
Local Code of Practice

Accident/Incident Reporting and Investigation

(Version 2.00 – November 2015)

STATEMENT:

In order to comply with legislation and fulfil statutory responsibility, the Council must make sure that:

- All accidents and incidents are reported, recorded on the Online Incident Reporting System and investigated.
- All notifiable incidents are reported to the Health and Safety Executive (HSE).
- Appropriate corrective and preventive action is taken to ensure the safety of employees, contractors and members of the public.

SCOPE:

This Local Code of Practice applies to:

- All Managers and Head Teachers in LBB Maintained schools.
- All employees of London Borough of Barnet.
- All contractors, agency staff and volunteers working on behalf of the Council.

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Issue Control

This Local Code of Practice is issued and managed by the Safety, Health and Wellbeing team.

Issue		Revision		
Number	Date	Number	Date	Amendments
Version 1.00	2005			
Version 1.01	2009			Formatting amendments.
Version 2.00	2015		19.11.15	Formatting amendments.
Review Schedule				
Review Conducted		Next Review Date		
November 2015		November 2017		

1. Responsibilities

Head of Service / Head Teachers are responsible for ensuring:

- 1.1. Systems and resources are in place to report and investigate accidents/incidents, in accordance with this Local Code of Practice (LCoP).
- 1.2. All employees and contractors are aware of accident/incident reporting procedures.
- 1.3. Consideration is given to recommendations made in accident/incident and investigation reports to prevent the re-occurrence of similar accidents.
- 1.4. Trade Unions are consulted during RIDDOR reportable accident investigations and informed of the outcomes.

Managers are responsible for ensuring compliance with the LCOP and must:

- 1.5. Actively encourage employees to promptly report all accidents and incidents.
- 1.6. Actively manage and review the accidents / incidents reported in their area of responsibility utilising the [Health and Safety Management System \(HSMS\)](#)
- 1.7. All accidents / incidents etc are reported using the HSMS
- 1.8. Report immediately any death or specified injury to the Safety, Health and Wellbeing (SHaW) team by the quickest possible means (see Procedure Section 2.1 and [Appendix 1](#)).
- 1.9. Ensure that all accidents and incidents in their area of responsibility are fully recorded on the [HSMS](#) (including contractors where appropriate).
- 1.10. Ensure that all incidents involving abuse, threats or violent attacks in their area of responsibility are recorded on the [HSMS](#).
- 1.11. Ensure all near miss or hazards are recorded on the [HSMS](#)
- 1.12. Ensure asbestos incident, gas incident or dangerous occurrences are recorded on the [HSMS](#)
- 1.13. (Schools only) report minor pupil incidents (*minor bumps and scrapes only*) on the School Minor Accident Form.
- 1.14. Where an incident has been caused by a contractor, complete a Contractor Incident Notification (CIN) form and send to Property and Procurement, as well as completing the relevant [HSMS](#).
- 1.15. Ensure all accident incidents are investigated to establish immediate, underlying and root causes, see [Appendix 3](#) for level of investigation required and by whom.
- 1.16. Ensure reporting lines are met as per [Appendix 1](#)
- 1.17. Complete relevant [HSMS](#) in the absence of the injured party, ensuring they are given a copy on their return to provide them with an opportunity to submit an amendment if they disagree with what has been submitted on their behalf.
- 1.18. After an accident/incident; implement measures to prevent or reduce the risk of further incidents or accidents (i.e. staff briefings, review risk assessments, arrange necessary training).
- 1.19. Ensure Safety Representatives are consulted on notifiable (HSE) incident investigations.
- 1.20. Liaise with the SHaW team during accident investigations and complete the online accident investigation form on the [HSMS](#).
- 1.21. Assess accident / incident statistics on a regular basis (if necessary) to identify any trends, and ensure appropriate remedial action is taken when necessary.
- 1.22. Collate the necessary documentation according to the level of investigation (i.e. copies of risk assessments, engineering reports, inspection reports / certificates, training records that may be required as evidence in the event of a criminal prosecution or civil claim).
- 1.23. Ensure all relevant documentation is uploaded to the respective online accident / incident report on the Online Incident Reporting System.

Health and Safety Coordinators must:

- 1.24. Consult with Managers / Head Teachers and the SHaW team and advise on the level of investigation required in line with [Appendix 3](#).

