

## University Health & Safety Arrangements: Chapter 6



### Reporting and Investigating Accidents, Near misses and Incidents

Key word(s): RIDDOR, serious injury, fatal accidents, dangerous occurrences, incidents, near misses, investigation, serious consequences

Target audience: All managers and all staff

#### Contents

Introduction .....	2
Accident, Near Miss and Incident Reporting .....	2
Ill Health reporting .....	3
Reporting of other (non-conformance) issues not of a health and safety nature .....	3
Accident, Near Miss and Incident Investigation .....	3
Record keeping .....	4
University Guidance.....	4
Document Control Box .....	5

Note:

**“Senior Managers”** are responsible for health and safety within their organisational unit, specified areas or as a consequence of their activities, and for any additional activities as agreed and delegated to them (eg where they accept responsibility for day-to-day safety arrangements for staff who have other line managers, for reasons of geographical or other convenience). They may be Deans, Heads of School, Directors of Institutes, Directors and Heads of Service in non-academic areas, the University Librarian, the Directors of the Manchester Museum and The Whitworth, and their equivalents.

## **IMPORTANT**

In the event of a **fatality**, an accident resulting in **serious injury**, or an occurrence with potentially **serious consequences** (i.e. that might affect the ability of the University to go about its normal operation, result in formal enforcement, or negatively impact upon the University's reputation) the incident should be reported without delay to University Campus Support and Security (CSAS) on 0161 3069966 and CSAS should contact the Emergency Incident Manager and for them in turn to contact the following people as soon as possible:

- Director of Compliance and Risk
- University's General Counsel

The University's senior leaders and/or legal counsel may advise directly about legal matters to do with the investigation, and their instructions in this regard must be followed.

## **Introduction**

1. Under UK law, the University of Manchester must keep a record of accidents and to monitor and review the effectiveness of its health and safety arrangements. Furthermore, The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) places a legal duty on the University to report and record certain [work-related accidents, diseases and dangerous occurrences](#). Other regulations require certain records (e.g. COSHH requires exposure records for certain substances) to be kept and retained for extended periods of time.
2. One of the ways in which the University achieves this is by keeping records of accidents, near misses and incidents, analysing these records to identify patterns, and implementing strategies to drive improvement.

## **Accident, Near Miss and Incident Reporting**

3. All accidents, incidents and near misses on University premises or arising out of University business must be notified to Safety Services using the University's Accident, Incident and Near Miss Report Form, which can be found on: <https://www.healthandsafety.manchester.ac.uk/>. Where staff and students are based in shared premises (e.g. an NHS Trust), local accident reporting requirements should be followed, but a copy of the local reporting form must be sent to Safety Services.
4. Students on placement with another employer should report any accidents, incidents or near misses to their employer, following the local arrangements. All

accidents occurring on placement must also be reported to the programme lead or academic adviser, for monitoring purposes and to feed into the placement review.

### **Ill Health reporting**

5. Ill health resulting from work-related activities, should be reported directly to [Occupational Health](#).
6. If Occupational Health determine that the ill health may be due to safety management, then Occupational Health will notify their concern to local management and Safety Services.
7. If Occupational Health determine that the ill health is reportable under RIDDOR then the Head of Occupational Health will notify the Head of Safety Services, to enable reporting to the HSE.

### **Reporting of other (non-conformance) issues not of a health and safety nature**

8. Any adverse events related to the use of chemicals and waste that does not involve an obvious safety risk and any non-conformance with University [procedures](#) for the acquisition, use, storage and transport of chemicals and their subsequent destruction and disposal as waste must be reported to the Regulatory Compliance Team on: [regulatory.compliance@manchester.ac.uk](mailto:regulatory.compliance@manchester.ac.uk).

### **Accident, Near Miss and Incident Investigation**

9. In most circumstances, responsibility for ensuring accidents, near misses and incidents are appropriately investigated lies with the senior manager(s) with oversight of the member of staff or student involved. This could be the Director, Head of School, or Director of Research Institute. They may delegate the task to a line manager (such as a principal investigator), or to local safety staff, but the senior manager will always retain managerial responsibility for ensuring that an appropriate level of investigation takes place, is properly recorded, and that any recommendations are fully implemented.
10. Senior Managers must also ensure that reports on accident statistics, accident/incident investigations and their recommendations are made regularly to the Local or School Safety Committee.
11. Safety Services may direct that an investigation be carried out by senior safety professionals, with assistance from the school, directorate or institute. This is at the discretion of the Head of Safety Services and is likely to be the case with accidents/incidents that either have, or could have, had serious consequences

(e.g. affecting the ability of the University to go about its normal operation, is politically sensitive, results in formal enforcement, or negatively impacts upon the University's reputation).

## Record keeping

12. Safety Services maintain a searchable record of all events reported to them and the outcomes of investigations. This database acts as the University's statutory accident book, in line with legal requirements. Any documents, photographs, investigation reports, etc obtained by (or submitted at the request of) Safety Services are retained in accordance with General Data Protection Regulations (GDPR), the Data Protection Act and the University's [records retention schedule](#).
13. Safety Services use this information for monitoring purposes. This enables Safety Services to identify trends, inform policy review and develop strategies to improve safety management and practice at the University. The University's insurers will also review certain records, especially if there is a work-related claim.
14. Safety Services will use the information to prepare reports for the University's Health, Safety and Wellbeing Committee, Audit and Risk Committee, relevant advisory groups, and University Board of Governors.
15. Safety Services will also supply statistical information on request for others within the University, as well as external collaborators or contractors. The database is accessible (if required) by staff in the University's Insurance Office for the purposes of interrogating and storing information relating to civil claims arising out of accidents.

## University Guidance

16. Safety Services has issued the following guidance on accident reporting and investigation:
  - [General guidance on accident and near miss reporting](#) which includes a checklist.
  - [Guidance on Accident investigation](#).
  - [Template for recording accident investigations](#). This can be modified and adapted by schools and directorates to suit a variety of purposes. The questions on the template are not necessarily appropriate for every circumstance nor likely to be definitive in all cases.

<b>Document Control Box</b>	
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