

# **Accident, Incident and Near Miss Reporting and Investigation Procedure**

**Core Council, Maintained Schools, Solihull Community Housing (SCH)**

**For the reporting and investigation of;**

- **Accidents**
- **Near Miss Events**
- **Violent / Abusive / Behavioural Incidents**
- **Fire or Property Related Incidents**
- **Environmental Incidents**
- **Diagnosed Occupational Diseases**
- **Behavioural and Clinical Incidents in Adult Care and Support**

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# 1 Introduction

- 1.1 This procedure has been produced in accordance with the Solihull Metropolitan Borough Council (SMBC) and Solihull Community Housing (SCH) Health and Safety Policy. These documents provide further specific information on organisational arrangements and roles and responsibilities for health and safety.

# 2 Legal Environment

- 2.1 The legal responsibility and therefore accountability for Health and Safety lies with the employer who has a legal responsibility to have effective arrangements in place for the reporting and recording of accident and incidents.
- 2.2 For schools, the employer is dependent on the type of school. The following link from the website of the Health and Safety Executive identifies who the employer is based on the type of school <https://www.hse.gov.uk/services/education/faqs.htm>.
- 2.3 In addition to this, the employer has a legal duty under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) to report certain serious workplace accidents, incidents, occupational diseases and specified dangerous occurrences to the relevant enforcing authorities (Appendix A).
- 2.4 It is the duty of SMBC and SCH as employers to protect the health, safety and welfare of employees and other people who might be affected by their activities as an organisation.
- 2.5 The reporting and recording of 'work-related' (See 2.7) accidents, incidents and near miss events will help to identify where and how risks arise.
- 2.6 The investigation of accidents, incidents and near miss events will help to identify the root cause of the incident, whether an accident or incident is reportable under the RIDDOR regulations and enable us to put measures in place that would prevent such an accident, incident or near miss event reoccurring.
- 2.7 An accident, incident, or near miss event is considered to be 'work-related' if any of the following played a significant role;
- the way the work was carried out
  - any machinery, plant, substances or equipment used for the work or
  - the condition of the site or premises where the accident happened

This includes any accident, incident or near miss event that occurs during a school related activity.

## **3 Purpose and Scope**

### **3.1 Purpose**

The purpose of the procedure is;

- To describe the process for the reporting and recording of accidents, incidents and near miss events.
- To provide guidance on what should be reported.
- To encourage the prompt and consistent reporting of all accidents, incidents and near miss events, including the collection of evidence at the scene.
- To ensure thorough and proportionate investigation of accidents, incidents and near miss events.
- To outline the roles and responsibilities involved in the recording and investigation of accidents, incidents and near miss events.

### **3.2 Scope**

3.2.1 This procedure applies to all employees, pupils, service users, contractors, visitors, and members of the public if the accident, incident or near miss event has arisen out of or in connection with a work-related or school-related activity.

3.2.2 This includes any incident or near miss event that occurs while using workplace equipment, workplace transport (any vehicle or piece of mobile equipment used in any work setting) or while driving at work (even if the vehicle is parked or stationary).

## **4 The Reporting of Accidents, Incidents and Near Miss Events**

### **4.1 What should be reported**

#### **4.1.1 Accidents**

- Any unplanned event that results in injury or ill health.
- This includes work related ill health and road traffic accidents.
- Incidents that fall under RIDDOR. Refer to Appendix A for more information.

- For school settings - Minor cuts, bumps and bruises should continue to be captured in local 'bump' books but do not need to be reported on the SHE Assure Health and Safety Management System.

#### 4.1.2 **Near Miss Events**

- Any unplanned event that did not result in injury, illness or damage but had the potential to do so whether or not as a result of compensating action.
- Examples of near miss events are;
  - A roof tile being blown off a building and crashing onto the pavement below but no one was injured.
  - A blind spot when exiting a workplace car park where it was necessary to brake hard to prevent a collision with another vehicle
  - Slipping on a floor without being hurt or injured

#### 4.1.3 **Violent /Abusive / Behavioural Incident**

- Any incident in which a person is abused or threatened either physically, verbally or in writing or assaulted in circumstances relating to their work.
- Any incident involving the behaviour of a pupil / adult customer in an educational / social care setting where an employee is injured.

