THE UNIVERSITY OF SHEFFIELD

ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION POLICY AND PROCEDURES
Statement

This University Policy and associated procedures were approved by the Health and Safety Committee on 6 February 2013 on behalf of the University of Sheffield Council and forms part of the Health and Safety Policy of the University of Sheffield.

The use of this Management Procedure and the incorporation of its requirements into working practices and activities will ensure that the University of Sheffield and its community achieve compliance with its legal duties with regard to health and safety.

Table of significant changes since last review (February 2013):

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<th>Section</th>
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<td>2</td>
<td>Definitions moved from an Appendix into section 2 of the Policy</td>
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<tr>
<td>Appendix A</td>
<td>Removal of previous Appendix A Specified Injuries to Workers</td>
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<td><strong>Document Review January 2019</strong></td>
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<tr>
<td>4.1, 4.2, 4.3</td>
<td>Titles changed to President &amp; Vice Chancellor; Vice President; Director of Health &amp; Safety</td>
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Date Created       November 2012       By       Health & Safety
Reviewed           January 2018        By       Health & Safety
Date of Next Review January 2020       By       Health & Safety
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APPENDIX A - SUMMARY OF DANGEROUS OCCURRENCES
1 INTRODUCTION

To ensure that the University of Sheffield remains compliant with the requirements of the Management of Health and Safety at Work Regulations 1999; and the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013; it is essential that any accident or incident involving staff, students, visitors or members of the public whilst on University property is duly reported. RIDDOR requires certain categories of injury, disease or dangerous occurrence to be formally reported to the Health and Safety Executive.

To comply with these regulations, and as part of the University’s arrangements for the management of health and safety, accidents involving injury, fires, incidents involving property damage and near misses must be reported to the University’s Health & Safety via the online system. Cases of suspected occupationally-related ill health should be reported in the first instance to the University’s Occupational Health Service.

2 DEFINITIONS

Accident/Incident – an unplanned, uncontrolled event that has resulted in an injury or damage to property.

Near Miss – an unplanned, uncontrolled event that, under slightly different circumstances, could have resulted in an injury or damage to property.

Dangerous Occurrence – see Appendix A

Environmental Incident - an incident that caused or had the potential to cause damage to the environment either via the water system, atmosphere or the land.

Arising out of or in connection with work - Dangerous Occurrence – this phrase has wide meaning but 3 key factors should be taken into account:

a) the way in which an activity is being carried out for the purposes of the University, including how it is organised, supervised or performed (eg by a lecturer, sports coach, event manager etc);

b) the equipment or substances being used; and

c) the condition of the premises.

Sports injuries due to collisions, slips and falls are therefore not reportable unless they arise out of or in connection with work, eg the condition of the premises or equipment or the level of supervision.
The Policy within the University of Sheffield is that all accidents, incidents, dangerous occurrences (see Appendix A) and near misses arising out of, or in connection with work shall be reported via the University’s online reporting system within 24 hours of occurrence. This can be accessed at https://air.shef.ac.uk/

In cases where a person(s) is taken to hospital or a specified Dangerous Occurrence (including any fire) or an incident which may have an environmental impact occurs, University Health & Safety must be informed immediately by contacting extension 27466/27461.

The University’s Health & Safety will carry out investigations into accidents and incidents where reporting is required and Departments will instigate internal investigations at a local level.

4 ROLES AND RESPONSIBILITIES

4.1 President & Vice Chancellor

The President & Vice-Chancellor is responsible for achieving the objectives of the University’s First Aid Policy and Procedures, namely to:

- Ensure that Heads of Department know and undertake their individual responsibilities regarding the management of health and safety and be satisfied that and adequate resources are in place to to fulfil the requirements of this policy.

4.2 Faculty Vice-Presidents

Faculty Vice-Presidents have oversight of resources devolved from the President & Vice-Chancellor. As such, they have a duty for not only the application of these resources, but also its safe application. Faculty Vice-Presidents should satisfy themselves that the departments within their area of responsibility have suitable and sufficient arrangements in place to meet all statutory requirements.

4.3 The Director of Health & Safety – has been nominated as the responsible person for making formal reports to the Health and Safety Executive (HSE) in line with the requirements stipulated in RIDDOR and where applicable other external agencies.
The Director of Health & Safety will ensure that investigations are carried out into accidents and incidents where reporting to the HSE is required; and may also instigate investigation of others, even where minor injuries or less serious incidents are involved. This is not intended to preclude investigations, which will be carried out by the Department.

4.4 **The University’s Occupational Health Service** – will liaise with the Head of Health & Safety in respect of any formal notification to the Health and Safety Executive in relation to the reporting of an occupational- related illness or disease which may be associated with an incident suspected of giving rise directly to such cases (ie spillage or release of hazardous substance) or hazardous working practices or environments.

