

Accident, Incident, Near Miss and Dangerous Occurrence Standard

Warwickshire County Council

This Standard has been produced in accordance with Warwickshire County Council's (WCC) Health and Safety Policy and outlines the minimum requirements that must be met.

The requirements within the Standard need to be interpreted and included into service and team local arrangements.



Plan – consider activities, risks & competency.
Refer to legislation, WCC Standards and industry best practice

Why Do We Need This Standard

The County Council's Accident, Incident, Near Miss and Dangerous Occurrence Standard will ensure that:

- A. appropriate action is taken following an incident to prevent a recurrence.
- B. all accidents, incidents, near misses and dangerous occurrences that arise out of or in connection with the work activity are reported and recorded using the online reporting system, including those incidents which occur at home.
- C. all employees are aware of their own responsibilities to report and record accidents, incidents, near misses, occupational ill health/disease, and dangerous occurrences. They will be recorded on our corporate system against the following categories as an example. **The List is not exhaustive:**
 - i. Absconding
 - ii. Abuse - Verbal/written/digital/media.
 - iii. Animal related
 - iv. Anti-social behaviour
 - v. Asbestos related
 - vi. Dangerous Occurrence
 - vii. Environmental Incident
 - viii. Fire
 - ix. Hit fixed/stationary object.
 - x. Machinery/plant/equipment
 - xi. Near Miss
 - xii. Non - work related ill health.
 - xiii. Play equipment.
 - xiv. Psychological or emotional distress
 - xv. Security Incident
 - xvi. Sharp Object/Surface - contact with
 - xvii. Slip, trip, or fall.
 - xviii. Vehicle related incident

- D. all employees are aware of how to respond in the event of an accident, incident, near miss and dangerous occurrence.
- E. all incidents are investigated as appropriate and dependant on the seriousness of the incident.
- F. WCC complies with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) and reports to the Health and Safety Executive (HSE) as required.
- G. accidents and incidents are monitored and analysed to identify trends so that action can be taken as appropriate.
- H. health and safety performance will be monitored at a corporate, directorate and local level.
- I. the accident recording system is maintained, reviewed, and updated as required.
- J. all relevant statutory requirements and, where necessary, best practice guidance is adhered to.

The information, guidance and instruction within this Standard covers all accidents, incidents, near misses, dangerous occurrences, verbal/physical abuse, road traffic incidents, environmental and occupational ill health, reporting, recording and investigation.

The Standard is applicable to all areas of the County Council; it is essential therefore that everyone involved in WCC activities knows how to report, record and investigate as required. This therefore covers employee and non-employee incidents, accidents, and near misses.

The application of this Standard along with its supporting documentation will ensure that, so far as is reasonably practicable, the County Council meets all relevant statutory requirements regarding the recording of accidents and injuries in compliance with the duty imposed by legislation.

The Standard and associated guidance provide a standardised approach for all persons who are responsible for accident reporting, recording and investigation, ensuring consistency across the County Council.

Definitions

The following are key definitions for this Standard:

Accident/Incident – any unplanned event that results in injury or ill-health to people involved in WCC activities, or damages equipment, property, or materials but where there was a risk of harm.

Minor injury – any minor injury such as a scratch, bruise, minor cut, or grazing.

Injury – any injury or ill-health which has arisen out of, or in connection with the work activity (excluding those categorised as minor injury)

Ill Health – includes occupational diseases (as stated in schedule 3 of RIDDOR and see also HSE information sheets), occupational ill health and medical conditions contracted because of WCC activities.

Near Miss - any incident that could have resulted in injury, damage or loss but did not on this occasion but could in the future.

Dangerous Occurrence – any unplanned event that is listed in schedule 2 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) examples can be found in the HSE’s information sheets but include exposure of hazardous substances, collapse or failure of building structure, fire/explosion which suspends normal working for more than 24 hours.

Verbal & Physical Assault - any incident, in which a person is abused, threatened, or assaulted in circumstances relating to their work. This can include verbal abuse or threat as well as physical attacks of violence.

Road Traffic Incident – any incident which causes injury or damage to a person, animal, vehicle, or property whilst driving for work. This does not include any Road Traffic Incidents that happen on your commute to and from work, as it only applies when you are driving for a work activity (for example travelling to and from a location that is not your normal place of work, such as for meetings or training). This applies whether you are driving your own private vehicle, a WCC fleet vehicle (this includes pool cars, minibuses), or a hire/lease vehicle.

Environmental – any incident which solely impacts on the environment, for example discharge to drainage, damage to flora and fauna and spillages.

Work Related – An accident or incident that happens out of or in connection with work. An accident is work related if the following played a significant part.