This includes;

- Face to face incidents
- Incidents involving telephone / mobile calls
- Incidents via Software apps e.g. WhatsApp, Facebook
- Emails
- Incidents that occur while you are driving for work.

#### 4.1.4 **Fire or Property Related Incidents**

- Any fire or property related incidents including security, vandalism, collapse or failure of building structure or equipment damage.
- The exposure of hazardous substances / materials under COSHH (The Control of Substances Hazardous to Health Regulations) including asbestos or legionella.

Incidents which have the potential to impact the health and safety of employees, pupils, service users, contractors, visitors, and members of the public

#### 4.1.5 **Environmental Incidents**

- Any incident which solely impacts on the environment. This includes discharge, drainage or damage to flora or fauna and spillages.

#### 4.1.6 **Specified Diagnosed Occupational Diseases (Reportable under RIDDOR)**

- A list of specified diagnosed Occupational Diseases that are reportable under the RIDDOR Regulations can be found in Appendix A.

#### 4.1.7 **Solihull Community Housing Only – Incidents involving Tenants**

- Any accident, near misses or fire or property related incidents that affect any tenants or their property should be reported.
- The new SHE Assure management system will replace the separate 'Register of Fires'.

#### 4.1.8 **Adult Care and Support Only – Clinical and Behavioural Incidents**

- Guidance for Adult Care and Support employees in Residential Homes and Day Care Centres can be found in Appendix H.

### 4.2 **What does not need to be reported**

- Incidents of illness or ill health that are not work-related or do not result in an injury do not need to be reported. (It is good practice for managers to keep a log of illness or ill health that has taken place). Schools should have a separate procedure in place for recording and reporting incidents of illness and ill health.

### 4.3 **The Procedure for Reporting Accidents, Incidents and Near Miss Events**

4.3.1 All reportable accidents, incidents and near miss events (as listed in 4.1) should be recorded **as soon as practically possible and within 72 hours** by completing the appropriate reporting form on the SHE Assure Incident Management portal.

4.3.2 The reporting forms can be accessed on a pc, laptop, mobile phone or hand held device via <https://sheassure.net/smbc> and clicking on the correct portal link.

4.3.3 A software app can also be downloaded onto any hand held device. Instructions on how to do this can be found on the Accident, Incident and Near Miss Reporting pages of the Intranet / Extranet.

- 4.3.4 Appendix B contains a list of Frequently Asked Questions but should you require support please contact the Health and Safety Support Team on [healthandsafetysupport@solihull.gov.uk](mailto:healthandsafetysupport@solihull.gov.uk) or 0121 704 6328.

#### **4.4 Completing the Incident, Accident and Near Miss Event Reporting Forms**

- 4.4.1 Each of the portal reporting forms contains a guidance description to help determine which reporting form will need to be completed dependent on the event that has taken place.
- 4.4.2 Once the reporting form has been selected, a series of questions will need to be completed.
- 4.4.3 Not all of the questions are mandatory but please be as accurate as possible when completing the reporting forms and add as much information as you can at the time of recording the incident.
- 4.4.4 It is also possible to attach and upload photographs or other documentary evidence to the incident report using the 'attachments' button on the system.
- 4.4.5 There is guidance text contained in grey boxes within the reporting forms to assist in ensuring that the correct information is entered in the relevant areas.
- 4.4.6 Instructional videos on how to complete key tasks on the SHE Assure system are available on the Accident, Incident and Near Miss Reporting pages of the Intranet/ Extranet.
- 4.4.7

**Serious Incidents / Accidents or Fatalities**

**Any Incident / accident that resulting in serious injury or fatality must be reported immediately to the SMBC Corporate Health and Safety Support Team and your line manager / Head of Service.**

**In working hours the Corporate Health and Safety Support Team can be contacted on (0121 704) 6328.**

- 4.4.8 Appendix C contains an Accident, Incident and Near Miss Reporting Flowchart that highlights the actions that need to be taken when an accident, incident or near miss event occurs.

