

# ACCIDENTS, INCIDENTS & NEAR MISSES

<i>Policy/Procedure Title</i>	Procedure for Investigating Accidents and Incidents
<i>Author</i>	OCC Model and updates adopted annually
<i>Approved by</i>	PAT Directors
<i>Reviewed</i>	Dec 2020
<i>Review date</i>	Dec 2021

The employer referred to in this document is the Propeller Academy Trust (PAT) which incorporates both Kingfisher School and Fitzwaryn School referred to in the document where appropriate as "School".

## **Introduction**

The Propeller Academy Trust (PAT) is committed to providing safe working environments and conditions for its employees, partners, contractors, volunteers, visitors and members of the public. Preventing incidents at work is integral in avoiding the costs of illness and accidents. However sometimes accidents and incidents (including physical and verbal abuse) do occur and it is essential that they are **reported** and properly **investigated** so that causes are identified and control measures put in place to prevent a recurrence.

## **Applicable Legislation**

Management of Health and Safety at Work Regulations 1999 (as amended)  
Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) Health and Safety (First-Aid) Regulations 1981

## **Purpose – it's aims and objectives**

This procedure will advise you how to report and investigate accidents, incidents and near misses.

## **Scope**

Partners, contractors and service providers will have their own arrangements for reporting and investigation accidents and incidents; however consideration should be given to joint investigation where accidents and incidents involve activities where there is joint management responsibility for service users, premises, etc.

This procedure covers the three steps:

1. Reporting and Escalation
2. Investigation
3. Learning from the outcomes and preventing a recurrence

# 1. Reporting and Escalation

After an incident, accident or near miss occurs it should be recorded and reported at the earliest opportunity. In most cases these only need to be reported internally. However, there are certain types of incidents and accidents that need to be reported to the Health and Safety Executive (HSE) – these are required under RIDDOR: visit the HSE website:

<http://www.hse.gov.uk/riddor/reportable-incidents.htm> for details.

Categories for reporting are:

Incident/ Accident and over 7 day injury	An event arising out of or in connection with work affecting employees, volunteers, service users, pupils, contractors, visitors members of the public, e.g. an injury requiring first aid at work.
Dangerous Occurrence/Near Miss	Dangerous Occurrences are specifically listed in the online report form e.g. Accidental release of any substance which may damage health (asbestos). Near Miss is an occurrence that did not result in injury, but clearly could have done e.g. highway engineer almost struck by moving vehicle but managed to move out of the way in time.
Work Related Ill Health and Reportable Diseases	This applies to employees and volunteers only and includes any ill health caused by, or in connection with work e.g. occupational dermatitis and cancers.
Physical and/or Verbal Abuse	This applies to employees and volunteers only and includes incidents resulting in: <i>without injury</i> : e.g. anti-social behaviour, damage to property, spitting, threatened and actual physical abuse. <i>with injury</i> : e.g. physical assault, punch, kick, bite, cut. In cases where a work colleague has abused you and you wish to report the incident – please refer to the Headteacher in the first instance.

Reports are given a severity classification as:

Minor	A slight or superficial injury / little pain / does not require medical attention beyond basic local first aid / does not result in absence from work (if employee). Any near miss or dangerous occurrence with potential to cause minor injury. Any incident of physical abuse where a minor injury has been sustained or where the employee wishes to report verbal abuse.
Moderate	An incident/accident that requires first aid and/or medical attention / that prevents an employee from continuing their work. Any near miss or dangerous occurrence with potential for moderate injury but is not listed in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR). Any incident of physical abuse where a moderate injury has been sustained or where the employee wishes to report severe verbal abuse.
Serious	An incident/accident that causes death or results in the injured person being taken to hospital for treatment AND arose out of, or in connection with a work activity. <b>All RIDDOR reportable events.</b> Any incident of physical abuse where a serious injury has been sustained or where the employee wishes to report serious verbal abuse e.g. threat to personal safety.

All employees are able to report an incident, accident or near miss currently using the paper copy form, shortly to be replaced by an electronic reporting system located on the school network.

## 2. Investigation

### Why?

The purpose of the investigation is to establish how and why things went wrong and to identify the immediate, root and underlying causes of the accident/incident with a view to determining and implementing control measures to prevent further recurrences.

Accidents, incidents and near misses should be investigated but the extent and depth should be based on the nature, severity or potential consequences.

### When?

Any investigation should take place as soon as possible after the incident has occurred.

### Who?

In most circumstances, responsibility for undertaking an investigation lies with the manager responsible for the activity and/or premises. Depending on the nature and severity of the accident or incident and the complexity of the investigation it may be appropriate for others to lead or assist the investigation i.e. senior management, Health and Safety Team, persons with specialist competence, union or employee H&S Reps.

### How?

Most investigations can be undertaken by following the Investigation Form included at Appendix 1.

Further detailed guidance on how to undertake and document large and complex investigations can be found in the HSE's guidance for investigating accidents and incidents: <http://www.hse.gov.uk/pubns/hsg245.pdf>.

When identifying improvements and risk control measures it is important to establish the immediate, underlying and root causes.

