

**East Ayrshire Council**  
Comhairle Siorrachd Àir an Ear

## **Corporate Health and Safety Policy Arrangements**

### **Incident Reporting**

#### **1. Objective and Scope**

Incident Reporting is one of a number of health and safety standards forming East Ayrshire Council's Health and Safety Policy written arrangements in compliance with the general duties under Section 2 of the [Health and Safety at Work etc. Act 1974](#).

This standard relates specifically to the monitoring of incidents and near misses with particular emphasis on the [Reporting of Injuries, Diseases and Dangerous Occurrences \(RIDDOR\) Regulations 2013](#), [The Social Security \(Claims and Payments\) Regulations 1979](#) and the [Social Security Administration Act 1992](#).

#### **2. Responsibility**

Overall responsibility for standard belongs to the Chief Executive, Depute Chief Executives, Heads of Service and the Health and Safety Manager.

Managers, Supervisors, Head Teachers and the Health and Safety Section are responsible for ensuring that the incident reporting procedures are fully implemented within their areas of control.

All Council employees have a responsibility to ensure that they report all incidents and near misses which occur in the workplace.

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### 1. INTRODUCTION

- 1.1 East Ayrshire Council's Incident Reporting standard has been implemented to ensure continued compliance with legal requirements under duties of:
- Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013
  - Social Security (Claims and Payments) Regulations 1979
  - Social Security Administration Act 1992
- 1.2 The procedures detailed in this standard must be followed in the event of any incident which occurs in premises under the control or supervision of the Council or as a result of Council activities involving employees, contractors, service users or members of the public.
- 1.3 Statutory notification to the Health and Safety Executive (HSE) of incidents which fall under the scope of RIDDOR is the responsibility of the Health and Safety Manager who will ensure RIDDOR reports are completed on behalf of all Council departments.
- 1.4 This Standard also provides an overview of SHE, which is the incident reporting and management system used for reporting incidents internally within the Council.
- 1.5 Under Social Security legislation, there is a further requirement to make sure that an employee is able to demonstrate that their employer was informed of any work related incident; should there be a need to claim benefit as a result of any absence from work. This can be achieved by recording the details of the incident on the SHE system, removing the previous requirement to record the incident in the approved accident book (BI 510).

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### 2. REPORTING REQUIREMENTS UNDER RIDDOR

#### 2.1 RIDDOR requirements

Under the requirements of RIDDOR, there are certain types of incidents which **must be reported to the Health and Safety Executive (HSE) by law.**

The Health and Safety Manager is responsible for reporting any RIDDOR incidents to the HSE within specified timescales.

In order that specified timescales are achieved, managers must ensure that all incidents are reported on the SHE system promptly and the **Health and Safety Manager notified immediately by telephone** in the event of a serious incident. **See Appendix 1 for further detail on action to take in the event of a serious incident.**

#### 2.2 Fatalities

The death of any person, employee or non-employee resulting from an accident arising out of or in connection with work, **must be reported to Senior Management and the Health and Safety Manager immediately.** This includes where a fatality has been caused by an act of physical violence towards an employee.

There is a further requirement to report the subsequent death of an employee who dies as the result of a reportable injury within one year of the date in which the incident occurred.

Managers must ensure the progress of any employee who is seriously injured in a workplace incident or is diagnosed with work related disease/ illness is carefully monitored, including where the employee no longer works for the Council. The Health and Safety Manager must be notified immediately of the subsequent death of an employee in circumstances outlined above.

#### 2.3 Specified (major) injuries

Where a specified injury is sustained by an employee or non-employee, the relevant Senior Manager and Health and Safety Manager must be notified immediately and the incident recorded on SHE as detailed in 4.1.

Under RIDDOR 2013, specified injuries are defined as follows:

- The fracture of any bone other than the fingers, thumbs or toes (note chipped bones are regarded as fractures for the purposes of RIDDOR)
- Amputation of an arm, hand, finger, thumb, leg, foot or toe
- Crush injuries leading to internal organ damage
- Serious burns (covering more than 10% of the body, or damaging the eyes, respiratory system or other vital organs)
- Scalping (separation of skin from the head) which requires hospital treatment

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- Unconsciousness caused by head injuries or asphyxia
- Any other injury arising from working in an enclosed space, which leads to hypothermia, heat-induced illness or requires resuscitation, or admittance to hospital for more than 24 hours

### 2.4 Non-employee injuries

Where an injury to a non-employee has occurred within premises under the control or supervision of the Council or as a result of Council activities resulting in the injured person being transported from the scene of the incident to hospital **for treatment**, this may be reportable under RIDDOR.

The responsible manager/ supervisor should ensure the incident is logged on the SHE system **within five working days**.