- 1.25. Consult with and advise Managers / Head Teachers on the number and spread of accident investigators required.
- 1.26. Monitor the implementation of this LCOP and take appropriate action in conjunction with Senior Managers to ensure it is followed.

Accident Investigator must:

- 1.27. Investigate accidents and incidents to ascertain immediate and root causes of accidents and complete the online accident investigation form in conjunction with management and produce an action plan with remedial actions to prevent a recurrence.
- 1.28. Obtain information and documentation required to support accident investigations (i.e. take witness statements, collate relevant documentation)
- 1.29. Support and assist the Safety, Health and Wellbeing with accident investigations where required.
- 1.30. Liaise with the Manager / Head Teacher, Health and Safety Coordinator, SHaW team, and Safety Representatives (for notifiable incidents) during accident investigations.
- 1.31. Ensure all relevant documentation is attached to the online accident / incident report in the [HSMS](#).
- 1.32. Ensure reporting lines are met as per [Appendix 1](#).

Health and Safety Service must:

- 1.33. Ensure that accidents, incidents and industrial diseases are reported to the HSE in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) and where required are investigated, with a view to identifying immediate, underlying and root causes to prevent or reduce the likelihood of similar occurrences.
- 1.34. Assist Managers to ensure reporting lines are met as per [Appendix 1](#).
- 1.35. Notify Managers / Head Teachers and Health and Safety Coordinators of any accidents / incidents reported to the HSE and request further information, evidence or an accident investigation when necessary.
- 1.36. Assist Accident Investigators, Managers / Head Teachers and Health and Safety Coordinators where required.
- 1.37. Lead high and specialist level accident investigations, with assistance from local Accident Investigators, Managers / Head Teachers and Health and Safety Coordinators and produce an overview report.
- 1.38. Collect and collate data of reportable and non-reportable incidents to assess trends and provide statistics and reports to the Health and Safety Committee.
- 1.39. Keep a record of all incidents and investigations reports.

Employees must:

- 1.40. Report all accidents and incidents (See [Appendix 1](#)).
- 1.41. Assist with the Council with accident reporting and accidents investigations as required.

Contractors must:

- 1.42. Report all accidents and incidents to the Safety, Health and Wellbeing (SHaW) Team, where the incident takes place on Council premises or on Council Business but not within their premises or the principle contractor compound or area of their own control.
- 1.43. Assist with the Council with accident investigations as required.
- 1.44. Report notifiable accidents / incidents related to their work in accordance with their own procedures.
- 1.45. Ensure reporting lines are met as per [Appendix 1](#).
- 1.46. Following an incident, cooperate with Council or Capita investigations

2. Procedures

Part 1 - Reporting

- 2.1. If there is a Fatality or a injury that meets the HSEs Specified Injuries classification or a Dangerous Occurrence (i.e. something happens which does not result in a reportable injury, but which clearly could have done) involving an employee, contractor, pupil or member of the public (on Council premises or business), the Manager / Head Teacher must report to the Corporate Health and Safety Service by the quickest possible means (calling 0208 359 7955), inform the relevant Health and Safety Coordinator and follow up with the relevant online report.
- 2.2. All accidents and incidents (injury and non injury), reportable diseases and work related sickness absence involving employees or non-employees on (i.e. contractors, members of the public, visitors, clients, pupils on Council premises or business) shall be reported in a prompt manner via the [HSMS](#) to the SHaW team.
- 2.3. If there is a work related accident/incident that takes an employee off work for more than 7 working days or they are unable to carry out their normal duties for more than 7 working days, the Manager / Head Teacher must report this to the SHaW team using the [HSMS](#) as soon as possible.
- 2.4. **Health and Adult Social Care only**, It is a requirement to fill in the online accident and violence report forms for all Client related incidents occurring in Residential Units, Day Centres and Domestic homes.
- 2.5. **Schools only**, Pupils at school who are involved in any incident, record the accident in the [HSMS](#) for schools.
- 2.6. If there is a [reportable disease](#) notified to the Manager by a doctor this must be reported to the SHaW team as soon as possible and followed up by completing the online form in the [HSMS](#).
- 2.7. To ensure the SHaW team meets statutory reporting times scales, Managers / Head Teachers must report incidents to the service in a timely manner (see [Appendix 1](#)). The SHaW team will prompt those using the Online Incident Reporting if an incident is RIDDOR reportable.

