

ACCIDENT/INCIDENT REPORTING AND INVESTIGATION

Health Safety and Compliance Arrangement

March 2025

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Introduction

This arrangement has been produced so that all staff, students, visitors, and others, including contractors, are aware of the University's and their own responsibilities under the Health and Safety at Work etc. Act and Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) with respect to accident/incident reporting and investigation. Under social security law, the University must keep records of all accidents at work. RIDDOR requires organisations to ensure that certain accidents/incidents are reported to the HSE.

In this arrangement, the term 'adverse event' will be used. 'Adverse event' includes:

- Accident/incident: an event that results in injury or ill health;
- Near miss: an event that, while not causing harm, has the potential to cause injury, ill health, damage or loss.
- Undesired circumstance: a set of conditions or circumstances that have the potential to cause injury or ill health. For example, trailing cables, a spillage that has not been cleaned up, untrained laboratory staff utilising lasers, a piece of equipment/machinery being used without a programme of inspection and maintenance in place, etc.

In this arrangement, the term near miss will be taken to include dangerous occurrences as defined in RIDDOR.

Adverse events have many causes. What may appear to be bad luck (being in the wrong place at the wrong time) can, on analysis, be seen as a chain of failures and errors that lead almost inevitably to the adverse event (this is often known as the domino effect). These causes can be classified as:

- immediate causes: the agent of injury or ill health (the blade, the substance, the dust, etc);
- underlying causes: unsafe acts and unsafe conditions (the guard removed and equipment is used, the ventilation switched off, hazardous substances used incorrectly, etc);
- root causes: the failure from which all other failings grow, often remote in time and space from the adverse event (failure to identify training needs and assess competence, low priority given to risk assessment, lack of supervision or monitoring, etc.).

There are hazards in all workplaces. Risk control measures are put in place to reduce the risks to an acceptable level in order to prevent adverse events from happening. However, when an adverse event happens, this suggests that the existing risk control measures are inadequate. Effective reporting, investigation and remedial action is critical to prevent reoccurrences and reduce the costly impacts of injury, lost work time, equipment repair and potential legal costs.

Scope

This arrangement is designed to protect staff and students against a risk to their health and safety, whether immediate or delayed, arising from University activities and applies to:

- All managers
- All employees and students of the University
- All contractors and service providers working on behalf of or in connection with the University
- All visitors to the University

This arrangement applies across all areas of the University, the services that it provides and to all staff contracted to work for the University.

Responsibilities

Health Safety and Compliance

Health Safety and Compliance (HSC) support the University in ensuring:

- 1.1. A reporting framework is established to facilitate the recording and investigation of adverse events.
- 1.2. Adverse events that meet the necessary criteria in RIDDOR are reported to the Health and Safety Executive (HSE) in accordance with the regulations.
- 1.3. Appropriate protocols and systems are in place for the prompt and effective investigation of adverse events (commensurate with the level of risk and urgency) to prevent and/or reduce the likelihood of similar occurrences.
- 1.4. Providing managers, staff and others with appropriate advice and guidance in relation to the prevention of adverse events.
- 1.5. Collecting and collating data of HSE reportable and non-reportable adverse events to assess trends and provide statistics and reports to the University Health, Safety and Wellbeing Committee and any other group deemed necessary.
- 1.6. Keeping records of all incident and investigation reports as per the University retention schedule.
- 1.7. Remaining impartial during investigations and ensuring that investigations are not blame proportioned but fact orientated.
- 1.8. Carry out welfare checks on injured parties where appropriate.
- 1.9. Investigation reports are produced in a timely manner and are communicated to those deemed necessary.

Deans / Heads / Senior Managers

Senior Managers must ensure:

- 1.10 This arrangement is effectively implemented by their respective faculties, schools and/or services.
- 1.11 Systems, processes and resources are in place and monitored in relation to reporting and investigation of adverse events.
- 1.12 Managers, staff and students are aware of their responsibilities in relation to this arrangement.