- The way the work was conducted.
- Any machinery, plant, substances, or equipment used for the work or
- The condition of the site or premises where the accident happened.



Do - implement safe working practice & control measures, produce documentation & records, arrange training, inform staff

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)

The regulations require fatalities and certain accidents, incidents, and ill health to be formally reported to the Health and Safety Executive (HSE) as the enforcing authority, by the employer or “responsible person.” The regulations apply to accidents/incidents/ill health, which arise out of or in connection with work activities or the working environment, covered by the Health and Safety at Work etc Act 1974.

The reports alert the HSE to individual incidents to enable them to target their activities and advise employers on strategies to help prevent injuries, ill health, and accidental loss.

More information on “reportable” injuries, dangerous occurrences and diseases can be found in the HSE Information Sheet for RIDDOR Incident-reporting at Schools and Reporting Accidents and Incidents at Work, these are located on the H&S SharePoint pages links can be found at the end of this Standard.

It is essential that managers/Headteachers and those responsible for signing off accident reports are fully aware of accidents/incidents that are “reportable” under RIDDOR so that WCC can report them to the HSE as required and within the set timescale. (See HSE RIDDOR Sheets).

As with all accidents/incident, managers/Headteachers must ensure that all “reportable” accidents/incidents are inputted directly on to the WCC accident reporting system as soon as is possible. Dependant on the seriousness of the accident/incident it may require a telephone call to the Health and Safety Team, as if there is a fatality this must be reported immediately to the HSE. Contact details are available on the SharePoint pages.

This will enable Health & Safety staff to submit a report to the HSE within the specified timescales to comply with the legislation.

WCC ensures that all “reportable” accidents/incidents are notified to the HSE within the required timescale (which is either 10 days or 15 days after the accident/incident dependent on the accident/incident type). If there is a delay due to medical examination, this must be notified as soon as the injury/condition has been confirmed.

It is a requirement that all WCC employee “reportable” accidents/incidents/ill health/dangerous occurrence have a formal investigation undertaken. Where a manager is aware of a “reportable” incident, in addition to ensuring the completion of the accident report form, they should also immediately instigate a formal investigation, using the supportive documentation and make the Health and Safety team aware. Dependant on the incident Health & Safety Staff may decide that they will need to be involved with the investigation or take a lead role in conjunction with relevant managers/headteachers.

Accidents that result in death, a specified injury or an employee being unable to perform their normal operating duties for more than 7 consecutive days, exclusive of the day of the accident must be reported to a H&S Advisor. Here is a list of specified injuries:

- Fracture other than to fingers, thumbs, or toes.
- Amputation.
- Dislocation of the shoulder, hip, knee, or spine.
- Loss of sight (temporary or permanent).
- Chemical or hot metal burn to the eye or any penetrating injury to the eye.
- Injury resulting from an electric shock or electrical burn leading to unconsciousness.
- Any other injury leading to hypothermia, heat-induced illness, unconscious, resuscitation, or admittance to hospital for more than 24hours.
- Unconsciousness caused by asphyxia or exposure to harmful substance or biological agent.
- Acute illness requiring medical treatment, or loss of consciousness arising from absorption of any substance by inhalation, ingestion or through the skin.
- Acute illness requiring medical treatment where there is reason to believe that this resulted from exposure to a biological agent or its toxins or infected material.

School RIDDORs do come under slightly different qualification markers, (for example pupils come under members of the public) for more information please see the further information section at the end of this document.

As the enforcing authority, when the HSE receives notification of a “reportable” incident, they may contact WCC to request further information or choose to undertake an investigation themselves. The Corporate Health and Safety Team Lead and Senior Health & Safety Advisors will liaise with and co-operate with the HSE as necessary and support the relevant manager/headteacher with this process.



Organisation & Arrangements

Accident/Incident Reporting and Recording is an important part of Health & Safety management and is used as a tool to identify where and how the risk arose and to try to prevent re-occurrence. General accident/incident statistics can provide useful information and often indicate trends. It is important that all staff are aware of the need to report accidents/incidents, near misses and dangerous occurrences using the WCC online system. It is important that the reporting is not delayed due to access to the system as some accidents/incidents need to be reported to the HSE within designated timescales. Prompt and accurate reporting means that WCC can take appropriate action to prevent a re-occurrence and provide support and assistance to affected staff as soon as possible after the accident/incident.

Training

Information and instruction on undertaking accident/incident recording is included in Corporate Health, Safety and Wellbeing eLearning EL HSW IN001, which can be found on the learning hub.