Part 2 - Accident/incident Investigation

- 2.8. The main purpose of the accident investigation is to prevent reoccurrence. The accident investigation will be used to improve the management of health and safety by identifying immediate, underlying, and root causes (management system weaknesses that allowed the causal factor to occur).
- 2.9. It should be appreciated that the thorough investigation of accidents is essential particularly where there may be the possibility of criminal proceedings by the enforcement authority and / or civil proceedings by the injured party or his / her representatives.
- 2.10. The level of investigation required must be based on the significance of the incident or potential significance and a competent person must be appointed to lead the accident investigation (see [Appendix 3](#)).
- 2.11. An online accident investigation report must be prepared in line with HSE guidance HSG 245 – [Investigating Accidents and Incidents](#) for medium, high and specialist level investigations. Supporting evidence (documentation) should be presented to the relevant Manager(s) / Head Teacher(s) and to the SHaW team via the [HSMS](#)
- 2.12. Accident investigation reports must be completed within 10 working days of the investigator being appointed. Interim reports must be submitted within 5 working days. Where accident investigations reports will not meet these deadlines, the SHaW team manager must be informed with a reason why and reasonable time scale for completion followed up with a further interim report.
- 2.13. In complex serious cases, it may be appropriate for Managers / Head Teachers to lead a small investigating committee comprising of the responsible Manager / Head Teacher, supervisors, safety representatives, technical specialists, Health and Safety Co-ordinators and the SHaW team.
- 2.14. Examples of evidence documentation that must be collated for medium and high level investigations along with the accident / incident report are:

- 2.14.1. Training records

- 2.14.2. Minutes of meetings
- 2.14.3. Relevant procedures
- 2.14.4. Risk assessments/method statements
- 2.14.5. Engineering inspections
- 2.14.6. Maintenance reports/certificates, inspection reports
- 2.14.7. Statements, photographs, e-mails, etc

3. Local Codes of Practice Relevant to This Document

- 3.1. Management of Health & Safety
- 3.2. Managing Contractors
- 3.3. First Aid at Work
- 3.4. Violence at Work

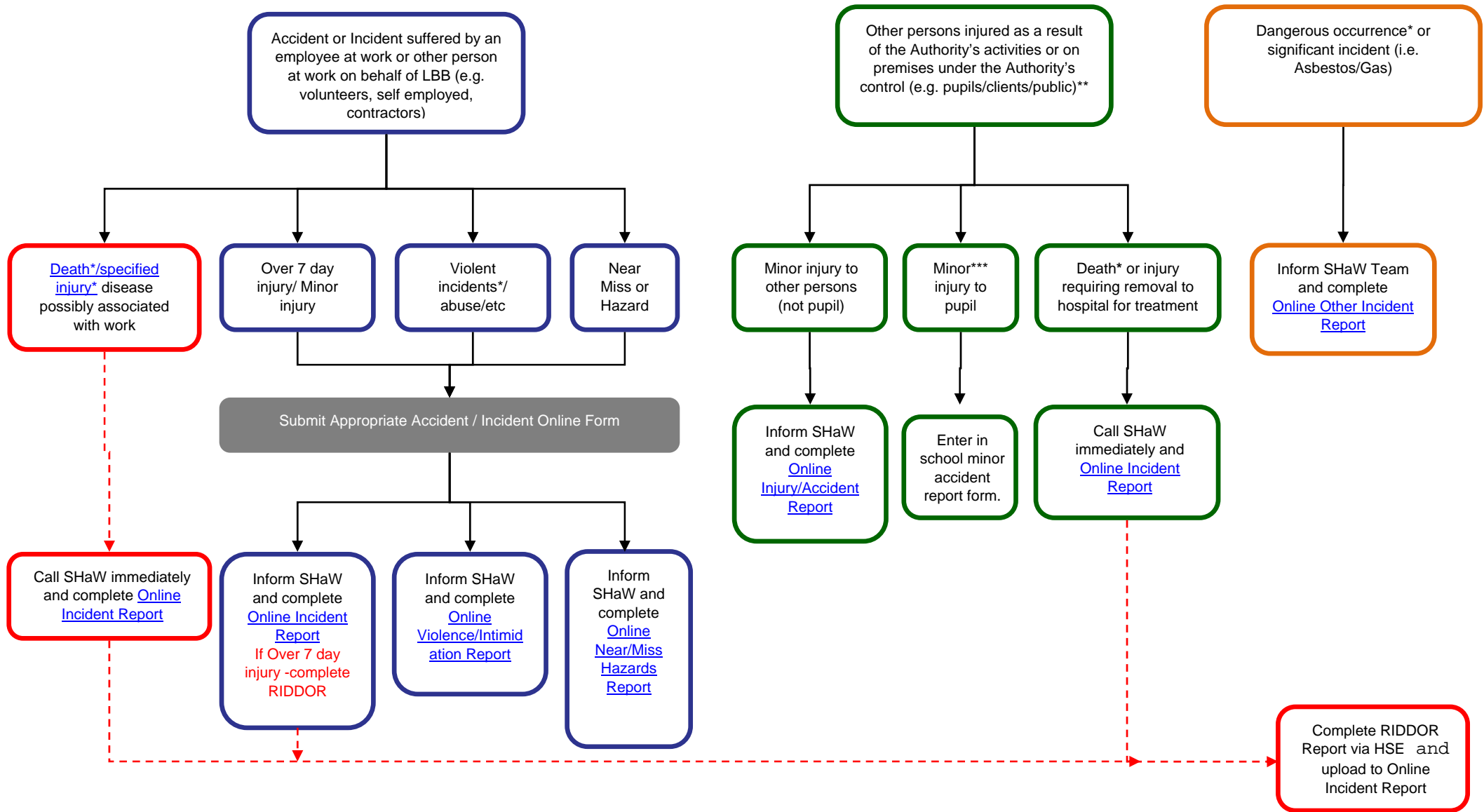
4. Main Legislation Relevant to This Document