Managers and Supervisors

Managers and Supervisors must ensure:

- 1.13 This arrangement is effectively implemented in the area that they manage.
- 1.14 Suitable resources and time for reporting and assisting with investigations.
- 1.15 Actively encouraging staff and students to promptly report all adverse events as soon as is reasonably practicable (preferably within five working days) to Health Safety and Compliance via the HS1 Form or by the quickest possible means to ensure the University meets the requirements of RIDDOR where applicable (including any contractor reports where appropriate).
- 1.16 Where a HS1 form is completed in the absence of the staff or student involved in an adverse event, 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.
- 1.17 All known incidents involving abuse, threats or violent attacks in their area of responsibility are reported.
- 1.18 Health and Safety Coordinators and Safety Representatives are consulted as appropriate during any investigations.
- 1.19 They liaise, cooperate and coordinate with Health Safety and Compliance during investigations.
- 1.20 Assist Health Safety and Compliance with collating any necessary documentation (i.e. copies of risk assessments, engineering reports, inspection reports/certificates, training records) that may be required in evidence as part of investigations.

Employees and Students

All University staff and students must ensure that:

- 1.21 They co-operate with investigations as appropriate.
- 1.22 All adverse events are reported as soon as is reasonably practicable within five working days to Health

Safety and Compliance via the [HS1 Form](#). Where there is a significant incident, the quickest possible means is to ensure the University meets the requirements of RIDDOR where applicable.

Health and Safety Coordinators

Health, Safety and Compliance Coordinators must ensure:

- 1.23 Where necessary, they assist with investigations and attend training as necessary.
- 1.24 Provide advice, support and assistance in relation to adverse event reporting.