### Immediate Causes

These are aspects of the incident/accident which directly influenced the outcome (injury) and are often referred to as "direct causes". They are the features of an accident/incident which immediately contributed to harm or abuse being caused.

E.g. An employee receives an electric shock from a faulty piece of equipment. A client was unhappy with the response or service given.

### Underlying Causes

These aspects of the accident/incident are effectively contributory breaches which in themselves did not cause harm but made a significant contribution to the accident/incident occurring.

E.g. Poor maintenance of the equipment could be an underlying cause. The client's needs were not adequately assessed.

### Root Causes

Generally these are aspects of our safety management performance which have in some way failed. You may have identified in Immediate and Underlying causes that there have been individual, equipment or structural failings which directly or indirectly contributed to the incident/accident.

E.g. Failure to supervise and monitor a programme of maintenance by a competent contractor. Inadequate processes in place for gathering appropriate information or detail.

By addressing the root cause you effectively remove the key reason why the circumstances were allowed to develop for the incident/accident to occur. By only addressing Immediate and Underlying causes you allow the fundamental management deficiencies to remain and therefore

make recurrence more likely.

### 3. Learning from the outcomes and preventing a recurrence

It is important that we learn from any accident, incident or near miss and put in place actions to prevent a recurrence.

Following an investigation an action plan should be implemented to:

- Include risk control measures in the short and long term.
- Review and update any risk assessments and safe working procedures.
- Communicate any lessons learnt not only with immediate service colleagues but also with other parts of the organisation where similar risks exist.

Once the investigation has been undertaken, documents, reports etc. should be retained by the Business Development Manager. Copies may also be requested by Insurance Team, Legal, Union and employee H&S Reps, enforcing authorities e.g. Health and Safety Executive, Environmental Health, Police.

#### For further information and advice:

	email and web addresses	□
<b>Health and Safety Team</b>	<a href="mailto:healthandsafetyhelp@oxfordshire.gov.uk">healthandsafetyhelp@oxfordshire.gov.uk</a>	<b>Helpdesk 03300 240849</b>
<b>Health and Safety Executive</b>	<a href="http://www.hse.gov.uk">www.hse.gov.uk</a>	<b>0151 951 4000</b>
	INDG453 Reporting accidents and incidents at work RIDDOR 2013  HSG245 Investigating accidents and incidents	

**Accident, Incident Investigation Form**

This form can be used by managers to record investigations of accidents and incidents

**1. Accident/Incident Details**

<b>Date:</b>		<b>Time:</b>	
<b>Location:</b>			

Injured Person			
<b>Status:</b>	Employee	Pupil	Other e.g. public,
<b>Name:</b>		<b>D.o.B:</b>	
<b>Address:</b>			
<b>Telephone:</b>		<b>Email:</b>	
<b>Nature of Injury, Incident or ill health</b>			

**2. Summary of the accident/incident:**

*(Provide a short summary of what the immediate events were leading up to the accident/incident, who was involved, where did it happen, what happened? Obtain witnesses*

*statements)*

**3. Background information to the accident/incident:**

*(Were there adequate safe procedures and were they followed? Was there anything unusual*

*or different about the working conditions?)*

**4. What immediate responses to the accident/incident were made?:** *(Such as first aid given, emergency response, and immediate remedial action taken)*



**5. Indicate in the boxes below those that best describe the factors which could have contributed to the accident / incident.**

<input type="checkbox"/>	Inadequate systems of control
<input type="checkbox"/>	Lack of competence and training
<input type="checkbox"/>	Lack of supervision / monitoring
<input type="checkbox"/>	Defective/incorrect use of premises or facilities
<input type="checkbox"/>	Defective/incorrect use of equipment or machinery
<input type="checkbox"/>	Failure to plan or lack of H&S information e.g. risk assessment, procedure, safe system of work
<input type="checkbox"/>	Failure to understand and appreciate risks (risk assessment)
<input type="checkbox"/>	Failure to follow established work procedures/process/practice
<input type="checkbox"/>	Lack of care
<input type="checkbox"/>	Stress, fatigue, pressure

Other, specify:

<input type="checkbox"/>	<b>Yes</b>	<input type="checkbox"/>	<b>No</b>
--------------------------	------------	--------------------------	-----------

<input type="checkbox"/>	<input type="checkbox"/>	Has a risk assessment been carried out for this activity?
<input type="checkbox"/>	<input type="checkbox"/>	Had the hazard(s) been identified?
<input type="checkbox"/>	<input type="checkbox"/>	Had any action been taken to eliminate or minimise or manage the risk(s)?
<input type="checkbox"/>	<input type="checkbox"/>	Were documented procedures in place?
<input type="checkbox"/>	<input type="checkbox"/>	Was a safe system of work being followed?
<input type="checkbox"/>	<input type="checkbox"/>	

**6. What further improvements might be considered to prevent a recurrence?:**

*(Such as a review of work procedures or processes, information gathering/sharing, risk assessments, control measures, new equipment, information and communication to staff, additional refresher training, further advice from the Health and Safety Team)*

Investigation completed by			
<b>Manager Name:</b>		<b>Date</b>	
<b>Job Title:</b>			