

ACCIDENT REPORTING



Health and Safety Guidance Note



NFU Mutual
RISK MANAGEMENT SERVICES

INTRODUCTION

Accidents are an unfortunate reality in the workplace. When they do happen it is very important that they are properly recorded, investigated and action taken to prevent a recurrence.

RIDDOR

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997] places duties on employers, the self-employed and people in control of work premises (the Responsible Person) to report certain serious workplace accidents, occupational diseases and specified dangerous occurrences (near misses).

For the purposes of RIDDOR, an **accident** is a separate, identifiable, unintended incident that causes physical injury or damage. This specifically includes acts of non-consensual violence to people at work.

Not all accidents need to be reported, a RIDDOR report is required only when the accident is:

- **work-related;**
- and the resulting injury/disease or dangerous occurrence is of the reportable type.

WHAT SHOULD BE REPORTED?

You must notify the following to the Enforcing Authority:

1 **Death or Specified Injury** – if one of your employees, or a self-employed person working on your premises, suffers a fatal injury connected with work or suffers a work related specified injury or a member of the public is killed or taken to hospital for treatment as a result of your work activities.

The list of reportable specified injuries includes:^{*}

- A fracture other than to fingers, thumbs or toes;
- Amputation of an arm, hand, finger, thumb, leg, foot or toe;
- Permanent loss of sight or reduction of sight;
- 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);
- Scalpings (separation of skin from the head) which require hospital treatment;
- Unconsciousness caused by head injury or asphyxia;
- Any other injury arising from working in an enclosed space, which leads to hypothermia, head-induced illness or requires resuscitation or admittance to hospital for more than 24 hours.

^{*} Note: The full list can be found on the HSE website: www.hse.gov.uk/riddor

The notification should be without delay (e.g. by telephone). You will be asked for brief details about your business, the injured person and the circumstances of the accident. You must follow this up with a completed relevant online notification form within 10 days of the accident.

2 **Over-seven-day injury** – if there is an accident connected with work and your employee, or a self-employed person working on your premises, suffers an injury that is not a listed specified injury but results in the injured person being away from work or unable to do their normal work for more than seven days (including non-work days, but not including the day of the accident). For Northern Ireland this requirement applies to all over-three-day injuries.

You must complete the relevant online notification form within 15 days, for Northern Ireland this should be within 10 days.

3 Injuries to non-workers – Work-related accidents involving members of the public or people who are not at work must be reported if a person is injured, and is taken from the scene of the accident to hospital for treatment to that injury. There is no requirement to establish what hospital treatment was actually provided, and no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent.

4 Reportable Occupational Diseases – if a medical practitioner notifies you in writing that your employee suffers from a reportable work-related disease then you must complete the relevant online notification form. A self-employed person notified verbally by his/her doctor that they are suffering from a reportable work-related disease is obliged to report the matter to their Enforcing Authority themselves.

Reportable diseases include:*

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

* Note: The full list can be found on the HSE website: www.hse.gov.uk/riddor and HSENI website: www.hseni.gov.uk/RIDDOR

5 Dangerous Occurrence – if something happens which does not result in a reportable injury, but which clearly could have done, then it may be a dangerous occurrence which must be reported.

There are 27 categories of dangerous occurrences that are relevant to most workplaces.

For example:*

- The collapse, overturning or failure of load-bearing parts of lifts and 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.

* Note: The full list can be found on the HSE website: www.hse.gov.uk/riddor and HSENI website: www.hseni.gov.uk/RIDDOR

The notification should be done online by completing the relevant online notification form within 10 days of the accident. For Northern Ireland this should be reported without delay (e.g. by telephone).

WHAT IF I'M SELF-EMPLOYED?

If you are working at someone else's premises and suffer either a specified injury or an injury which means you cannot do your normal work for more than seven days, then they will be responsible for reporting, so you must make them aware of what has happened to you.

If you or a member of the public is injured while you are working on your own premises, if a dangerous occurrence has occurred, or if a doctor tells you that you have a work-related disease or condition, then you need to report it to the enforcing authority. However, as a self-employed person you don't need to notify immediately if you suffer a specified injury on your own premises. Either you or someone acting for you should report it within 10 days.

WHO DO I REPORT TO?

For reports relating to England, Scotland and Wales, you have the option of reporting to the Incident Contact Centre or direct to your local Enforcing Authority (if different).