### 2.5 Over seven day injuries to employees

Where an employee is incapacitated as a result of a work related incident for **more than seven consecutive days** the incident becomes reportable under RIDDOR. This does not include injuries which fall under the “*specified*” category, which are immediately reportable as detailed in 2.3.

Records must still be kept of all incidents where the employee has been incapacitated for more than three consecutive days but these are no longer reportable to the HSE.

Incapacitation means that the employee is absent from work or is unable to carry out the duties that they would reasonably be expected to do as part of their normal working day.

The day the incident occurred **is not** included in the seven days but weekends and rest days are. **RIDDOR reports must be made to the HSE within 15 days of the accident.**

The SHE system **must** be updated with details of any employee’s absence due to a work related incident.

Updating the incident severity to a different RAG (red, amber, green) rating category will automatically generate an email which will be sent to Health and Safety and the relevant manager. This will allow any subsequent RIDDOR reports to HSE to be made within the specified timescales.

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### 2.6 Definition of work related incidents

For an employee incident to be reportable under RIDDOR, it must have occurred **at or in connection with work**.

Incidents sustained during unpaid lunch or shift breaks are not classified as 'at work'.

Incidents at work do not include time when an employee is travelling to or from work unless they are travelling in a Council vehicle or are being paid expenses for the journey to their first appointment.

Road traffic accidents, in general terms, do not need to be reported under RIDDOR unless the accident involved:

- The loading or unloading of a vehicle
- Work alongside the road e.g. construction or maintenance work
- The escape of a substance being transported by a vehicle
- A train.

### 2.7 Reportable dangerous occurrences

Dangerous occurrences are certain specified near miss events which have the potential to cause major injury or death. There are a total of twenty seven categories, however some specified dangerous occurrences applicable to most workplaces include:

- The collapse, overturning or failure of load bearing parts of lifts or lifting equipment
- Plant or equipment coming into contact with overhead power lines
- Explosions or fires causing work to be stopped for more than 24 hours

The full list of specified dangerous occurrences is available in [Schedule 2 of RIDDOR](#).

Dangerous occurrences must be **reported to the Health and Safety Manager and Senior Management immediately** and the incident logged on SHE as detailed in 4.1.

Managers are advised that where they are unclear regarding categories of dangerous occurrences they should contact the Health and Safety Team **prior to completing the SHE report**, for further advice.

Where an injury occurs and is reportable under one of the other categories of RIDDOR i.e. a specified injury, the dangerous occurrence should not be reported separately. If however, the injury is not reportable under RIDDOR or no injury has been sustained; the incident should be reported as a dangerous occurrence.

The Health and Safety Manager will ensure all incidents of dangerous occurrence are reported to the HSE as specified under RIDDOR.

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### 2.8 Reportable diseases/ work related illnesses

Reportable employee diseases or illnesses are conditions which have been caused or made worse by conditions relating to work.

Under Regulations 8 and 9 of RIDDOR 2013 the diseases/ work related illnesses which must be reported to HSE are: -

- Carpal tunnel syndrome
- Hand-arm vibration syndrome
- Severe cramp of the hand or forearm
- Occupational dermatitis
- Occupational asthma
- Tendonitis or tenosynovitis of the hand or forearm
- Any occupational cancer
- Any disease attributable to an occupational exposure to a biological agent.

For these conditions to be reportable under RIDDOR, they must have occurred as a result of employment with East Ayrshire Council.

It is most likely that conditions will be identified as a result of Council health surveillance programmes but may also have been identified initially through an employee's own doctor.

Where certain conditions are identified by a doctor, the manager should make a referral to Occupational Health who will carry out a formal assessment of the disease/ illness to confirm whether or not it is reportable under the requirements of RIDDOR.

Reportable diseases should be recorded on the SHE system as in 4.1. All correspondence and information of the disease or condition must be kept in the employee's medical file for a minimum of 40 years.

Where cases of reportable diseases/ illnesses are confirmed as being related to work activities, Occupational Health will notify the employee's line manager and the Health and Safety Manager who will ensure the appropriate reporting procedures are followed as specified under RIDDOR.

Further information and guidance is available from Occupational Health or the Health and Safety Team.

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### 2.9 Reportable gas incidents

RIDDOR 2013 requires that gas engineers registered with the Gas Safe Register must provide details of any gas appliance or fittings which they consider to be dangerous to the extent that people could die, lose consciousness or require hospital treatment. This may arise from:

- An accidental leakage of gas
- Inadequate combustion of gas
- Inadequate removal of products of the combustion of gas.

Reportable gas incidents, which do not result in injury, should be recorded as a near miss using the SHE system as detailed in 4.1 and the Health and Safety team will liaise with the responsible engineer to ensure they are reported to the HSE as required under RIDDOR.

## 3. RECORDING NON RIDDOR REPORTABLE INCIDENTS

### 3.1 Introduction

Most incidents which do not fall into any of the categories required under RIDDOR must still be recorded on the Council's incident reporting system (SHE).

