

## Accident and Near Miss Reporting and Investigation Procedure

### Document Control

Version	Date Document Reviewed	Publication on Web Site	Date of next Review	Summary of main changes
0.1	June 2016	April 2016	June 2017	<ul style="list-style-type: none"><li>○ Conversion from Policy to Procedure</li><li>○ Checked for legal compliance</li><li>○ Minor changes to update terminology or to reflect current practices</li></ul>
0.2	October 2017	October 2017	October 2018	Reference to flowchart removed
0.3	April 2019	April 2019	November 2019	<ul style="list-style-type: none"><li>○ Checked for legal compliance</li></ul>
0.4	August 2021	August 2021	August 2022	<ul style="list-style-type: none"><li>○ Checked for legal compliance</li></ul>

# Accident and Near Miss Reporting and Investigation Procedure

## 1 Introduction

This procedure forms part of the University's Health and Safety Management System and should be considered in relation to the University's Safety, Health and Wellbeing Policy to ensure that all accidents and near misses are reported and investigated so that instances can be reduced.

This procedure applies to all Schools and Departments within the University. The aim is to outline the University procedure, in particular taking into account the requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013.

## 2 Accountabilities

In order to successfully implement this procedure it is necessary to identify the responsibilities that are assigned to each of the parties involved. These are as follows:

### **Executive Members and Managers**

A key role in implementing this procedure lies with the Executive members and all managers who must ensure the requirements in this procedure are addressed and implemented within their area of responsibility and control. In particular to ensure that:

- Any accident or near miss which occurs within their area of responsibility and control is reported and properly investigated, with any paperwork forwarded according to this guidance to ensure compliance with legislation
- A "responsible person" is designated to assist in collecting information, completing paperwork and taking remedial action, ensuring they are aware of their responsibilities and their name and role is communicated to all other members of staff and the University Health and Safety Advisor. The "responsible person" could be the School/Departmental Safety Co-ordinator(s) or any other member(s) of staff.
- The University Health and Safety Advisor is informed as soon as it becomes apparent that an accident is one which is reportable to the Health and Safety Executive

### **All Staff**

- Ensure that any accident to yourself, no matter how minor, is reported on an Accident/Near Miss Form (Form S1e) and sent by internal post or by e-mail to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk)
- Call a first aider for anyone who needs first aid treatment

- Follow any local reporting protocols in place

### **First Aiders**

- After giving treatment to any injured person, complete an Accident/Near Miss Form (Form S1e) and send to Health and Safety by internal post or by e-mail to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk)
- Ensure that the University Health and Safety Advisor is informed as soon as it becomes apparent that an accident is one which is reportable to the Health and Safety Executive

### **University Health and Safety Advisor**

- Provide an interface between the University and the Health and Safety Executive (HSE) ensuring that any injuries, diseases and dangerous occurrences are reported to the HSE in accordance with RIDDOR 2013
- Act as a point of contact should the Health and Safety Executive wish to investigate an accident
- Assist and advise as required with any accident/near miss investigation and provide a report for management
- Provide accident/near miss statistics to the Schools/Departments, Executive Board and University Health and Safety Committee

## **3 Procedure**

For the purposes of this procedure, the term incident will relate to an event that gave rise to an accident or had the potential to lead to an accident (ie. near miss).

### **Accident and Near Miss Reporting Procedure**

All accidents, no matter how minor, and near misses should be reported on the accident/near miss form (Form S1e), which can be found on the Health and Safety webpage via the following link <http://www.gcu.ac.uk/healthandsafety/index.html> and emailed to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk) as soon as possible and preferably within 24 hours.

The accident and near miss reporting procedure includes the following:

- Accidents<sup>1</sup>, in particular those that arise out of, or in connection, with work<sup>2</sup>
- **Dangerous occurrences**, as defined by RIDDOR
- Work related<sup>3</sup> ill health, including **occupational diseases** as defined by RIDDOR

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<sup>1</sup> Accident – undesired event giving rise to death, ill health, injury, damage or loss

<sup>2</sup> ‘Arise out of or in connection with work’. Generally, this covers incidents where the work activities, equipment or environment (including how work is carried out, organised or supervised) contributed in some way to the circumstances of the accident. (HSE RIDDOR 2013)

- Occurrences of violence to staff that are work related
- Near misses <sup>4</sup>

Where an accident occurs and first aid assistance is required, the University procedure for first aid should be followed by dialling telephone extension 2222. The first aider must then record the details on the accident/near miss form (Form S1e) and email to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk).