For WCC schools (Maintained and Voluntary Controlled Schools) who do not have access to the Learning Hub, the training is included on the Health and Safety Documents for School's Page under the induction section.

Working From Home

Work-related accidents that occur at home should also be reported onto the online system. Not all accidents that occur at home are work-related, the same as in the workplace. Just because an accident occurs during your working hours when working from home does not always imply it is work-related. An example of this could be heading downstairs to get a coffee and tripping. This incident is not related to work. An example of a work from home accident that is work-related could be suffering from an injury in relation to your DSE setup. The difference being is that the work activity you were undertaking caused the injury.

What Should I use to Record Accident Information On?

The WCC online system must be used for the initial report. If a more formal investigation is required, the corporate accident/investigation form should also be completed. The Corporate Health and Safety Team will be able to give advice on completing this form. A witness form is also available for any witness statements. All these forms are available on the Health & Safety pages of the intranet, or the Health and Safety Documents for Schools webpage, links are located at the bottom of the Standard.

Risk assessments should be reviewed after an accident/incident where relevant, to ensure remedial action is identified and taken where required to prevent a recurrence. Risk assessments must be updated as required and the date recorded when this has been done. As part of an HSE investigation they will request copies of risk assessments for both before and after an accident/incident where relevant. Should an accident/incident lead to an insurance claim against WCC the Insurance Section will also require all the above information.

In accordance with the WCC retention of records policy all documents relating to accidents, incidents, near misses, occupational diseases, occupational ill health, occupational road traffic incidents and



dangerous occurrences should be kept for a minimum of 5 years, or if involving someone under 18 this should be kept until they turn 18 plus three years.



Check – monitor how effective arrangements & measures are/any incidents/issue.

Accident Investigations

The main purpose of an accident investigation is to determine the causes of the accident and identify any remedial action that may help to prevent a recurrence. Managers are responsible for investigating any accidents that occur within their area of responsibility. Records of the findings of all accident investigations, witness statements, pictures of the scene and any remedial actions taken must be kept for future reference, as well as keeping an original copy of the risk assessment before amendments were made.

There are four main steps to accident investigations listed below:

- The gathering of information; (Witness statements, pictures, and equipment records)
- The analysing of information; (Determining immediate, underlying and root causes)
- Identifying risk control measures; (Corrective actions to prevent recurrence)
- Implement the Action Plan (Communicate to employees and ensure understanding)

Assistance in investigating serious or complicated accident/incidents will be in conjunction with the Health and Safety Team and Technical Specialist, if necessary.

Roles and Responsibilities

The following specific roles and responsibilities apply to this Standard and are in addition to the general roles and responsibilities placed on all managers and employees within Warwickshire County Council's Health and Safety Policy.

Managers, Headteachers, Line Managers and Supervisors must:

- Ensure that all accidents/incidents/near misses arising out of, or in connection with, work are reported on the WCC accident reporting database, including those that have happened at home. These accidents/incidents are categorised under the following headings for the purpose of the database:
 - Accident/Incident which may or may not have resulted in an injury including work related ill health violent incident (verbal and physical), road traffic incident)
 - Near miss, dangerous occurrence, outbreak of fire, environmental incident, and security/vandalism/property/equipment damage, which has the potential risk of harm to people on-site.
 - The signing off manager will decide on category, assistance can be sort from Workforce Health and Safety.



- Ensure that all accidents/incidents resulting in a member of staff being absent for 3 consecutive days or more is reported, and the full extent of the absence period is recorded (e.g. total number of days absence due to accident/injury).
- Ensure that the requirements and procedures for reporting accidents/incidents are followed, reports are fully completed by appropriate managers and forwarded to Health & Safety Staff directly through the online system and submitted within the required timescales.
- Ensure that the WCC accident/incident reporting requirements and procedures are brought to the attention of all employees.
- Ensure that all employees receive the induction information (training as described in the training section of this Standard) which details the need to know how to report accidents/incidents/near misses or involvement in a violent incident (physical/verbal) however minor, to their supervisor/line manager on the same day or as soon as is reasonably possible.
- Ensure that all employees have access to the online accident reporting system.
- Carry out accident/incident investigations as required and if necessary, in conjunction with Health & Safety Staff using the corporate accident/incident investigation form (the level of investigation will depend on the seriousness of the incident).
- Ensure that risk assessments are reviewed, where relevant, after an accident/incident, to ensure remedial action is identified and taken where required to prevent a recurrence. Update risk assessments where required.
- Implement and record any changes to working practices, safe systems of work, use of equipment etc that are required because of any accident/incident and bring to the attention of all staff. If required, with the assistance of Health & Safety Staff.
- Inform the Corporate Health and Safety Team as soon as possible (by phone, e-mail, or teams) when an HSE inspector has told you that they are visiting a WCC premise. If they are not available inform the Corporate Health and Safety Team Lead or Technical Specialist.
- Monitor accident trends in your remit and act as appropriate.
- Provide anonymised accident/incident records to Safety Representatives or others (e.g. parents) when requested or direct them to the Corporate Health and Safety Team.

