

# Accident and Incident Reporting and Investigation

## 1 PURPOSE

- 1.1 The purpose of this Procedure is to specify the minimum actions that should be taken following an accident or incident. Accident / Incident reporting and investigation enables appropriate steps to be taken, if necessary, to prevent similar accidents occurring in the future. It also allows the University to monitor how effectively we manage health and safety and ensures that our statutory obligations are met.

## 2 SCOPE

- 2.1 This procedure is applicable no later than 1st August 2014 and covers all accidents and incidents on all campuses involving University staff, students, contractors and visitors.

## 3 DEFINITIONS

<b>Incident</b>	An unexpected event that has, or could have, resulted in injury or loss.
<b>Accident</b>	An incident that resulted in injury.
<b>Near Miss</b>	An incident that did not result in injury.
<b>LTA</b>	Lost Time Accident, this is when, because of injuries received at the university an individual is absent from work.
<b>RIDDOR</b>	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland).

## 4 RESPONSIBILITIES

### Vice-Chancellor

- 4.1 On behalf of the Council the Vice-Chancellor has executive responsibility to ensure, that the requirements of the health and safety legislation and the University health and safety policy are complied with. The Vice-Chancellor will ensure that responsibility for health and safety is properly assigned and accepted at all levels within the University.

### **Deans, Directors, Heads of Schools/Departments and Research Institute Directors**

- 4.2 Deans, Directors, Heads of Schools and Departments and Research Institute Directors are responsible for ensuring that all accidents are investigated in accordance with this procedure. They are also responsible for ensuring the recommendations made on the accident report are considered and actions are taken to prevent the occurrence similar accidents.

### **Managers**

- 4.3 Managers are responsible for completing the accident investigation on accidents either occurring in their area or involving their staff or students working off-site. In the event of an accident the prime responsibilities of a manager are:
- To ensure the injured person has received treatment
  - To take immediate steps to prevent other people from being injured.
  - In the event of serious injuries to secure the scene and contact department head and Health and Safety Services to instigate an immediate investigation.
  - To complete the accident report form.

### **All Staff**

- 4.4 All Staff are responsible for reporting all accidents and near miss incidents to their manager and to assist in the completion of the accident report form.

## **5 PROCEDURE**

### **Reporting Accident and Incidents**

- 5.1 All accidents occurring on Ulster University premises involving employees, students, contractors or visitors must be reported where practicable using the University Accident Report Form (AR1). Copies are available from Faculty, School and Departmental Offices, Security desks, University Health Centres and University Sports Centres and also on line. All accidents occurring in the course of Ulster University duties off campus, e.g. field trips, visits/placements, etc., must be reported using the University Accident Report Form in addition to any reporting requirement of the host organisation. Dangerous Occurrences or Near Miss situations that could have lead to personal injury should also be reported.

- 5.2 Line Management must review all accident reports with the employee concerned and their immediate supervisor in order to assess the cause, contributory factors, and possible preventative actions required to prevent recurrence.
- 5.3 Line Management is responsible for the implementation of agreed actions and will develop systems to ensure timely follow-up and close-out of accident related actions in their area.
- 5.4 In the event of a serious accident Health and Safety Services will assist in the investigation, or may initiate an investigation of other accidents if it is deemed necessary.
- 5.5 Reporting of project/contractor related accidents should be co-ordinated through the project manager or relevant Physical Resources Estates Officer managing the project.

#### **Serious Accidents**

- 5.6 In the event of a serious accident, and if possible without further risk, the area / equipment should be made safe or isolated. Where there is continuing imminent danger access to the area must be controlled. This may include the initiation of the emergency evacuation procedure.
- 5.7 The area / equipment should remain undisturbed until the circumstances of the accident have been fully investigated. Accidents resulting in major injuries e.g. fractures, hospitalisation, loss of consciousness, greater than 3 days lost time, must be reported to Health and Safety Services as soon as possible by telephoning extension 66952.
- 5.8 In the case of a serious accident the Head of School / Department should request assistance from Health and Safety Services with the accident investigation

#### **Accidents Involving Staff, Students, Accompanied Visitors or Contractors**

- 5.9 It is the responsibility of the Head of School / Department to ensure that:
  - Accidents are investigated;
  - Accident report forms are completed;
  - Original accident report forms are submitted promptly to Health and Safety Services within seven days;
  - Relevant risk assessment(s) are reviewed

### Accidents Involving Unaccompanied Visitors

- 5.10 Where a visitor is unaccompanied then the Security Staff to whom the accident is reported should ensure that:
- Side one of the accident report form is completed (so far as possible);
  - The original accident report form is submitted promptly to Health and Safety Services.

