

**CAERPHILLY COUNTY
BOROUGH COUNCIL**

**DRAFT ACCIDENT/INCIDENT
REPORTING AND INVESTIGATION
POLICY**

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Mae'r cyhoeddiad hwn ar gael yn Gymraeg ac mewn ieithiodd neu fformatau eriall ar gais.

NOTE

Wherever the designation "manager" is used throughout this policy, it is taken to mean Head of Service, Head Teacher, Line Manager, Supervisor and the Officer in charge or anyone who has responsibilities for employees in the course of their work.

1. INTRODUCTION

1.1 This document sets out the policy and outlines the protective and preventative measures to be implemented by Caerphilly County Borough Council (the Authority) to ensure the health, safety and welfare of its employees, in relation to accident/incident reporting and investigation.

2. POLICY STATEMENT

2.1 The Authority recognises that its employees are its most valuable resource in delivering high quality services to the community and will take all practical steps to ensure the health and safety of Authority employees, contractors, visitors to and users of council premises and services.

2.2 The effective control of these risks will be delivered through the correct management of accident/incident reporting and investigation as set out in this policy and the provision of appropriate training, instruction and supervision. To be effective this policy requires the full co-operation of management and employees at all levels.

3. SCOPE

3.1 This policy has been agreed with the Trade Unions and applies to all employees.

3.2 This policy will be reviewed at least every two years to ensure it is in line with current legislation.

3.3 The effective date of the policy is: ???

4. DEFINITIONS

4.1 For the purpose of this policy, the following terms shall be defined as:

- Accident: An event that results in an injury or ill health.
- Incident: An event that does not cause harm but has the potential to cause injury or ill health.

Near miss: an event or series of events, where there is no injury, but loss or potential loss results e.g. a stack of bricks falling off a scaffold but not actually hitting anyone, or someone lifting an object incorrectly but not hurting themselves.

Dangerous occurrence: one of a number of specific, reportable adverse events, as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). See Appendix 2 of the Corporate Management Arrangements for brief summary.

Reportable diseases: one of a number of specific, reportable diseases, arising from related work activities, as defined in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). See Appendix 3 of the Corporate Management Arrangements for brief summary.

- Violent Incident - When a member of staff is subjected to an act of violence or abuse, and (for this policy only) where a physical injury has occurred.
- RIDDOR – Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
- Fatal – Work-related death
- RIDDOR Reportable – A fatality, specified major injury, over 3 day's lost time, or limited duties injury or a specified dangerous occurrence as defined by the RIDDOR Regulations.
- Major injury – As defined by RIDDOR Schedule 1. Includes fractures (other than fingers and toes), amputations, loss of sight, a burn or penetrating injury to the eye, any injury or acute illness resulting in unconsciousness or requiring admittance to hospital for more than 24 hours. A list of major injuries is available within Appendix 1 of the corporate management arrangements.
- Over 3 day injury – When following an accident / incident the injured person is unfit for their normal work for longer than 3 consecutive days (not including the day of the accident, but including weekends or days off shift). This includes absence from work or individuals who are placed on light or restricted duties.
- Minor Injury – All other injuries that are not covered by other categories for example sprain, cut or bruise.
- Ill Health – Where the person's health is affected by the work activity and they are unable to carry out their usual duties for more than 3 consecutive days (not including the day of the accident, but including weekends or days off shift).
- Arising out of or in connection with work: - This covers a very wide meaning. There are key factors that are covered by the phrase and must be taken into account. These are:

- Was the accident/incident attributable to the workplace?
- Was the accident/incident attributable to the work activity?
- Was the accident/incident attributable to the work organisation?
- Immediate Cause: This is the agent, unsafe condition or practice(s) that contributed to the cause of the incident. For example the blade of a machine, as the guard was removed. There may be several immediate causes identified in any one incident.
- Root Cause: This is the failure from which all other failings grow. This is often remote from the accident/incident itself, for example failure to identify training needs or inadequate supervision.
- Loss: The avoidable waste of any resource, including human health.

5. LEGISLATION

5.1 This policy along with its supporting procedures is designed to ensure the Authority meets its legal obligation as stated in:

- The Health and Safety at Work etc. Act 1974.
- The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, (RIDDOR).
- The Social Security (Claims and Payment) Regulations 1979.
- The Safety Representatives and Safety Committees Regulations 1977.
- The Health and Safety Inquiries (Procedure) Regulations 1975.

6. RESPONSIBILITIES

NB Please note that all employees have a legal responsibility to comply with health and safety law and the provisions of this policy. Failure to do so could result in personal and / or corporate liability.

6.1 The Chief Executive Officer will:

- 6.1.1 Be ultimately responsible for ensuring compliance with this policy and associated corporate management arrangements within Caerphilly County Borough Council.