## 4.5 Selecting the Correct Organisational Unit

- 4.5.1 It is essential that the correct Organisational Unit is selected when completing the Incident Reporting Forms as the report form will be sent directly to the manager of the Organisational Unit that has been selected.
- 4.5.2 Where the incident involves **Employees, Contractors, or Agency workers**, the organisational unit and team that the individual works for should be selected.
- 4.5.3 In the case of **Pupils**, the organisational unit that should be selected will be the School or educational/childcare setting.
- 4.5.4 In the case of **Service Users**, the setting in which the incident took place or the residential or day centre setting they were from should be selected.
- 4.5.5 In the case of incidents reported by **SCH Tenants**, the SCH Tenant organisational unit should be selected.
- 4.5.6 In the case of incidents involving **Members of the Public or Visitors** the organisational unit is dependent on where the incident took place;
- If the incident took place on a **School site**, the school or educational setting unit should be selected. This includes any incident that occurs out of normal school hours or when the School premises have been leased out to other groups to use.
  - If the incident took place **in or outside a Council maintained property** e.g. a library, the Solihull Council - > Resources Directorate - > Facilities & Asset Plan/Man - > Corporate Facilities - > FACILITIES and ASSET MGT organisational unit should be used.

## 5 The Investigation of Accidents, Incidents and Near Miss Events

- 5.1 An investigation should be carried out into all accidents, incidents and near miss events.
- 5.2 An investigation of the accident, incident or near miss event should take place as soon as possible after notification is received. This should be undertaken by the designated Line Manager.
- 5.3 Where the incident is considered to be serious, or could have been more serious, the designated Line Manager must consult with the Corporate Health and Safety Support Team to determine the extent of the investigation that may be required. The Investigating Manager must also work in partnership with the Corporate Health and Safety Support Team in order to ensure that a thorough and proportionate investigation is carried out.



- 5.4 The purpose of the investigation is;
- To identify the root causes of the accident, incident, near miss event.
  - To investigate if the accident or incident is reportable to the Health and Safety Executive.
  - To investigate measures that would prevent such an accident, incident or near miss event reoccurring.
  - To undertake a review of the risk assessments, where relevant to ensure that they are robust.
  - To identify and investigate the costs of accidents or incidents, where required.
- 5.5 The Health and Safety Executive (HSE) have produced a helpful workbook titled '*Investigating Accidents and Incidents*' which can be found on the HSE website or by copying and pasting the following link into your browser <https://www.hse.gov.uk/pubns/hsg245.pdf>
- 5.6 An Accident, Incident and Near Miss Event Investigation Checklist to support Line Managers tasked with investigating incidents can be found in Appendix E.
- 5.7 **Please be aware that the Health and Safety Support Team must notify the HSE of any reportable events within 10 days of the incident taking place. For accidents resulting in an over-seven-day incapacitation of a worker, the HSE must be notified within 15 days of the incident.**

## 6 Root Cause Analysis

- 6.1 The SHE Assure system contains two Root Cause Analysis templates that can be used when analysing the cause of accidents and incidents.
- 6.2 All accidents and incidents that are RIDDOR reportable will be examined by the Health and Safety Support Team in conjunction with the Line Manager to determine the root cause of those accidents and incidents.
- 6.3 Other accident, incident and near miss events may be examined using root cause analysis at the discretion of the Health and Safety Support Team.
- 6.4 **The Corporate Health & Safety Support team are responsible for reporting all RIDDOR reportable incidents to the HSE.**

## 7 The Monitoring of Accident, Incident and Near Miss Event Data and Trends

- 7.1 All line managers, Heads of Service and Head Teachers should monitor and react to incident, accident and near miss event trends that have been identified.

- 7.2 Insights+ is a dashboard and metrics tool on the SHE Assure Health and Safety System that all users of the system have access to data that has been reported for their area of responsibility.
- 7.3 HR Business Managers and HR Business Leads have the ability to view the metrics data for their area of corporate responsibility.
- 7.4 Metrics, data and trend analysis will be presented to the SMBC Corporate Health and Safety Board at each quarterly meeting.
- 7.5 The Trade Unions will be provided with accident, incident and near miss event data and trend analysis through their representatives at the Corporate Health and Safety Board meetings.

## **8 Roles and Responsibilities**

- 8.1 The table in Appendix D illustrates the accountable roles and responsibilities for Accident, Incident and Near Miss Reporting and Investigation.