### 3.2 Non-specified injuries to employees

Where an employee sustains an injury which does not fall under the specified list above i.e. is more minor in nature, it must be logged as soon as possible using the SHE system as detailed in 4.1.

Incidents must be logged on the SHE system within a maximum of **five working days of the incident**.

### 3.3 Non-specified (minor) injuries to non-employees

Where a non-employee i.e. service user, resident, contractor, pupil or a member of the public sustains a non-specified injury (minor in nature) as a result of Council activities or within premises under the control or supervision of the Council, the incident must be logged as soon as possible using the SHE system as detailed in 4.1.

As with non-specified incidents to employees, they must be logged on the SHE system within a maximum of **five working days of the incident**.

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### 3.4 Sports related incidents in schools

Minor injuries arising from normal sport/ physical activities within schools do not need to be reported on the SHE system. It is however recommended **that where routine first aid treatment is administered that it is recorded in the school's first aid book.**

Sport related injuries only need to be reported through SHE in the following circumstances:

- The pupil sustained a specified injury or was taken to hospital for treatment
- The injury was caused by an extenuating factor arising from the design, condition or layout of the equipment or premises; for example, faulty or poorly maintained equipment, incorrectly set up equipment or foreseeable slip and trip hazards on gym hall floors etc.
- Inadequate organisation or management of an activity e.g. pupil is unsupervised or supervision is inadequate for the numbers taking part and an incident occurs as a result.

### 3.5 Play related incidents in schools

Most incidents arising as a result of general play, such as pupils bumping into one another or tripping over, do not need to be reported through SHE. It is however recommended **that where routine first aid treatment is administered that it is recorded in the school's first aid book or equivalent.**

Playground related injuries only need to be reported through SHE in the following circumstances:

- The pupil sustained a major injury or was taken to hospital for treatment
- The incident arose due to the poor condition of equipment or premises e.g. pupil trips over a protruding drain cover and is injured.
- Adequate supervision has not been provided for areas where risks are known and an incident occurs as a result.

For the purposes of clarity, if a pupil is taken from the scene of an incident to hospital or suffers a major injury as a result of an incident the Health and Safety Manager must be contacted immediately and the incident reported on SHE.

For further guidance of what to report within educational establishments see Appendices 2 and 3 or go to:

[What to Report - Early Education Centres](#)  
[What to Report - Schools](#)

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### 3.6 Incidents of fire

All cases of fire, no matter how small and irrespective of whether Fire and Rescue Service attends the site, must be reported using the SHE system as detailed in 4.1.

Unless the fire is classified as a Dangerous Occurrence, as outlined in 2.7, it is not reportable under the requirements of RIDDOR.

### 3.7 Near miss incidents

A near miss is an incident which had the potential to cause injury to a person, or damage to property but does not result in actual injury or damage.

It is important for managers to record near misses as it will help to identify areas of risk and implement further control measures to prevent any reoccurrence, eliminating or minimising the risk of future injury or damage.

All near misses must be reported using the SHE system as detailed in 4.1.

### 3.8 Needle finds

Cases of **unexpected** needle finds and needle stick injuries should be recorded using the SHE system as detailed in 4.1.

Where an employee can clearly see a needle(s) and has the training and equipment to remove it safely, a near miss report on SHE is **not** required. However, where a needle is found unexpectedly during the course of work and there was potential to cause injury, it **should** be recorded as a near miss.

Whenever there is contact with a needle which results in a needle stick injury it should be recorded as an **accident** on SHE.

### 3.9 Incidents of violence and aggression

Where an employee feels threatened, is abused or assaulted the incident should be recorded on the SHE system as detailed in 4.1.

Where a member of the public, pupil, resident, client, tenant or contractor is subjected to any kind of violence and aggression in a premises/ activity under the control of the Council, the details surrounding the incident must be also be recorded on SHE.

An incident of violence or aggression **may** become reportable under the requirements of RIDDOR where an employee is incapacitated for work for more than seven consecutive days or sustains a specified injury as detailed in 2.3.

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### 4. RECORDING INCIDENTS ON SHE

#### 4.1 Reporting using the SHE system

The SHE system is used to record and analyse incidents including generating management reports and identifying incident trends. The Assure version of the system was implemented across the authority in November 2015.

SHE is used to record the following incidents:

- All incidents resulting in injury
- Dangerous occurrences
- Fire
- Near misses
- Incidents of violence and aggression
- Incidents of self-harm.

The system can be accessed through the following web addresses:

Portal: [www.sheassure.net/ea/portal/portal/index](http://www.sheassure.net/ea/portal/portal/index)

Main system: [www.sheassure.net/ea](http://www.sheassure.net/ea)

Employees can record incidents via the portal page, which can only be accessed from a computer or device which is connected to the East Ayrshire Council network.