6.2 Directors will:

- 6.2.1 Be responsible for ensuring the effective implementation of this corporate policy, corporate management arrangements and associated Directorate arrangements within their service areas.

- 6.2.2 Ensure that appropriate resources are made available for the effective operation of the policy and associated corporate management arrangement, including training.

6.3 Managers will:

- 6.3.1 Ensure all accidents/incidents (including dangerous occurrences) in their section are reported by completing part 1 of the Accident / Incident report form and sending it to their Directorate Health and Safety Officer, and any other area as specified within your Directorate Arrangements. This must be done within 2 working days of the accident/incident being reported to them. Guidance on the reporting of accidents can be found within the CHSU guidance sheet 24 (see appendix 5 of the corporate management arrangements).
- 6.3.2 Ensure that all accidents are investigated appropriately in order to prevent a re-occurrence. The level of investigation required will differ depending on the severity of the accident/incident. The investigation should be carried out as detailed in the (CHSU) guidance sheet 22 (see Appendix 6 of the corporate management arrangements) and where indicated using the Corporate Accident Investigation form.
- 6.3.3 Depending on the level of severity of the accident/incident, contact the necessary people, as determined by the Accident Investigation Guidance for assistance in the accident/incident investigation.
- 6.3.4 Inform the Directorate Health and Safety Officer (or CHSU if DHSO not available) of any employee unable to undertake normal duties for more than 3 consecutive days (including weekends and rest days) as a result of a work related accident or incident. See the corporate management arrangements for further information.
- 6.3.5 Immediately contact their Directorate Health and Safety Officer (or the Corporate Health and Safety Unit if they are not available) if an accident/incident results in:
- The death of any person,
 - Major injury ([see Appendix 1](#) of the corporate management arrangements) to any person,
 - Dangerous occurrence as summarised in [Appendix 2](#) of the corporate management arrangements.
 - Hospitalisation of a member of public – Accident/incident where a member of the public is taken from the scene of an accident/incident to hospital for treatment by whatever

means. The accident/incident must be, 'arising out of or in connection with work'.

If incidents occur out of hours contact should be made via the contact centre in Tir-y-Berth.

- 6.3.6 Ensure that where a Fatality, or Major Injury occurs, steps are taken to report the accident/incident to the Directorate Health and Safety Officer (or CHSU where the Directorate Health and Safety Officer is not available) and the Health and Safety Executive (HSE) by the quickest means
- 6.3.7 Where necessary following an injury which results in lost time, or where an individual is placed on limited duties, refer the individual using an OH1 form to the Occupational Health Department. Advice should be obtained before allowing individuals to resume full duties.
- 6.3.8 Where it is suspected or confirmed by a Doctors note that a staff member is suffering from a work-related disease that the individual is referred to the Occupational Health Department using an OH1 form and ensure that the Directorate Health and Safety Officer is informed.
- 6.3.9 Where a violent incident occurs, ensure a 'Violent Incident Report form' is completed, in association with the affected employee. This should be accompanied by a completed Accident / Incident Report form when the employee has sustained an injury due to the violent incident. Where necessary this should be followed up with an investigation, ensuring actions are put forward to prevent re-occurrence and copies forwarded to the Directorate Health and Safety Officer for entry onto the Violence at Work Register (where required as detailed within the Violence at Work Policy).
- 6.3.10 Ensure their employees comply with this policy and associated corporate management arrangement and Directorate arrangements for accident/incident reporting derived from this policy.
- 6.3.11 Where required ensure that arrangements are made, in consultation with their Directorate Health and Safety Officer, within their area of work for the inputting and maintenance of accidents on the Corporate Accident Recording Database (CASS).
- 6.3.12 Ensure that within their service area arrangements are in place to ensure that there are 'competent' individuals to undertake accident/ incident investigation where required.

- 6.3.13 Ensure that where, following an accident investigation, corrective actions to prevent reoccurrence have been suggested they are implemented as soon as is reasonably practicable.