- 4.1. [Health and Safety at Work etc Act](#)
- 4.2. [The Management of Health and Safety at Work Regulations](#)
- 4.3. [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013](#)
- 4.4. [Safety Representatives and Safety Committees](#)

5. Contact Address's and Guidance Links

- 5.1. Health and Safety Executive
www.hse.gov.uk
 - 5.1.1. HSG 245 – [Investigating Accidents and Incidents](#)
 - 5.1.2. [What is RIDDOR reportable?](#)
- 5.2. Royal Society for the Prevention of Accidents
www.rospa.co.uk/
- 5.3. Institute of Occupational Safety and Health
www.iosh.co.uk/

Appendix 1 - Action Guide for Accident / Incident Reporting



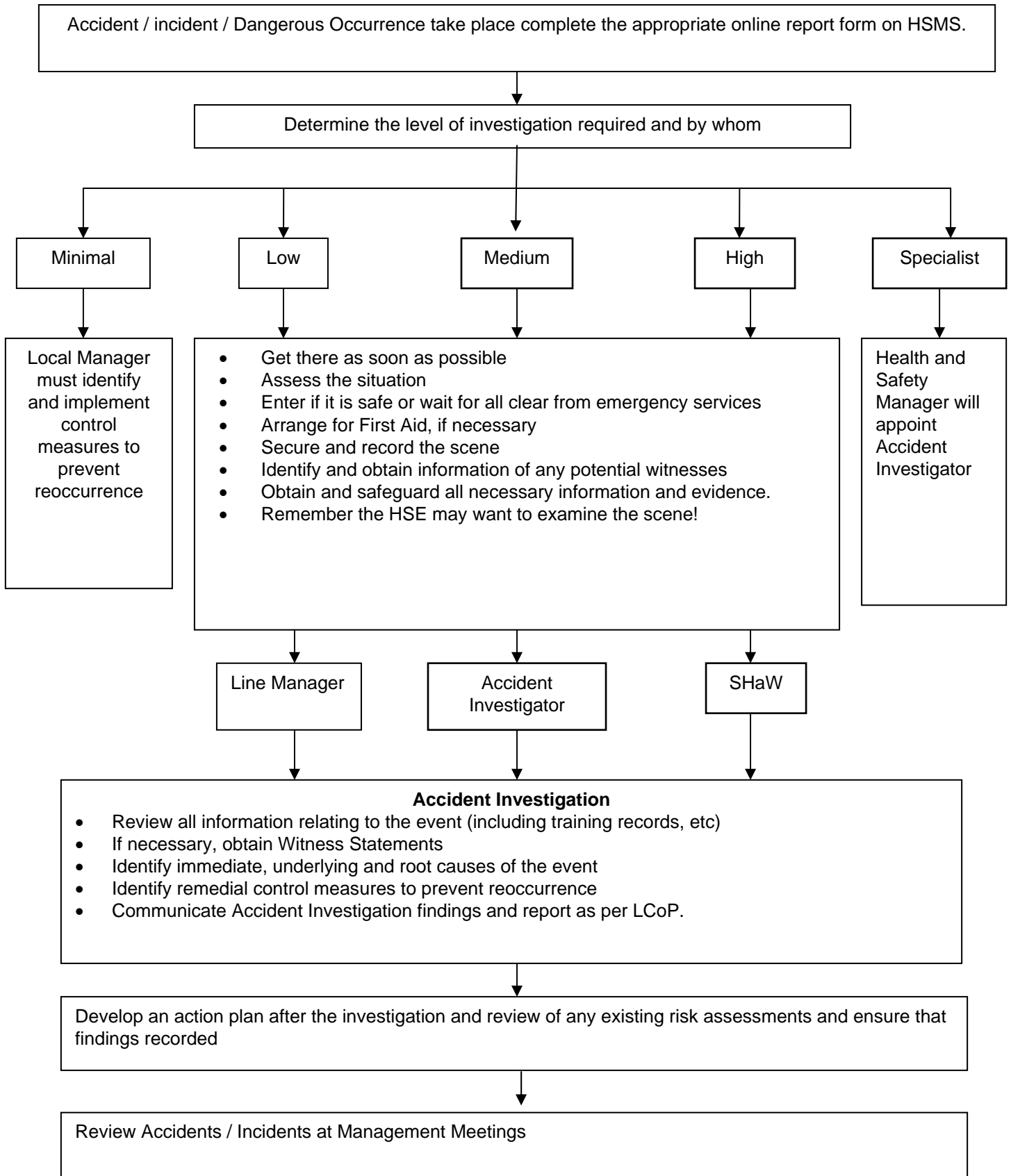
* In the case of death, serious injury, dangerous occurrences or significant incidents, contact the Safety, Health and Wellbeing Team immediately by telephoning 0208 359 7955; also inform the relevant H&S Coordinator. The exception to this is death by natural causes of a client in care.

**In the case of client incidents in care homes where there is no obvious health and safety implication i.e. the client falls or falls out of bed or hits another client, the accident / incident must still be reported via the HSMS.

*** Pupils at school who suffer injuries which are not so serious as to cause them to be taken from the site of the accident to hospital for treatment, record the accident in the School Minor Accident Report form and retained copies in School in a secure place.

The Corporate Health & Safety Service is responsible for statutory reporting to the Health and Safety Executive. Providing that the internal procedure is followed by Divisions/Schools, no further action is necessary on their part.

Management and Investigation