An e-learning module for inputters has been developed by Organisational Development and is available via [Learn-Pro](#). These should be completed by employees prior to recording an incident, any problems accessing these modules should be reported to Organisational Development.

Where an employee needs a managers account, their name, username, section and line manager should be emailed to [healtyandsafety@east-ayrshire.gov.uk](mailto:healtyandsafety@east-ayrshire.gov.uk) to request a new account. Managers should refer to the user guide to navigate the system and contact H&S if further guidance is needed.

The incident form is made up of a series of questions which have been divided into the following sections, **all fields with a star must be completed**:

- Org Unit (Section)
- About the incident
- Who was involved?
- What happened?
- Injury details
- Injury classification
- Details of any witnesses or assailants
- Was any equipment involved?

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- Investigation
- Attachments.

Once all fields are complete the details must be saved, which will send the incident to the portal queue for processing. Once processed, emails will be generated notifying the responsible Manager/ Supervisor and the Health and Safety Team that an incident has occurred.

Managers/ Supervisors and the Health and Safety Team can log into the system and view the details of recorded incidents and run reports which can be utilised to identify trends and monitor incident statistics.

Managers/ Supervisors will also be able to update incident details and recommend where further actions are required, assigning actions to individuals or groups.

Where actions have been assigned, the responsible person/ group **must** complete the action on the system. Once an action has been completed the person assigning it must approve the action, if they are satisfied it has been completed.

**SHE User Guides** have been developed to provide detailed step by step guidance and should be used in conjunction with this standard and are available at: [SHE Incident Reporting](#)

### 4.2 BI 510 – Accident book entries for employee incidents

Under Social Security legislation there is a requirement to make sure that, where necessary, an employee is able to demonstrate that their employer was informed of the incident; should there be a need to claim benefit as a result of any absence from work.

This can be achieved by recording the incident on the SHE system, removing the previous requirement to record the incident in the BI 510 accident book.

Where required, employees can request copies of SHE incident reports through their managers.

Records of employee incidents, which have been recorded in the BI 510 accident book prior to the implementation of SHE, should be retained for a minimum of five years from the date of entry.

All BI 510 records must be held securely to comply with the requirements of the Data Protection Act 1998.

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### 4.3 Accident investigations

Thorough investigation of work related incidents and near misses is an essential part of managing health and safety; when the causes of incidents are understood, measures can be put in place to prevent or reduce the risk of similar incidents happening again.

The level of investigation will be determined either by the severity of an incident and the circumstances surrounding it or by the potential consequences and likelihood of an unsafe condition being realised e.g. a hazard with the potential to cause serious harm to multiple people.

Investigations will be carried out by either by a member of the health and safety section or by the relevant management team, often with the involvement of others such as supervisors or union safety representatives.

Regardless of who carries out the investigation, it is essential that managers always gather as much detailed information as possible immediately following any incident or after being made aware of an unsafe condition. It is also important that any evidence at the incident scene is preserved where possible and photographs/ video of the incident site are taken.

In most cases investigations needn't be complex or time consuming; for example, if an employee trips and falls then it should be sufficient to interview the employee involved and any witnesses and visit the area where the incident occurred to look for possible trip hazards. Once the hazard is identified, pictures can be taken and the hazard either made safe or the area segregated until it can be made safe.

It is also important to recognise that the purpose of investigations is not to apportion blame, but rather to identify the cause of the incident or unsafe condition and thereafter put in place suitable control measures. It is rarely acceptable to attribute an incident simply to the actions of an employee as there are likely to have been contributory factors involved and these need to be identified.

An incident investigation template is attached as appendix 4 and is also available as a word document at [Health and Safety forms](#). This provides a set of questions to carry out an investigation and managers using the template are asked to always provide as much information as possible. Completed investigation reports can be uploaded to the SHE report, which will allow corrective actions arising from the investigation to be assigned and monitored.

Where required, the Health and Safety Manager will liaise with the Health and Safety Executive (HSE) regarding all statutory investigations into workplace incidents.

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### 5. SUMMARY

Section Heads, Managers and Supervisors are responsible for ensuring that incident reporting procedures are followed. Equally, all employees have a responsibility to ensure incident information is reported quickly and accurately.

### 6. FURTHER INFORMATION

#### 6.1 For further information contact the Health and Safety Team:

At the Health & Safety Helpdesk on [HealthandSafety@east-ayrshire.gov.uk](mailto:HealthandSafety@east-ayrshire.gov.uk) or 01563 554825.