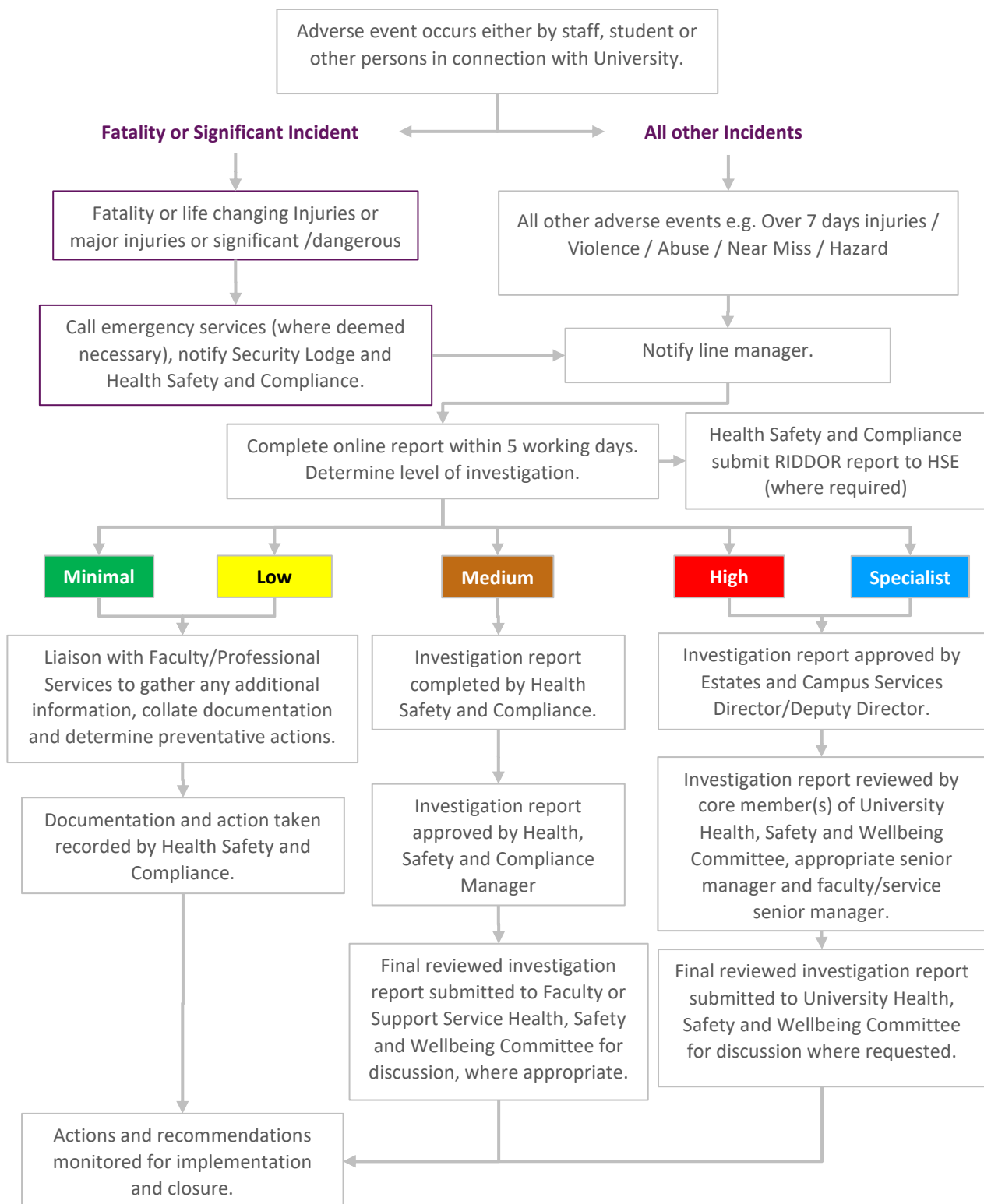
Arrangements

Reporting of Adverse Events

All adverse events must be reported to Health Safety and Compliance using the University's online [HS1 form](#). Preferably, this should always be completed within 5 days of the incident. If there is a fatality, serious injury or near miss/undesired circumstance where serious risk exists which involves an employee, contractor, student, visitor or member of the public (on University premises or in connection with University business), it must be reported to Health Safety and Compliance by the quickest possible means and without delay.

Where RIDDOR reporting is required, Health Safety and Compliance will report to the Health and Safety Executive and will inform relevant University managers of the report.

Reporting Process



Investigation

All incidents will be investigated by a member of Health Safety and Compliance. Where possible, incident reports will be assigned to the relevant Health Safety and Compliance Business Partner.

It is the potential consequences and the likelihood of the adverse event recurring that should determine the level of investigation, not simply the injury or ill health suffered on this occasion. For example: Is the harm likely to be serious? Is this likely to happen often? Similarly, the causes of a near miss can have great potential for causing injury and ill health. When deciding on the level of investigation required, the investigator will consider the potential for learning lessons. For example, if there have been a number of similar minor adverse events recorded and pattern noted, The investigator may decide to follow up after the event, even if each single event is not worth investigating in isolation.

Where required, an investigation report will be prepared which is proportionate to the level of significance and in line with Health and Safety Executive guidance [HSG 245 – Investigating Accidents and Incidents](#). Supporting evidence (documentation) will be collated to support the investigation. Investigation reports may not be necessary for incidents where an investigation level of ‘minimal’ or ‘low’ has been assigned. However, incidents resulting in a medium, high or specialist investigation level will be thoroughly investigated and reviewed to determine actions to improve the management of health and safety by identifying immediate, underlying, and root causes. A thorough investigation of adverse events 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 their representatives.

In complex serious investigations, it may be appropriate for an investigation team to be formed. The team, where appointed, may consist of a number of individuals. For example, the responsible manager, supervisors, technical staff, safety representatives, technical specialists, health and safety co-ordinators and Health Safety and Compliance.