Level of Investigation Guide

Level of investigation	Level of Investigation Indicators	Investigated by	Core Competence required	Additional Competency required
Minimal	No harm or minor injury was sustained not requiring significant first aid assistance.	Relevant Supervisor or Accident Investigator	Managing health and safety course	Corporate Managing of Health and Safety course
Low	A minor injury which may require significant first aid assistance or more serious harm resulting in up to 7 days off. A near miss that could have resulted in the equivalent results.	Line Manager or Accident Investigator	Risk & Manual Handling Assessment Course + as for Low	Must have attended corporate 1-day Accident Investigators Course
Medium	An over 7 days off work injury or a near miss that could have had equivalent results. A non-employee is taken directly to hospital. Any specified injury or near miss equivalent deemed unlikely to re-occur	Accident Investigator and SHaW where required	IOSH Managing Safely or NEBOSH Certificate (equivalent) + as for Low & Med	Must have attended corporate 1-day Accident Investigators Course
High	Serious injuries / Fatality Dangerous occurrence Near miss that could have had the equivalent results Reportable disease or Press Interest	SHaW (Assistance provided Directorate H&S /Accident Investigator)	CMIOSH/ Grad IOSH (or an equivalent)	Must have attended corporate 1-day Accident Investigators Course
Specialist	This will compliment Medium or High level investigations, where there is a need for a specialist report. For example structural engineers, field specialists, etc.	Specialist on appointment from the Corporate Health and Safety Manager	Must be competent in their specialist field.	