#### 6.2 Further information on the SHE Assure Incident Reporting System, including user guides can be found on the Health and Safety pages of the Intranet at: [SHE Incident Reporting](#)

Access the SHE system at: [www.sheassure.net/ea/portal/portal/index](http://www.sheassure.net/ea/portal/portal/index) or [www.sheassure.net/ea](http://www.sheassure.net/ea)

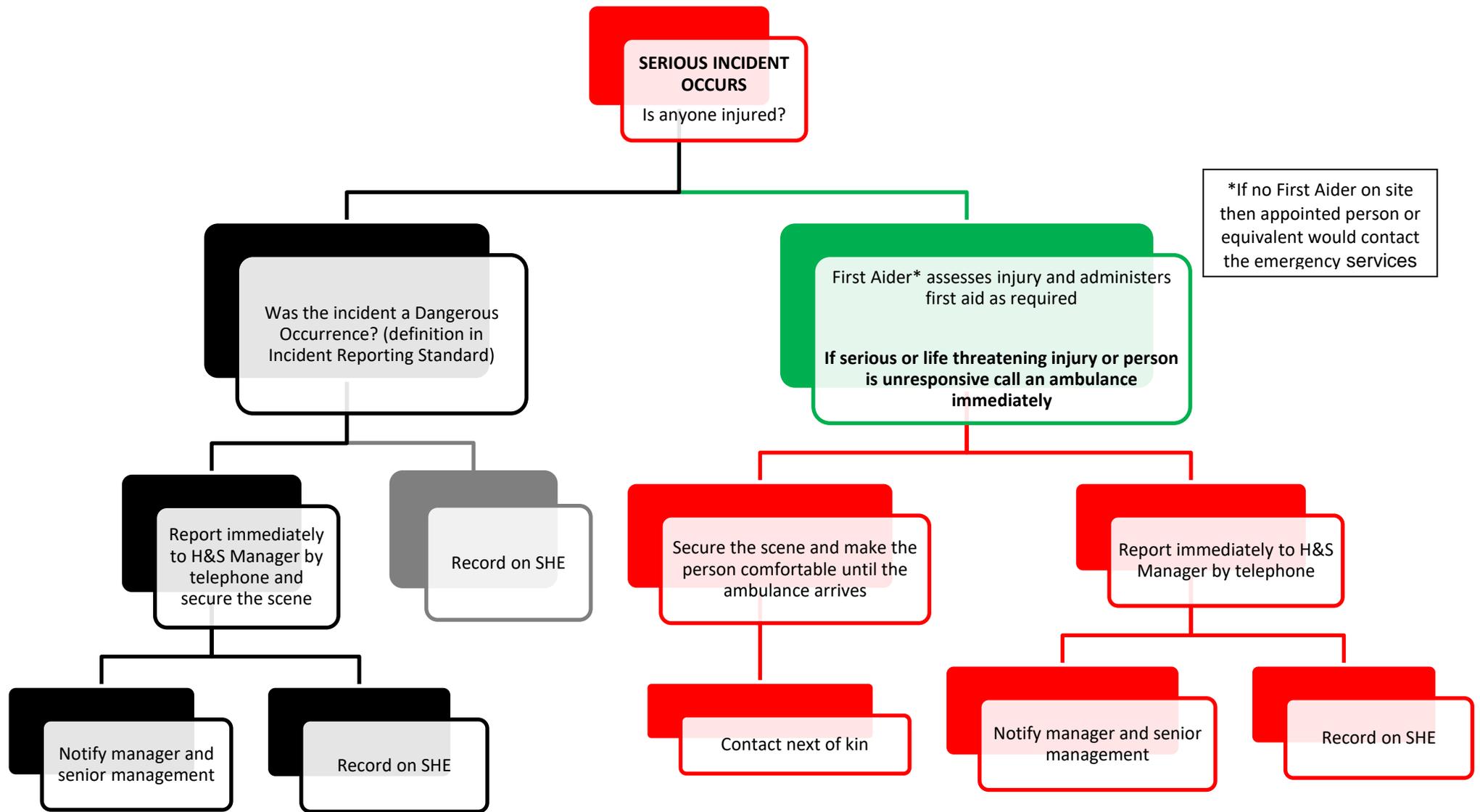
#### 6.3 External Sources of Information

Further useful information for managers on RIDDOR 2013 is available on the HSE website, including:

*RIDDOR 2013:* <http://www.hse.gov.uk/riddor/>

*Reporting accidents and incidents at work*  
<http://www.hse.gov.uk/pubns/indg453.pdf>