6.4 The Directorate Health and Safety Officer will:

- 6.4.1 Ensure that any necessary Directorate arrangements are developed in accordance with this Policy on Accident/Incident Reporting and Investigation.
- 6.4.2 Where required assist managers in the provision of instruction and training to ensure competent accident investigators are available within service areas.
- 6.4.3 Ensure the completion of the HSE form F2508 for all Reportable Accidents, Major Injuries and Dangerous Occurrences and report /send it to the HSE within the required timescale. Copies must be inputted into the Corporate Accident Recording Database (CASS).
- 6.4.4 Ensure a written report of fatalities is provided to the HSE within 10 days of the incident.
- 6.4.5 Ensure the completion of the HSE form F2508A for reportable diseases, report/send it to the HSE within the required timescale and notify the Occupational Health section of the reportable disease. Copies must be inputted into Corporate Accident Recording Database (CASS).
- 6.4.6 Ensure all paper records of accidents are kept for a minimum of four years, or in the case of a child until they reach the age of 22. For health related records these must be kept for 40 years.
- 6.4.7 Ensure the communication of the Corporate Policy and Directorate arrangements to all relevant employees.
- 6.4.8 Provide advice, where required on the HSE reporting criteria.
- 6.4.9 Monitor the effective implementation of the Corporate Policy and Directorate Arrangements.
- 6.4.10 Assist in the investigation of accidents/incidents as and when required where the accident requires a medium/high level investigation or where:
- There is an identified pattern/trend
 - An accident/incident is causing them concern
 - A Manager requests assistance

- The accident/incident is F2508 reportable. In this instance the Directorate Health and Safety Officer must ensure Managers have completed a suitable and sufficient accident investigation and investigate/assist in investigations if the initial investigation is unsatisfactory.
- A civil case is likely to result
- They suspect the accident/incident is likely to lead to interest from the HSE or generate press interest.
- There is an enquiry/investigation from the Enforcing Authority.
- They are dissatisfied with the initial accident investigation and/or feel there is potential for another incident.

6.4.11 Review all accident/incidents forms received to ensure the adequacy and completion of the investigation, HSE reporting requirements, corrective actions and timescales provided.

6.4.12 Where notified, ensure Managers report and investigate accidents in line with this policy and provide advice and assistance where required.

6.4.13 Ensure through audit that Managers facilitate the implementation of preventative actions as soon as is reasonably practicable.

6.4.14 Monitor accident trends and root causes for their Directorate; provide management reports as required and where necessary, take appropriate action.

6.4.15 Ensure that there are sufficient Directorate arrangements for the input, maintenance and review of accidents onto the Corporate Accident Recording Database.

6.5 The Directorate Personnel Manager will:

6.5.1 On receiving notification from a doctor that an employee has a reportable disease immediately inform and advise the employees Manager, Directorate Health and Safety Officer, and Occupational Health.

6.5.2 Following absence, due to a work related accident, ensure that the managing attendance procedures are invoked where required.

6.5.3 Where an employee dies, after some delay, but within 12 months, as a result of a work related accident/incident, notify the Directorate Health & Safety Officer and Corporate Health & Safety Unit.

6.6 The Occupational Health Department will:

- 6.6.1 On receiving notification from a doctor that an employee has a work related reportable disease immediately inform the employees Manager, Directorate Health and Safety Officer, and the Directorate Personnel Manager.
- 6.6.2 Where required support the injured person to return to work in line with the Authority's Managing Absence Policy and Procedures.
- 6.6.3 Where requested, provide advice and guidance during accident/incident investigations.
- 6.6.4 Keep records of work related ill health for a minimum of 40 years.

6.7 Each employee of the Authority will:

- 6.7.1 Report all accidents/incidents, or work related health issues, to their manager as soon as possible, but as a maximum within two working days.
- 6.7.2 Co-operate with their manager, Directorate Health and Safety Officer, Corporate Health and Safety Unit and Trade Union Safety Representative when carrying out accident/incident investigations.
- 6.7.3 If witness to an accident/incident, provide details when requested.

6.8 The Corporate Health and Safety Unit will:

- 6.8.1 Ensure that the Accident/Incident Reporting and Investigation policy is reviewed at least every 2 years to ensure it is in line with current legislation.
- 6.8.2 Provide advice and information on legislation or guidance relating to accident/incident reporting.
- 6.8.3 Audit compliance with this policy and associated corporate management arrangements.
- 6.8.4 Provide support and assistance to Managers and Directorate Health and Safety Officers where required.
- 6.8.5 Where requested, or where cross directorate implication exist, investigate certain accidents/incidents in association with the relevant Manager and Directorate Health and Safety Officer

where the accident requires a high level of investigation or where:

- There is a work-related fatality.
- There is an identified pattern/trend.
- Where the Directorate Health and Safety Officer requests assistance or is unavailable.
- There is an enquiry/investigation from the Enforcing Authority.
- Where an independent investigation is required or requested.
- There is a request from a Head of Service or CMT.

6.8.6 Monitor and review the accuracy and timeliness of data submitted onto the Authority's Corporate Accident Recording Database.

6.8.7 Monitor accident trends and root causes for the Authority and provide reports to the Corporate Health and Safety Committee and other management reports as required.

6.8.8 Provide system administrator facility for the Corporate Accident Recording Database.