4.5 **Heads of Department** - each Head of Department will be responsible for ensuring that the procedures in this document are followed; and that all reports of accidents, incidents, dangerous occurrences and near misses within their areas are investigated and where applicable remedial actions put into place to prevent recurrence.

5 **REPORTING ACCIDENTS, INCIDENTS, DANGEROUS OCCURRENCES AND NEAR MISSES**

5.1 **What Must Be Reported**

All accidents, incidents, dangerous occurrences and near misses arising out of, or in connection with work must be reported via the University’s online reporting system within 24 hours of occurrence.

In cases where a person(s) is taken to hospital or a specified Dangerous Occurrence (including any fire) or an incident which may have an environmental impact occurs, University Health & Safety must be informed immediately by contacting extension 27461/27466.

Regardless, of who is involved or injured in an accident or incident, a report must be made, if the accident happens on our premises or during a University activity.

If an injured person is away from work or, is unable to carry out their normal work duties for more than 7 days (including weekends, but not counting the actual day of the accident) then the information must be passed to University Health & Safety on extension 27466/2761, even if a previous call has been made about hospital treatment.

All accidents or incidents requiring first aid or additional treatment must be reported.
Illnesses or medical conditions need not be reported UNLESS the person injures themselves or if the condition may have been connected with their University activities.

5.2 Reporting of Routine Sporting Accidents and Incidents

Any injuries incurred due to collisions, slips and falls whilst playing a sport are not reportable UNLESS, first aid or additional treatment is given on University controlled premises.

However, if the accident/incident arises out of connection with condition of the premise or equipment then a report MUST be made via the online reporting system.

6 ACCIDENT/INCIDENT INVESTIGATION

6.1 Purpose

The main reason for investigating accidents and incidents is prevention. The purpose of the investigation is to establish whether a recurrence can be prevented, or its effects lessened, by the implementation of addition safeguards, procedures, information, instruction and training, or any combination of these.

6.2 Procedure

There should be a defined procedure for reviewing or investigation all accidents/incidents however serious or trivial they may appear to be. The use of a form/checklist will help to concentrate attention on the important details.

6.3 Who Should Carry Out the Investigations?

RIDDOR Reportable Accidents/Incidents - University Health & Safety will carry out investigations into accidents and incidents where reporting to the HSE is required; and may also investigate others, even where minor injuries or less serious incidents are involved. This is not intended to preclude investigations, which will be carried out by the Department.

Departmental Investigations – Departmental Safety Officers and frontline managers/supervisory staff should carry out investigations at a local level. This demonstrates commitment and removes any temptation to leave ‘health and safety’ to others.

6.4 Review of Accidents/Incidents

Departments are expected to review accidents and incidents at Departmental meetings, in order to identify trends and possible improvements to working practices.
In doing this, care must be taken not to compromise the principles of the Data Protection Act and personal details should be anonymised as necessary.

6.5 Training

Training for investigating accidents/incidents is provided by University Health & Safety.

7 ADDITIONAL INFORMATION

Additional information and guidance associated with carrying out an accident/incident investigation can be found on the Health & Safety web pages www.shef.ac.uk/hs
APPENDIX A

SUMMARY OF DANGEROUS OCCURRENCES
(This list is not exhaustive)

1. The collapse, overturning or failure of any load-bearing part of any:
   a) lift or hoist;
   b) crane or derrick;
   c) mobile powered access platform;
   d) access cradle or window cleaning cradle;
   e) excavator;
   f) pile-driving frame or rig having an overall height, when operating, of more than 7 metres; or
   g) fork lift truck

2. The failure of any closed vessel (including a boiler or boiler tube) or of any associated pipework, in which the internal pressure was above or below atmospheric pressure, where the failure has the potential to cause the death of any person.

3. Any explosion or fire occurring in any plant or premises which results in the stoppage of that plant or suspension of normal work activities in those premises for more than 24 hours, where the explosion or fire was due to the ignition of any material.

4. Electrical short circuit or overload attended by fire or explosion which results in the stoppage of the plant involved for more than 24 hours or which has the potential to cause the death of any person.

5. Any fire, however, small, whether the Fire Service has been called or not.

6. Accidental release of more than one tonne of flammable liquid or 10 kgs; or more of flammable gas.

7. The complete or partial collapse or failure of any scaffold which:
   a) is more than 5 metres high;
   b) is erected over or adjacent to water;
   c) the suspension arrangements which causes a working platform or cradle to fall.

8. Any unintended collapse or partial collapse of a building or structure involving more than 5 tonnes of material.

9. Uncontrolled release of any substance or pathogen, which might have caused health damage or specified injury to any person.
10. Any incident where a person inhaled or ingested a toxic substance and required medical treatment.

11. Any incident where a person suffered from lack of oxygen and required medical treatment.

12. Failure of any freight containers of larger base area than 15m² (150 sq.ft.).

13. Any incident involving a vehicle where a dangerous substance is released or is involved in a fire.

14. Any incident involving breathing apparatus failure (except during maintenance or testing).