APPENDIX 1: ACTION TO TAKE IN THE EVENT OF A SERIOUS INCIDENT

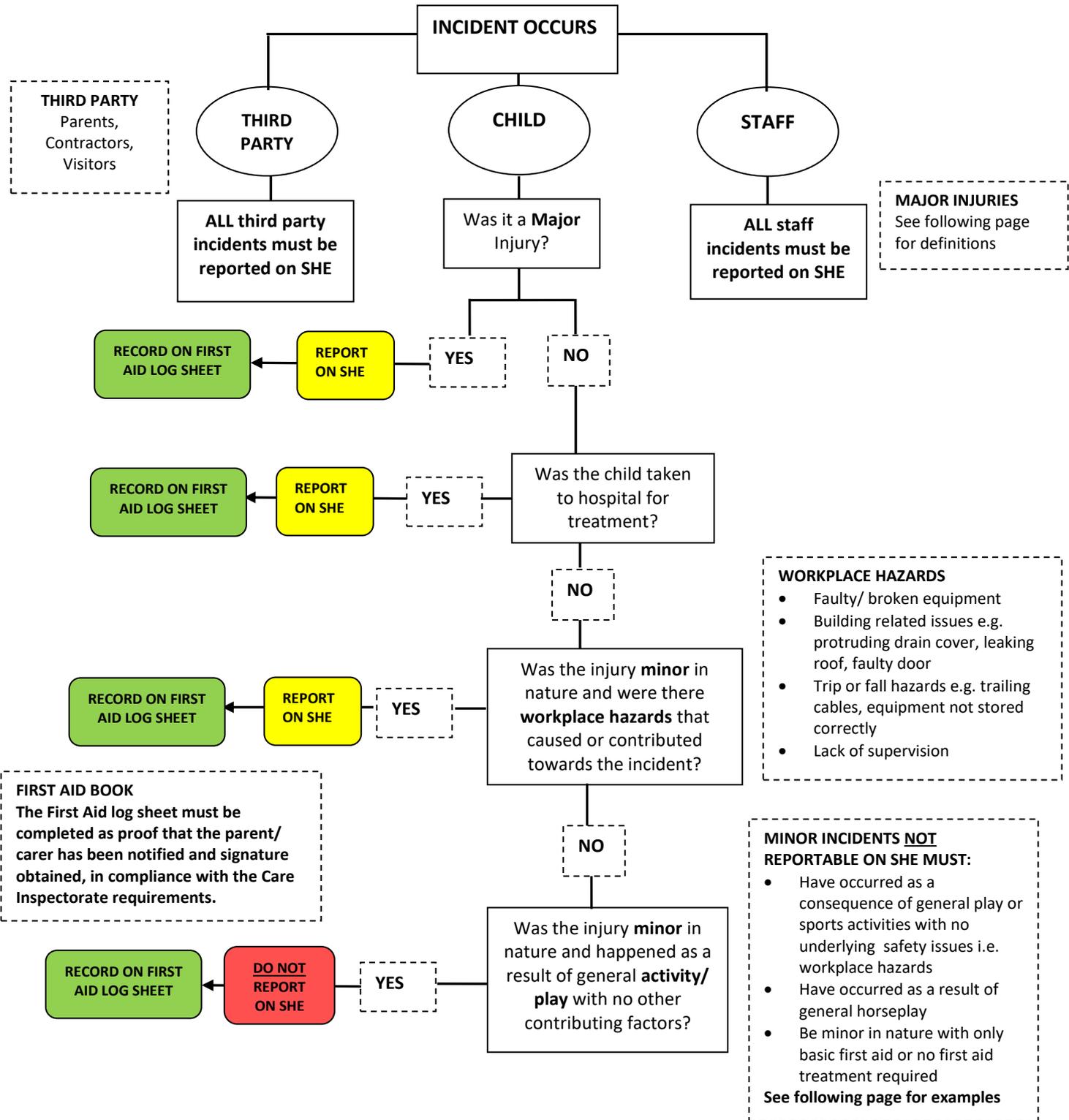


It is likely that further investigation will be required, either by management or a member of the H&S team, with involvement of other services e.g. Transport, Risk and Insurance, where appropriate. Managers are responsible for gathering as much detailed information as possible, therefore it is important that any evidence is preserved where possible and photographs taken of the incident site. The investigation findings can help establish how a reoccurrence can be prevented.

**Management must consider the impact of the incident on service delivery and whether a similar risk exists elsewhere.**

## REPORTING INCIDENTS ON SHE - EARLY CHILDHOOD CENTRES

### Appendix 2



## 1. MAJOR INJURIES

Under RIDDOR 2013, specified major injuries are defined as follows:

- The fracture of any bone other than the fingers, thumbs or toes
- Amputation of an arm, hand, finger, thumb, leg, foot or toe
- Crush injuries leading to internal organ damage
- Serious burns (covering more than 10% of the body, or damaging the eyes, respiratory system or other vital organs)
- Scalping (separation of skin from the head) which requires hospital treatment
- Unconsciousness caused by head injuries or asphyxia
- Any other injury arising from working in an enclosed space, which leads to hypothermia, heat-induced illness or requires resuscitation, or admittance to hospital for more than 24 hours