## **9 Data Processing and Data Retention**

### **9.1 Data Processing**

- 9.1.1 SMBC will process information recorded on the incident forms and gathered during the course of the investigation including personal data, for recording and monitoring purposes in relation to our Health and Safety Policy and Procedures.
- 9.1.2 In order to comply with both Health and Safety legislation and Information legislation including the GDPR Regulations 2018 and the Freedom of Information Act 2000, SMBC may disclose details of this accident / incident to other parties as required to fulfil legal duties.

### **9.2 Data Retention**

- 9.2.1 Appendix I contains a table detailing the data retention schedules for Accidents, Incidents and Near Miss Events.
- 9.2.2 The Health and Safety Support Team are responsible for ensuring that records are retained in line with the above timelines.

## Appendix A

### The Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 2013 (RIDDOR)

1. There is a legal requirement under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) to report certain events to the Health and Safety Executive (HSE) within prescriptive timescales.
2. **The Corporate Health and Safety Support Team will review each Accident and Incident record to determine whether it is reportable under the RIDDOR Regulations.**
3. **The Corporate Health & Safety Support Team are responsible for reporting all RIDDOR reportable incidents to the HSE.**
4. **The HSE must be notified of any reportable events as soon as possible and within 10 days of the incident taking place. For accidents resulting in an over-seven-day incapacitation of a worker, the HSE must be notified as soon as possible and within 15 days of the incident,**
5. There may be occasions where incidents reported under the RIDDOR Regulations require an investigatory meeting between the employer and the HSE.
6. In these instances the Corporate Health & Safety Support Team must be notified immediately in this case so that appropriate advice and support can be given.
7. The Injuries that need to be reported are;
  - A fracture, other than to fingers, thumbs and toes;
  - Amputation of an arm, hand, finger, thumb, leg, foot or toe;
  - Permanent loss of sight or reduction of sight;
  - Crush injuries leading to internal organ damage;
  - Serious burns (covering more than 10% of the body, or damaging the eyes);
  - Scalping (separation of the skin from the head) which require hospital treatment;
  - Unconsciousness caused by head injury or asphyxia;
  - Over-seven-day injuries to workers.
8. The Diagnosed Occupational Diseases that must be reported are;
  - **Carpal Tunnel Syndrome:** Where the person's work involves or has involved regular use of percussive or vibrating tools.
  - **Cramp of the hand or forearm:** Where the person's work involves or has involved prolonged periods of repetitive movement of the fingers, hand or arm.

- **Occupational Dermatitis:** Where the person's work involves or involved significant or regular exposure to a known skin sensitiser or irritant.
- **Hand Arm Vibration Syndrome:** Where the person's work involves or involved regular use of percussive or vibrating tools, or holding materials subject to percussive processes, or processes causing vibration.
- **Occupational Asthma:** Where the person's work involves or involved significant or regular exposure to a known respiratory sensitiser.
- **Tendonitis or Tenosynovitis in the hand or forearm:** Where the person's work is or was physically demanding and involved frequent, repetitive movements.
- **Covid-19 (Coronavirus):** A report will be relevant when one of the following circumstances applies:
  - Where an accident or incident at work has, or could have, led to the release or escape of coronavirus.
  - A person at work has been diagnosed as having COVID-19 attributed to an occupational exposure to coronavirus.
  - A person dies as a result of occupational exposure to coronavirus.

## Appendix B

### Frequently Asked Questions

**Q: How can I access the reporting forms?**

**A:** All of the Incident Reporting Forms can be accessed via <https://sheassure.net/smbc> and then clicking on the correct Portal Access tab at the bottom of the screen.

Alternatively there is an App you can download that you can access at any time. Details on how to download the App can be found on the Incident Reporting Pages on the Intranet / Extranet.

**Q: Do I really need to report near miss events?**

**A:** Yes. The reporting of all near miss events is vital to ensuring that we are able to fulfil our duties as an employer in keeping those who work for us and those who are affected by the work we do safe.

It also enables us to pro-actively identify any hazards which have the potential to cause harm and look at ways of removing them to prevent injury/ill health from occurring.