Employees must:

- Report any accident, incident, near misses, occupational ill health, or dangerous occurrence at the earliest opportunity and in accordance with WCC requirements and processes.
- Report any dangerous activities/issues in relation to work undertaken by contractors/sub-contractors on site to relevant manager/Headteacher.
- In addition to reporting Road Traffic Incidents (while driving at work) on to the WCC online system you must also report Road Traffic Incidents in accordance with the Road Traffic Act and Highway Code so that to the relevant emergency service is notified, as necessary.
- Provide as much information on the report as possible to ensure a suitable and sufficient investigation can be undertaken.
- Ensure that their profile information on the system remains up to date whenever there are organisation changes.

The Role of the Workforce Health and Safety Team:

- Ensure that managers, Headteachers and employees are aware of the corporate requirements and arrangements for reporting accidents.



- Ensure that accident investigations are conducted as required and provide advice/support/ or assistance to managers/Headteachers where necessary.
- Report any injuries, occupational diseases, and dangerous occurrences to the HSE as necessary in compliance with RIDDOR.
- Advise managers to refer relevant cases where necessary to WCC associates, for example, Occupational Health, Human Resources Advisory as required.
- Inform the Workforce Health and Safety manager of any RIDDOR reportable events in a timely manner.
- Monitor all accident/incident/disease and dangerous occurrences reported within the Directorates and compile statistical information for inclusion in the Health & Safety Annual Report and reports to relevant Senior management team (DLT/SLT) and Workforce Health and Safety manager.
- Provide advice and guidance to managers/Headteachers and employees where changes to systems of work, risk assessments, equipment etc are required following an accident, incident, near miss or dangerous occurrence.
- Consult with other relevant WCC employees as necessary in respect of accidents/incidents and investigations, such as the Legal Claims Team.
- Inform the Workforce Health and Safety manager immediately if there is any correspondence or visits from the HSE or other enforcing bodies.
- Report onto the accident system of any HSE visits/investigations, the findings of these visits/investigations and any actions taken by WCC as advised by the HSE.
- The H&S team will provide support where required after a HSE visit.
- Cooperate with the HSE as and when required.
- Retain all internal incident report forms for 5 years. Reports which relate to children will be kept until the child is at least 21 years of age. Reports which relate to a long-term health problem (for example, exposure to asbestos fibre) will be kept for 40 years. Retain all records of any incident reported to the HSE for at least 5 years.
- For any incident relating to exposure of asbestos notify Occupational Health who will retain a copy of the accident/incident form on the employee's file.
- Share the lessons learnt from accident/incident investigations with other Health & Safety colleagues and managers within WCC necessary to ensure learning across WCC enabling the management/control of risk in a similar fashion.
- Provide information to Legal Services as and when requested.
- Ensure that any property defects resulting in an accident will be shared and reported to Property Services for investigation and repair if necessary to reduce the likelihood of recurrence.
- Continually review the accident system to ensure it remains fit for purpose for reporting on data and trends as well as customer usability.
- Lead on accident investigations when required.

Health and Safety Technical Specialist will:

- Act as liaison officer in any investigation with HSE or other enforcing bodies.


Monitor & Review



To ensure the effective application of this Standard directorates are required to have in place arrangements for monitoring and reviewing its implementation at regular intervals. The Standard review needs to promote a cycle of continuous improvement; therefore, any actions identified to ensure this, should be considered, and implemented where reasonably practicable.

Successful monitoring and review rely on commitment from managers at all levels and should therefore be included as an integral part of their business planning process.

This will ensure that legal compliance is being achieved and specific responsibilities of all staff are being discharged correctly.

 **Act** — take action/have a plan of action for any gaps /revisit arrangements/measures/ documentation

Corporate Review

The content of this Standard and its effectiveness will be the subject of a three-yearly review in conformity with the County Council’s Health & Safety Policy. In addition, this Standard will be the subject of review and amendment within this period should significant changes occur. This Standard is subjected to quality control procedures and hence previous issues of the document will be archived.

Further information

WCC Internal Sources

[Accidents and Incidents](#)

WCC School Sources

[Health and Safety Documents for Schools](#)

External Sources

[RIDDORs in Schools](#)

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