You can report to the Incident Contact Centre via telephone or the online reporting system:

- online: www.hse.gov.uk/riddor (for all reports).
- by phone (for reporting of deaths and specified injuries only): 0345 300 9923 (Monday to Friday 8.30am – 5.00pm)

HSE has an out-of-hours duty officer. Circumstances where HSE may need to respond out of hours include:

- following a work-related death
- following a serious incident where there have been multiple casualties
- following an incident which has caused major disruption such as evacuation of people, closure of roads, large numbers of people going to hospital etc.

If you want to report less serious incidents out of normal working hours, you should complete an online form at hse.gov.uk/riddor/report.htm. Otherwise, the out of hours duty officer's phone number is 0151 9229 235.

For details of who to report to in Northern Ireland, go to www.hseni.gov.uk/report-incident.

SUMMARY OF NOTIFICATION REQUIREMENTS

The following table contains a summary of notification requirements*:

What should be reported?	Who should report?	When should it be reported?	How should it be reported
Death or Specified Injury	Employer or owner of premises	Immediately (unless self-employed) Followed up by written report within 10 days	By Telephone (Incident contact centre) Online Form
Over 3 day injury (Northern Ireland only)	Employer or owner of premises	Within 10 days	Online Form
Over 7 day injury (England, Scotland and Wales only)	Employer or owner of premises	Within 15 days	Online Form
Occupational Disease	Employer or self-employed person	As soon as diagnosis is received	Online Form
Dangerous Occurrence (England, Scotland and Wales only)	Employer or owner of premises	Within 10 days	Online Form
Dangerous Occurrence (Northern Ireland only)	Employer or owner of premises	Immediately (unless self-employed) Followed up by written report within 10 days	Online Form By Telephone

KEEPING RECORDS

A record must be kept of all RIDDOR and other accident reports for a minimum of three years.

Important note: When you submit a RIDDOR report online you MUST download a copy of the completed form at the point of submission. A copy will NOT be received via email or be otherwise made available by the HSE.

ACCIDENT BOOK

It is a legal requirement that an Accident Book be retained within your business if you employ 10 or more people. However, it is good practice that all businesses hold an Accident Book.

An official Accident Book is available in pads of tear out forms, reference BI 510, from stationers or directly from HSE Books, books.hse.gov.uk/bookstore.asp, Tel +44 (0)333 2025070. The current official version was published in 2018 and previous versions which do not have removable pages should not be used. To comply with data protection requirements, completed pages should be removed and filed confidentially.

It is good practice to record all work related accidents, no matter how minor the injury may seem at the time. This is important in case the minor injury, perhaps a minor cut for example, becomes infected and the employee loses time off work due to the subsequent infection.

As a minimum, however records must be kept of all of 'over-three-day injuries', which are those where a person who is injured at work is incapacitated for more than three consecutive days. A person is incapacitated if they are unable to carry out the activities they would reasonably be expected to do as part of their normal work.

The period of time for an over-three-day injury does not include the day of the accident, but it does include any weekends or rest days.

ACCIDENT INVESTIGATION

What you do after an accident is very important in preventing further injury and ensuring that you gather the necessary information which may be required later for possible legal action. The purpose of an accident investigation is to establish what happened and the facts – not to apportion blame. Hopefully by investigating thoroughly we can prevent the same accident happening again!

When an incident has occurred, firstly ensure appropriate emergency response is taken, e.g. first aid treatment, and make the area safe. Ensure management is informed (if required). Ensure that the scene of the accident is preserved where possible so that vital evidence of the potential cause can be investigated.

GATHERING EVIDENCE

Gain an overview of the incident first and identify sources of evidence that may be present for example:

- (a) Witnesses;
- (b) Equipment, tools, parts, etc. – label them and retain;
- (c) Sketches, drawings, plans, measurements – no guesses;
- (d) Photographs – ensure a point of reference for scale, top/bottom/date;
- (e) Documents – risk assessments, maintenance records, training records, safe systems of work, etc.

WITNESSES

A witness can be the person(s) directly involved in the incident or those that may have seen, heard, felt, etc. something that could be relevant to your investigation. It is important to identify all witnesses, who should all be interviewed in order to provide you with their statement of events.

Interviews

- Interview each witness separately preferably on site where the incident occurred;
- Put the witness at ease;
- Get the witness' own version of events;
- Ask 'open' questions – lead off with "Who, What, Where, When, Why, How";
- Give the witness feedback of your understanding of their answers;
- End the interview on a positive note;
- Keep lines of communication open.

Taking statements

- Significant incidents only;
- Summarise witnesses versions and obtain witnesses agreement to factual accuracy, and avoid recording any speculative remarks;
- Record time, date, location, witness name and signature.