**Q: My car sustained a bump while parked outside a house I was visiting during the course of my working day. Do I have to report this?**

**A:** Yes, all accidents, incidents or near miss events that occur to vehicles while undertaking your work should be reported, even if the vehicle was parked and you didn't see the incident take place. For further information on Driving at work please see the Driving at Work Policy

**Q: I am a line manager but don't have a username or password to access the system. What should I do?**

**A:** Please contact the Health and Safety Support Team on [healthandsafetysupport@solihull.gov.uk](mailto:healthandsafetysupport@solihull.gov.uk) or 0121 704 6328 and a username and password will be issued to you.

**Q: The information I need to add isn't in the picklist. What should I do?**

**A:** Please contact the Health and Safety Support Team on [healthandsafetysupport@solihull.gov.uk](mailto:healthandsafetysupport@solihull.gov.uk) or 0121 704 6328 who will assist you.

**Q: I am unsure about how to investigate an accident, incident or near miss event. What should I do?**

**A:** There are a number of resources available to help you investigate an accident, incident or near miss event that has been reported.

- An Accident, Incident, Near Miss Event Investigation Checklist can be found in Appendix E.
- A template to capture Witness Statements can be found in Appendix F.
- A workbook for employers, unions, safety representatives and safety professionals. It can be found on the HSE website or by copying and pasting the following link into your browser <https://www.hse.gov.uk/pubns/hsg245.pdf>.
- The Health and Safety Support Team are available to provide support.

**Q: I have received an Incident report but the person doesn't work for me anymore?**

**A:** Please contact the Health and Safety Support Team on [healthandsafetysupport@solihull.gov.uk](mailto:healthandsafetysupport@solihull.gov.uk) or 0121 704 6328 who will assist you.

## Appendix C

## Accident, Incident and Near Miss Event Reporting Process

### Respond to the Accident, Incident, Near Miss Event

#### *All Employees*

- If person is injured, assess if it is safe to approach them.
- Assess the injuries and access support either from a First Aider or call for an ambulance.
- **Notify relevant stakeholders (if Fatality or specified injury in working hours call the Health and Safety Support Team on (0121 704) 6328. Outside Working Hours contact SMBC 24 Hour Emergency Contact Centre on 02476 832 673**
- Secure the scene if necessary.
- If safe and appropriate collect evidence that may help (e.g. photos, witness statements) with any investigations.

### Report the Accident, Incident, Near Miss Event *All Employees*

- The injured party, colleague or manager should report the accident, incident or near miss as soon as possible and within 72 hours via the SHE Assure portal.
- Access the system on a PC / laptop / Smart phone or device <https://sheassure.net/smbc> then click on the relevant portal and select the correct reporting form

### Investigation *Line Managers only*

- Conduct a thorough and proportionate investigation – please refer to the support available in Appendices E and F and through the HSST
- Support the injured party if required
- Add finding and supporting documentation to the Incident record on the SHE Assure portal
- Submit the Incident record on the SHE Assure system to the H&S team for review

### Review *Corporate Health and Safety Support Team Only*

- Review incident record and investigation and close record when complete
- Support line manager in completing investigation where required
- Report all RIDDOR reportable incidents to the HSE as required
- Support the organisation when incident requires a visit from the HSE

## Appendix D – Roles and Responsibilities

Role	Responsibilities
<p><b>All Employees</b></p>	<ul style="list-style-type: none"> <li>• Ensure they are familiar with the Accident, Incident and Near Miss Event Reporting Procedure.</li> <li>• Report all accidents, incidents and near miss events as listed in 3.1 of this procedure as soon as practically possible and within 72 hours.</li> <li>• Provide witness statements where requested.</li> <li>• Assist with any accident, incident or near miss event investigation as necessary.</li> </ul>
<p><b>Individual recognising an incident has taken place</b></p>	<ul style="list-style-type: none"> <li>• If a person is injured, make an assessment to ascertain if it is safe to approach them.</li> <li>• Assess the injuries and either call for a First Aider or an ambulance.</li> <li>• Contact Line Manager and if injuries are serious or a fatality has occurred Head of Service and Health and Safety Support Team if injuries are serious or if a fatality has occurred (see 3.5.7)</li> <li>• Ask for support where required if witnessing incident is having an effect on mental health.</li> <li>• Facilitate the reporting of the accident, incident or near miss event if the person involved in the incident is unable to do so.</li> </ul>