## 2. WHAT TO REPORT ON SHE – EXAMPLES

### SHE REPORT REQUIRED

1. Pupil fell in outside area resulting in a deep cut to top lip. First aid treatment given and parent called - **taken to hospital**
2. Pupil fell from climbing frame and fractured arm - **major injury and taken to hospital**
3. Pupil fell in gym hall, felt dizzy and was sick. Parent called - **taken to hospital**
4. Pupil tripped over rip in the carpet, falling and grazing face - **workplace hazard**
5. Pupil cut finger on sharp edge of faulty plastic chair - **workplace hazard**

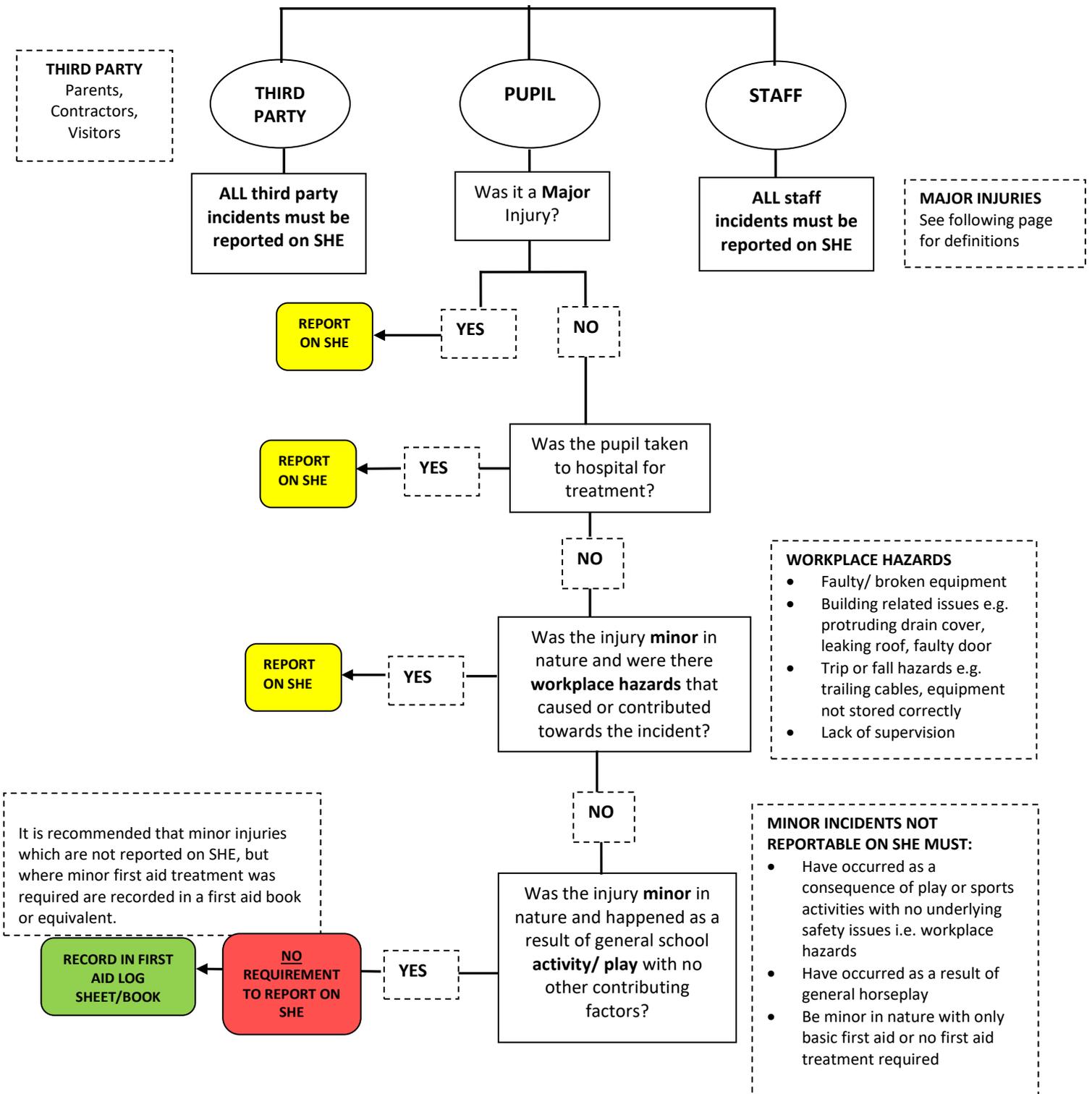
### SHE REPORT NOT REQUIRED

1. Pupil fell while playing outdoors and scraped knee, plaster applied.
2. Pupil bumped head on climbing frame, no treatment required.
3. Pupil threw a plastic toy, hitting another child on the head, cold compress applied.
4. Two pupils bumped into each other and fell over, no treatment required.
5. Pupil building tower with blocks, the blocks fell. Small cut to lip, cold compress and reassured.