Examples of evidence documentation that should be collated for medium and high-level investigations may include:

- CCTV footage (if available)
- Training records
- Minutes of meetings
- Relevant procedures and protocols
- Risk assessments/method statements

- Engineering inspections
- Maintenance reports/certificates, inspection reports
- Witness statements including contact numbers
- Photographs
- Emails

Investigation Levels

Level of Investigation	Investigation Indicators	Investigator	Investigation Timescale
Minimal	No harm adverse events or minor harm sustained, not requiring first aid. Minor first aid incidents.	HSC Advisor	Not specified
Low	A minor injury which may require significant first aid assistance or more serious harm resulting in up to 6 days off. A near miss that could have resulted in the equivalent results.	HSC Advisor	Not specified
Medium	A 7-day or more off-work injury or a near miss could have had equivalent results. A non-employee is taken directly to the hospital (excluding sports injuries). Any specified injury or near-miss equivalent deemed likely to re-occur.	HSC Advisor	Completion of investigation report within 3 months.
High	Serious injuries/fatalities, dangerous occurrences, and near misses could have had the equivalent results. Reportable disease or press interest	Deputy HSC Manager or HSC Manager	Completion of investigation report within 1 month.
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.	As above, it is in line with medium and high levels of investigation.	Determined as above in line with medium and high timescales.

Insurance

The University will notify its insurance company of:

- Any occurrence giving rise to or which may give rise to a claim including full particulars of the occurrence.
- Any impending prosecution inquest or fatal accident inquiry in connection with any occurrence for which there may be liability under this policy.

- Any claim notice letter, verbal notice of a claim or other originating process or any other relevant document served on the University.
- Information and assistance the University may require.

Training Requirements

Where investigations are required, the investigator must be competent and trained to an appropriate level according to the level of investigation.

Monitoring Compliance

Element to be monitored	Lead	Tools / Communication	Frequency	Reporting Arrangements
Arrangement Suitability, Effectiveness and Implementation	Health Safety and Compliance	Audit and inspection programs, staff news, HSC newsletters, University communications. Arrangement reviews. Incident reports and investigations.	Periodically, at least every three years or following a significant change or incident, whichever is soonest.	Health, Safety and Compliance Report. Audit and inspection reports. Reports were submitted to the University Health, Safety and Wellbeing Committee.
Incidents and complaints	Senior Manager/Managers in conjunction with Health Safety and Compliance	Incident reports, reviews and investigation. Risk Register(s). Fault reporting records and compliance statistics.	When reported, ad-hoc and periodically when necessary.	Health, Safety and Compliance Report. Individual incident reports and Faculty quarterly reports.

Legislation

The relevant key sets of legislation are:

- [The Health and Safety at Work Act \(HASWA\)](#)
- [The Management of Health and Safety at Work Regulations \(MHSWR\)](#)
- [The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations](#)
- [Social Security Act 1998](#)

Associated Documents

University Arrangements

- [First Aid](#)
- Health Safety and Compliance Escalation Process

University Forms

- [Accident / Incident Reporting Form \(HS1\)](#)

Health and Safety Executive Guides

- [Reporting Accidents and Injuries at Work](#)
- [Investigating accidents and incidents](#)

Document Control

This arrangement is issued and managed by Health Safety and Compliance.

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Reviewers / Contributors

Version	Name	Role	Date
2.0	Corporate Health and Safety Team	Corporate Health and Safety	Jan 2024
2.0	Jonathan Latter	E&CS Health and Safety Compliance Manager	Feb 2024
2.0	Laura Taylor	Specialist Technician Microbiology	Feb 2024
2.0	Steve Oliver	Unison (Senior Specialist Technician)	Feb 2024
2.0	Najla Mansour	UCU (Lecturer in Architecture)	Feb 2024
2.0	Sue Davis, Lauren Cummings, Sarah Turner, Alison Elliott, Paul Spendlove	Faculty Managers	Feb 2024
2.0	Adam Mason	Deputy Director Estates and Campus Services	May 2024
2.0	Charlotte Downs	Health Safety and Wellbeing Assurance Manager	May 2024
2.0	Jonathan Latter	Deputy Health, Safety & Compliance Manager	Oct 2024