Roles	Responsibilities
<p align="center"><b>Heads of Service / Managers / Supervisors / Head Teachers</b></p>	<ul style="list-style-type: none"> <li>• Ensure all employees are aware of their responsibilities.</li> <li>• Promote an open and honest environment in which employees are encouraged to report accidents, incidents and near miss events.</li> <li>• Contact injured parties' next of kin if necessary.</li> <li>• Ensure appropriate and adequate support is given to employees involved in accident, incident or near miss events and witnesses.</li> <li>• Conduct a thorough and proportionate investigation into the accident, incident or near miss event.</li> <li>• Request support from the Corporate Health and Safety Support Team as required.</li> <li>• Where appropriate assist with or conduct Root Cause Analysis investigations.</li> <li>• Ensure Risk Assessments are in place, and employees are aware of the risks and procedures / safe systems of work (SSOW) in place.</li> <li>• Monitor and react to incident, accident and near miss event trends that have been identified.</li> </ul>
<p align="center"><b>Chief Executive / Directors / Assistant Directors</b></p> <p align="center"><b>School Governing Bodies</b></p>	<ul style="list-style-type: none"> <li>• Are responsible for the effective operation of the procedure across the organisation.</li> <li>• Are responsible for ensuring that adequate resources are made available to implement appropriate protective measures where these have been identified as required as a result of a risk assessment or incident investigation.</li> </ul>

Role	Responsibilities
<p><b>Corporate Health and Safety Support Team</b></p>	<ul style="list-style-type: none"> <li>• Will provide guidance, advice and support.</li> <li>• Will report any RIDDOR reportable incidents to the HSE.</li> <li>• Will review the accident, incident or near miss event record and subsequent investigation that has been undertaken by managers offering support and guidance</li> <li>• Will provide support to the organisation where a visit from the HSE is carried out.</li> <li>• Will monitor and review the incidents that have taken place to identify trends to assist the organisation with creating action plans to reduce the likelihood of incidents reoccurring.</li> </ul>

## Appendix E – Investigation Checklist

Documenting the Incident Scene	
Observation Notes	
Sketches / Diagrams	
Measurements	
Photos / CCTV	
Records review e.g. risk Assessment	

Injuries	
Nature of injuries	
Time off work	
Training on job	
Experience	
What supervision was in place	
Familiarity with equipment	
PPE used	

First Aid / Treatment	
Was First Aid given?	
Name of First Aider	
Did the injured party go directly from scene to hospital?	
What treatment was received following the incident	
What treatment is still ongoing?	

Supervision	
Name / role	
Experience as Supervisor	
Experience in job worker was doing	
Personal knowledge of worker	
Method of supervision	
Knowledge of rules	
How incident happened	
How could incident have been prevented	
Supervisors direction from management	

Actions	
Initial actions taken to prevent reoccurrence of incident	
Risk assessment reviewed	

Other parties	
Instructions	
Experience in role	
Supervision	
Training	
Knowledge of rules	
Familiarity with equipment	

Worksite Equipment / Machinery	
General condition	
Make and model numbers	
Manufacturers information	
Maintenance information	
Suitability of equipment	
Layout of operation	

Worksite Environment	
General condition	
Lighting	
Ventilation	
Wind	
Temperature	
Weather conditions	
Terrain	
Noise	
Floor condition	

Persons with information	
Witness names / roles	
Witness statements taken / completed	

Environmental Incidents	
Relevant authorities notified	

Please Note:

The checklist is not intended to be exhaustive but to be used as prompts by the Investigating Manager to navigate their way through the investigation process



Name of Witness:	
Date Statement written:	
Are you an employee of SMBC/SCH?	
If not,	
Did you witness the accident / incident?	Yes / No
Witness Statement:	
Witness Signature:	
Date:	
SMBC/SCH will process information recorded on this form, including personal data, for recording and monitoring purposes in relation to our Health and Safety Policy and Procedures. In order to comply with both Health and Safety legislation and Information legislation including the GDPR Regulations 2018 and the Freedom of Information Act 2000, SMBC/SCH may disclose details of this accident / incident to other parties.	