EQUIPMENT TESTING/ EVALUATION

If equipment/machinery, etc. requires testing to identify potential causes of an accident, then you should ensure that an independent engineer or laboratory is used rather than the manufacturer or supplier, to ensure impartiality.

Once you have gathered all evidence, you should then evaluate it to determine the cause(s) of the accident. Ensure you remain objective – we need facts not opinion.

When determining the cause ensure you look at both immediate and underlying causes, including:

- (a) Sub-standard actions by people and/or workplace conditions and equipment;
- (b) Personal and job factors;
- (c) Any deficiencies in systems and procedures.

CORRECTIVE ACTION

When you have identified what the cause(s) of the accident are, you must make sure that you take appropriate action to prevent any further/similar accidents from occurring.

RECORD

You need to record the details of the investigation, along with any resulting action plans and monitor them through to completion. An example accident investigation report form can be found at the end of this guidance note.

Be sure to record the facts only and steer clear of allegations of blame or loose or derogatory comments. Finally, communicate the findings of your investigation to your staff.

FURTHER GUIDANCE

- INDG 453 Reporting accidents and incidents at work: A brief guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) www.hse.gov.uk/pubns/indg453.pdf
- HSG 245 Investigating accidents and incidents www.hse.gov.uk/pubns/priced/hsg245.pdf
- RIDDOR (NI) 97 Booklet www.hseni.gov.uk/riddor_booklet.pdf

These documents are available to download free of charge from www.hse.gov.uk/pubns/books/

ACCIDENT INVESTIGATION REPORT

Name of the injured person

Job title of injured person

Address of injured person
(including postcode)

Date of the accident

Time of the accident

Time accident was reported

Was the injured person
authorised to be
undertaking the activity?

Yes

No

Details of the accident

Please ensure that all sections are completed

Was the injured person properly trained to carry out the work?

Yes

No

Do Safe Systems of Work exist covering the accident?

Yes

No

If yes, was the injured person trained in the Safe Systems of Work?

Yes

No

Were there any witnesses to the accident?

Yes

No

Was the injured person able to continue normal working activities?

Yes

No

Outline the controls that were in place at the time of the accident?
(PPE, guards, Safe Systems of Work, training, signage, barriers etc.)

Please ensure that all sections are completed

Were all the required controls working effectively at the time of the accident?

Yes

No

If no, describe why they were not effective at the time of the accident

What were the causes of the accident?

- | | | |
|--|--|---|
| <input type="checkbox"/> Serious emergency | <input type="checkbox"/> Cold | <input type="checkbox"/> Rushing |
| <input type="checkbox"/> Insufficient space | <input type="checkbox"/> Fumes | <input type="checkbox"/> Wrong tools |
| <input type="checkbox"/> Obstruction | <input type="checkbox"/> Steam | <input type="checkbox"/> Incorrect use of tools |
| <input type="checkbox"/> Poor lighting | <input type="checkbox"/> Slippery areas | <input type="checkbox"/> Poor house keeping |
| <input type="checkbox"/> Condition of tools | <input type="checkbox"/> Excessive heat | <input type="checkbox"/> Using too much force |
| <input type="checkbox"/> Incorrect lifting | <input type="checkbox"/> Over-reaching | <input type="checkbox"/> Method of work incorrect |
| <input type="checkbox"/> Defective footwear | <input type="checkbox"/> Horse play | <input type="checkbox"/> Lack of training |
| <input type="checkbox"/> Lack of supervision | <input type="checkbox"/> Instructions not followed | <input type="checkbox"/> Safe Systems of Work ignored |

Other (please list)

Details of the injury

Part of the body injured

Treatment given at the time of the accident

Name of person providing treatment

Was the injured person

Sent back to work

Sent home

Sent to hospital

Details of hospital or medical centre that injured person was sent to

Does the accident need to be reported under RIDDOR 2013 reporting requirements?

Yes

No

Date reported to HSE under the RIDDOR reporting requirements

Please ensure that all sections are completed

Name of witness

[Yellow input field for Name of witness]

Job title of witness

[Yellow input field for Job title of witness]

Statement of witness

[Large yellow text area for Statement of witness]

Date statement was taken

[Yellow input field for Date statement was taken]

Signature of witness

[Yellow input field for Signature of witness]

Please ensure that all sections are completed

Manager's name

[Redacted area]

Manager's action plan

Outline any actions taken as a result of the investigation (risk assessment review, changes to the task, training, issue of PPE, new risk controls etc.)

[Redacted area]

Date action plan was completed

[Redacted area]

Signature of Manager

[Redacted area]

Please ensure that all sections are completed

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