2	"	H Weaver	Annual review	Oct 2009	N/A
V3	"	"	Amended ARF	Nov 2011	N/A
V4	"	"	Amend to reflect new School structure, new near Miss form, amendments to Riddor	May 2013	N/A
V5	"	"	Change references and add Doc. Mngt table	Feb 2014	N/A
V6	"	N Budworth	Inclusion of incident escalation process and inclusion of the requirement for incident Review Panels for incidents which are serious, or which have serious potential	June 2016	N/A
V7	"	H Weaver	Inclusion of reference to Social Security legislation (UMAL insurance report requirement)	May 2017	N/A
V8	"	H Weaver	Amended to include references to new online incident reporting system & to create separate guidance and new hyperlink to incident portal	Dec 2017	Dec 2019