## **Appendix G      Information for Schools**

### **1.      How the RIDDOR Regulations apply to schools**

- 1.1      The HSE have produced an information sheet that gives guidance on how the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) apply to schools. It gives practical advice to schools about what they need to report and how to do it. Most incidents in schools or on school trips do not need to be reported to HSE. The Information sheet can be accessed at <https://www.hse.gov.uk/pubns/edis1.htm>

### **2.      The Reporting of Accidents/Incidents/Near Misses that occur to external parties**

- 2.1      Where school premises are leased out to groups external to the school e.g. sports clubs and fitness classes the School as the Controller of the Premises has a responsibility to ensure that any accident ,incident or near miss the occurs while the premises are being leased is reported.
- 2.2      The information on the incident should be captured by the leaseholder on a paper copy of the form (Please see Accident, Incident and Near Miss reporting pages of the Extranet.

## Appendix H

### **Guidance for Residential Homes and Day Care Centres in Adult Care and Support**

#### **1. Incident Reporting**

- 1.1 As detailed in paragraph 3.2.1 all Adult Care and Support workers are required to report any incident as set out in this procedure.
- 1.2 Alongside the six Incident Reporting Forms available to all workers, a seventh reporting form is necessitated based on the type of work that is carried out by workers in the Directorate.
- 1.3 This reporting form is the **Behavioural and Clinical Incident Reporting Form**. This form is a Directorate specific form and when submitted remains within the Directorate and is not reviewed by the HSST.

#### **2. The Behavioural and Clinical Incident Reporting Form**

- 2.1 The form should be used to report behavioural incidents between service users and clinical events and occurrences.
- 2.2 Behavioural Incidents are defined as **service user to service user ONLY** including:
  - Physical assault
  - Verbal assault
  - Discrimination
- 2.3 Clinical incidents are defined as:
  - infection control issues
  - a prescribing or dispensing error
  - a drug administration error, omission, or non-compliance with medication
  - issues relating to medical devices
  - loss of personal and/or confidential information
  - issues relating to patient records and documentation
  - pressure ulcers or sores
  - safeguarding / adult protection matters
  - incidents of self-harm by service users
  - lost or missing service users
- 2.4 Where a service user is injured because they have suffered a seizure, fit or fainting episode and all guidelines have been followed and precautions in place then the Behavioural and Clinical Incident Reporting Form should be completed for recording purposes. However, if the service user is injured because there was a failure in following guidelines and precautions then the Accident Reporting Form should be completed.

## Appendix I

### Data Retention Schedule

<u>Type of Record</u>	<i>Minimum amount of time required for retention</i>
<b>Accidents</b>	
<b>Accident Statistics</b>	Current year + 5 years
<b>Accident Investigations</b>	<p><b>Adults 18+:</b> Closure date + 5 years.</p> <p><b>Children Under 18:</b> Closure date + 25 years</p>
<b>Accident Monitoring Report (Adult Care and Support Only)</b>	Date of publication + 5 years
<b>Accident Report Forms</b>	<p><b>Adults 18+:</b> Closure date + 4 years.</p> <p><b>Children Under 18:</b> Date of birth + 22 years</p>
<b>Accidents &amp; Incidents: Annual Report</b>	Current year + 3 years
<b>Near Miss Events</b>	3 years from date of Incident unless a claim is received then the report must be kept as part of the claim file
<b>Violent Incidents</b>	
<b>Fire or Property Related Incidents</b>	<p><b>Adults 18+:</b> Closure date + 4 years.</p> <p><b>Children Under 18:</b> Date of birth + 22 years</p>
<b>Environmental Incidents</b>	<p><b>Adults 18+:</b> Closure date + 4 years.</p> <p><b>Children Under 18:</b> Date of birth + 22 years</p>
<b>Diagnosed Occupational Diseases</b>	<b>Adults:</b> Closure date + 4 years.
<b>Clinical and Behavioural Incidents in Adult Social Care</b>	<p><b>Adults:</b> Closure date + 4 years.</p> <p><b>Children:</b> Date of birth + 22 years</p>