### Accidents Involving Contractors

- 5.11 For an accidents or dangerous occurrence involving a contractor it is the responsibility of the Head of School / Department responsible for overseeing the contract to ensure that:
- It is investigated;
  - The accident report form is completed;
  - The original accident report form is submitted promptly to Health and Safety Services within seven days
  - The relevant risk assessment(s) are reviewed

The tasks above are normally carried out by the supervisor of the project.

### Injuries Arising from Sports Activities

- 5.12 There is a simplified reporting form (SI1) specifically for use with sports injuries occurring solely as a result of participating in a sports activity, where there is no defect in University premises, equipment, etc.. Where there is any possibility of the immediate or underlying causes of the injury being due to a defect, Accident Report Form AR1 should be used and the normal procedures followed.

## 6 REPORTABLE ACCIDENTS

- 6.1 There is a legal requirement under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations for the University to report all serious injuries and specific dangerous occurrences to the Health and Safety Executive (Northern Ireland).
- 6.2 Health and Safety Services undertake this reporting on behalf of the University. In the case of serious injury or absence from work for more than three days as the result of an accident, the injured person's supervisor must inform Health and Safety Services immediately, Coleraine/Magee ext 24093, Jordanstown/Belfast Ext 66952.

## **7 COMPLETION OF FORMS**

- 7.1 The accident report forms are designed so that essential information on the person injured and the details of the accident are recorded along with information about steps that could be taken to avoid a recurrence. The "recommendations to prevent recurrence" aspect of the report is the most important element with regard to prevention of the same or similar accidents in future. It is important that the investigation does not stop when the cause of injury is discovered but continues to identify the roots causes of the accident/incident. The form should be completed as fully as possible before being returned to Health and Safety Services, however, in order to meet time limits imposed by RIDDOR, it may be necessary to return an incomplete form.
- 7.2 As indicated on the form, the injured person should complete sections 1 and 2. Where this is not possible for whatever reason then the line manager (staff member accompanying a visitor, sports centre staff or security staff) should complete these sections as far as possible (excluding the statement of the person involved if necessary), as it is essential that the accident report form is received by Health and Safety Services within seven days.
- 7.3 Witnesses can provide useful additional information during an investigation. Where appropriate, separate pages should be used to record witness statements. These statements should include the names and addresses of witnesses.

## **8 ACCIDENT INVESTIGATION AND REMEDIAL ACTION**

- 8.1 In all cases where the accident investigation indicates the need for remedial action to prevent recurrence of a similar incident, it is the responsibility of the Head of School / Department to ensure that this work is requested and completed on a timely basis.
- 8.2 As part of the accident investigation the relevant risk assessment(s) should be reviewed and revised where necessary to take account of previously unforeseen circumstances.
- 8.3 When required, Health and Safety Services are responsible for carrying out the statutory notification to the Health and Safety Inspectorate required by RIDDOR.
- 8.4 Health and Safety Services will assist in the investigations of serious accidents or may initiate an investigation of other accidents if it is deemed necessary.

- 8.5 Health and Safety Services are responsible for retaining completed Accident Report Forms and for providing accident data to committees and Heads of Schools / Departments on request.

## **9. NEAR MISS INVESTIGATION**

- 9.1 In the same way described in Sections 7 and 8, near miss incidents should be investigated by managers to identify the root causes and recommend actions to prevent reoccurrence. Form AR1 should be completed and then forwarded to Health and Safety Services.

## **REFERENCE DOCUMENTS**

- The Health and Safety at Work (Northern Ireland) Order (1978)
- Reporting of Injuries, Diseases and Dangerous Occurrences (Northern Ireland) Regulations