**Reporting on SHE would not be required, as these incidents were related to general play activities, with no contributing safety hazards, resulting in minor or no injury. Ensure to complete the First Aid log book, where treatment was required.**

Appendix 3

REPORTING INCIDENTS ON SHE SYSTEM - SCHOOLS



### 3. MAJOR INJURIES

Under RIDDOR 2013, specified major injuries are defined as follows:

- The fracture of any bone other than the fingers, thumbs or toes
- Amputation of an arm, hand, finger, thumb, leg, foot or toe
- Crush injuries leading to internal organ damage
- Serious burns (covering more than 10% of the body, or damaging the eyes, respiratory system or other vital organs)
- Scalping (separation of skin from the head) which requires hospital treatment
- Unconsciousness caused by head injuries or asphyxia
- Any other injury arising from working in an enclosed space, which leads to hypothermia, heat-induced illness or requires resuscitation, or admittance to hospital for more than 24 hours

### 4. WHAT TO REPORT ON SHE – EXAMPLES

#### SHE REPORT REQUIRED

6. Pupil fell in playground resulting in a deep cut to top lip. First aid treatment given and parent called - **taken to hospital**
7. Pupil fell from climbing frame and fractured arm - **major injury and taken to hospital**
8. Pupil stumbled and fell in gym hall, felt dizzy and was sick. Parent called - **taken to hospital**
9. Pupil tripped over rip in the carpet, falling and grazing face - **workplace hazard**
10. Pupil cut finger on sharp edge of faulty plastic chair - **workplace hazard**

#### SHE REPORT NOT REQUIRED

1. Pupil playing netball and fell, grazing knee. Cleaned and plaster applied.
2. Pupil bumped head on climbing frame, no treatment required.
3. Pupil accidentally hit in the face with football causing nose bleed.
4. Two pupils running in playground, bumped heads and cold compress applied to one.

**Reporting on SHE would not be required, as these incidents were related to general play or sports activities, with no contributing safety hazards, resulting in minor or no injury. It is recommended that incidents where minor first aid treatment is required are recorded.**

Appendix 4

Incident Investigation Report

<b>SHE Reference:</b>		<b>HSE Reference</b>	
<b>Incident Date</b>		<b>Investigation Date</b>	
<b>Service</b>		<b>Work Location</b>	
<b>Responsible Manager</b>		<b>Contact Number</b>	
<b>Person in Control</b>		<b>Contact Number</b>	
<b>Investigator/s</b>		<b>Contact Number</b>	

<b>Third Party Interest:</b>	<b>HSE</b>	<b>Police</b>	<b>Fire Service</b>	<b>Risk &amp; Insurance</b>	<b>SEPA</b>	<b>EHO</b>

<b>Supporting Documents</b>	<b>SHE Report</b>	<b>Witness Statements</b>	<b>Photos</b>	<b>RAMS</b>	<b>Inspection/ maintenance records</b>	<b>Training Records</b>

<b>Incident Detail</b>
<p><b>Where and when did the incident happen?</b>  <i>Give the exact location and time of incident.</i></p>
<p><b>What type of work task/ activity was being carried out at the time of the incident?</b></p>
<p><b>Who was involved in the incident?</b>  <i>Provide the names and designations of all persons involved, including any witnesses.</i></p>
<p><b>Were any injuries sustained as a result of the incident and was medical attention required?</b>  <i>Name(s) of injured person, type of injury and nature of first aid/ medical assistance. Specify if person(s) taken to hospital.</i></p>
<p><b>How did the incident happen?</b>  <i>Give a full description of the events leading up to and during the incident.</i></p>

**Was any plant or equipment which was in use at the time of the incident, in good condition and properly inspected/maintained?**

*Check inspection/ maintenance records where applicable.*

**Had the employees received appropriate information, instruction and training for the task/activity being carried out?**

*Training/induction records where applicable.*

**Where there adequate safe working procedures in place for the tasks being carried out?**

*Appropriate risk assessments/ method statements etc.*

**Were the risks known to those involved in the incident?**

*Has the risks associated with the task/ activity been identified and communicated to those involved.*

**Did environmental issues influence the incident?**

*E.g. Lighting, heating, weather conditions, ground conditions etc.*

**Was appropriate Personal Protective Equipment (PPE) worn and in good condition?**

#### **INCIDENT ANALYSIS**

**Immediate Cause(s)**

*Unsafe act or unsafe conditions that led directly to the incident e.g. removal of machine guard, not wearing PPE, employee error, poor housekeeping, uneven ground conditions etc.*

**Underlying/Root Cause(s)**

*Inadequacies in the management of health and safety e.g. Poor maintenance of equipment, inadequate training/instruction, poor supervision, incomplete or missing risk assessments/safe systems of work etc.*

**Conclusions**

Actions Required	Responsible Officer	Timescale

Incident Photographs	

Report Distribution List	
Name	Designation

## Incident Investigation Process