Where an accident occurs and first aid is not required or a near miss occurs, then the accident/near miss form (Form S1e) should be completed by the injured person and emailed to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk) and their departmental line manager. The line manager should ensure the accident/near miss form is completed where the member of staff is unable to do this, for example, where they are absent following the accident.

Where staff have no access to email due to their role the department must have a local reporting protocol in place, for example, paper copies of accident/near miss forms made available and member of staff to report the accident or near miss to their line manager. The local protocol must be communicated to their staff to ensure all accidents and near misses in their area are reported and a copy emailed to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk) or sent via internal post.

Paper copies of the accident/near miss form will be made available at the reception areas to enable members of the public to report any accidents and near misses. Where a member of staff is aware of an accident/near miss involving a visitor they should report this using the accident/near miss form.

Where an accident/near miss occurs on the campus in an area which is out with the scope of a particular Department (e.g. car parks, central concourse) and immediate action is required to prevent a further accident/near miss then in addition to sending the accident/near miss form to [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk), the Facilities Management Department Helpdesk should also be contacted immediately.

When Form S1e is received by Health and Safety the details will be entered into a computer database and, where necessary, forwarded to the relevant School/Department's responsible person for investigation. This will not be necessary if the injury sustained did not arise out of or in connection with the work of the University, for example, general illness.

### **Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013**

There are certain [work-related injuries](#), [diseases](#) and [dangerous occurrences](#), as defined by RIDDOR 2013, that the University has a duty to report to the Health and Safety Executive (HSE). The University Health and Safety Advisor is responsible for ensuring these are reported and will act as a point of contact should the Health and Safety Executive wish to conduct an investigation.

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<sup>3</sup> Work-related – an accident arising out of or in connection with work (key issues to consider are whether the accident was related to the way the work was organised, carried out or supervised; any machinery, plant, substances or equipment used for work and the condition of the site or premises where the accident happened)

<sup>4</sup> Near miss – an event that had the potential to lead to an accident

Where these occur, in addition to completing an accident/near miss form, the University Health and Safety Advisor should be contacted immediately by emailing [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk) or by phoning extension 8255. If unavailable, then contact the People Services Reception on extension 8864.

In addition to the above, where a work-related accident results in a member of staff being injured and subsequently incapacitated for routine work for more than 3 days the University Health and Safety Advisor should be informed by the relevant line manager by emailing [hsforms@gcu.ac.uk](mailto:hsforms@gcu.ac.uk) or by phoning extension 8255. If this extends to more than 7 days, the Advisor should be informed immediately to enable this to be reported to the Health and Safety Executive.

### **Accident/Near Miss Investigation**

Investigations should be carried out at a School/Departmental level. On receiving the Accident/Near Miss Form S1e the responsible person must investigate the circumstances around the accident/near miss. This may involve visiting the scene of the accident/near miss, discussing the occurrence with the injured person and/or witnesses etc. to determine the underlying cause of the accident/near miss and determine if there is any action that can be taken to prevent similar instances occurring. The level of investigation will depend on the severity or significance of the accident/near miss. For minor accidents, basic investigation may be required however for more significant accidents a more detailed investigation may be required and involve more senior or specialist staff.

The investigation details, including actions taken to prevent a recurrence must be recorded in Section 5 of the accident/near miss form, signed by the Head of Department (in the absence of the Head of Department the responsible person will sign the form) and returned to the hsforms mailbox within 5 days. Where the full details and/or the investigation is not completed within this time period, the information that is known should be submitted, with the remaining information submitted as soon as it is available. The master copy will be held by University Health and Safety and a copy should be retained by the School/Department.

The University Health & Safety Advisor will carry out investigations into accidents where reporting to the HSE is required and may also investigate other accidents/near misses in conjunction with the relevant School/Department depending on the nature or seriousness of the accident/near miss. This is not intended to preclude investigations, which will be carried out the relevant School/Department.

### **Review of Accidents and Near Misses**

Schools and Departments are expected to review accidents and near misses at their Health and Safety Committees and Senior Management Team meetings so that trends and possible improvements to working practices can be identified. In doing this, personal details should be anonymised as necessary to ensure compliance with the Data Protection Act 2018.

The University Health and Safety Advisor will monitor any accident and near miss trends on a University wide basis.

## **4 Further Information**

A copy of a brief guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) can be downloaded from the Health and Safety Executive website via the following link <http://www.hse.gov.uk/pubns/indg453.htm>