

CORPORATE PROCEDURE

ACCIDENT/ INCIDENT INVESTIGATION

1 Aims of the procedure

1.1 The aim of this Corporate Procedure is to outline what accidents and incidents are to be investigated by the Corporate Health and Safety Officers and other employees of Neath Port Talbot County Borough Council (NPTCBC) and to detail how such investigations shall be undertaken.

2 Accident/Incident Investigation

2.1 It is generally accepted that accidents/ incidents arise as a result of a number of contributing factors culminating at the same time. For this reason, a professional and structured approach to accident investigation becomes imperative, as it allows for the identification of the underlying causes, rather than apportioning blame to individuals. If accident investigation is to be effective in minimising future occurrences, it is essential to ensure that the investigation takes an unbiased approach to the identification of causes and not the culpability of individuals.

3 What is to be investigated?

- Accidents resulting in fatality or injury to employees and stakeholders.
- Accidents resulting in fatality or injury to contractors, employees and members of the public.
- Accidents or incidents resulting in damage to property and equipment.
- Near misses that could have resulted in serious injury, death or damage to property and equipment.

4 Who is to investigate?

4.1 The seriousness or potential seriousness of the incident shall determine the level at which it shall be investigated. For ease of reference accidents/ incidents have been divided into 3 categories detailed below. An initial investigation is to be undertaken by the respective Manager/ Team Leader/ Headteacher so as to establish the initial facts of the incident. Information obtained during the initial

investigation shall be documented on form [CF/11/01](#) and in accordance with this Corporate Procedure.

4.2 As a guide, the following matrix will determine who is to investigate the incident:-

Seriousness	Investigation managed by:
Category 1	
Near Miss	Team Leader/ Headteacher
No lost time or damage.	Team Leader/ Headteacher
Minor injury, lost time less than 1 day, minor property and equipment damage less than £1000.	Team Leader/ Headteacher
Category 2	
Lost time more than 1 day, less than 3 days.	Manager/ Headteacher
Property and equipment damage greater than £1000.	Manager/ Headteacher in consultation with Corporate Health and Safety Officer
RIDDOR reportable over 3 day absence	Manager/ Headteacher in consultation with Corporate Health and Safety Officer
Other RIDDOR reportable injuries and dangerous occurrences.	Manager/ Headteacher in consultation with Corporate Health and Safety Officer
Category 3	
Falls from height which have the potential to cause serious injury	Manager/ Headteacher in consultation with Corporate Health and Safety Officer
Multiple major injuries.	Corporate Health and Safety Officer and Corporate Health and Safety Manager
Incident that could result in negative public/press interest.	Corporate Health and Safety Officer and Corporate Health and Safety Manager
Fatality	Corporate Health and Safety Manager, Corporate Health and Safety Officer and others as required

5 Investigation

5.1 Following an accident/incident, the following actions are to be taken depending on the seriousness or potential seriousness of the outcome; advice should be obtained from the Corporate Health and Safety Manager and Corporate Health and Safety Officer as may be appropriate. These actions may also have to be carried out in conjunction with the relevant Manager/ Team Leader/ Headteacher.

6 Category 1 (minor)

6.1 Category 1 type incident investigation is to be undertaken in accordance with the above matrix and where the incident has led to minor injury. In such circumstances there will be no need to secure the scene of the incident. However, if plant or equipment was involved in causing the injury, this shall be immediately withdrawn until such time as it can be demonstrated that the equipment is safe and fit for purpose. Category 1 investigations should be recorded on the Accident Investigation report form [CF/11/01](#) and shall to be undertaken and returned to the Corporate Health and Safety Section by the relevant Manager/ Team Leader/ Headteacher.

7 Category 2

7.1 Category 2 investigations will be undertaken so as to provide for a detailed evaluation of the circumstances surrounding the event. Where appropriate a formal documented interview with the injured party and witnesses to the event should be undertaken by the Corporate Health and Safety Officer and relevant manager using form [CF/12/01](#). This investigation shall include as a minimum the following:

- Completion of the Accident/Incident report form – [CF/09/01](#) for all relevant parties affected by the incident.
- Other documentation as may be relevant to the accident/incident investigation, as identified within the [CF/05/01](#) “**incident document checklist**.”
- Following completion of the correct documentation by the Manager/ Team Leader/ Headteacher, the Corporate Health and Safety Officer will complete Corporate Form [CF/06/01](#).

8 Category 3

8.1 Category 3 accident/ incidents investigations shall be undertaken following the criteria outlined in the above matrix by the Corporate Health and Safety

Manager, officers and other persons as deemed appropriate. As a minimum ensure the area is safe and where appropriate arrange for the treatment and removal of any injured persons. Other than for the treatment of any casualties, do not disturb the scene or remove/dismantle any plant or equipment, as this will assist in establishing the events of the accident. Following a fatality and or some major incidents the scene will be secured immediately by the Police so as to prevent any unauthorised access.

8.2 Those Officers at the scene shall where appropriate:

- Inform the NPTCBC Corporate Health and Safety Manager on 07969 441476.
- Ensure the relevant enforcement authorities are notified by telephoning the HSE Incident Contact Centre - 0845 300 9923 or Environmental Health at the 24 hour call centre on 01792 841700 depending upon the type of work or activities that are enforced by the 'enforcing authority'. (Please see appendix 1)
- Ensure the appropriate Corporate Director/ Head of Service is informed immediately.
- Obtain the names and contact details of any witnesses to the incident.
- Handover the information and investigation to the Corporate Health and Safety Manager.

8.3 The Corporate Health and Safety Manager and Corporate Health and Safety Officer shall undertake an independent and unbiased detailed investigation into the circumstances of the incident. Following the investigation a comprehensive report shall be produced that will comprise the Executive Summary, relevant exhibits and any supporting documentation deemed relevant. Prior to its distribution the Chief Executive shall critique the document so as to allow for any amendments necessary.

8.4 Following the critique the Executive Summary along with the relevant recommendations is to be communicated to the respective Corporate Director for action. The full report is to be retained by the Corporate Health and Safety Section for safekeeping pending any legal action.

8.5 No copies of the report are to be distributed outside of NPTCBC without the written permission of the Corporate Health and Safety Manager or agreement from the Risk Insurance Manager.

Appendix 1

- Enforcement by the HSE:
 - Any activity in a mine or quarry (other than abandoned)
 - Any activity in a fairground.
 - Any activity in premises in relation to broadcasting, recording or filming.
- Construction work if
 - Regulation 7 (1) of the **Construction (Design and Management) Regulations** (which requires projects which include or are intended to include construction work to be notified to the Executive) applies to the project which includes the work; or
 - the whole or part of the work contracted to be undertaken by the contractor at the premises is to the external fabric or other external part of a building or structure; or
 - it is carried out in a physically segregated area of the premises, the activities normally carried out in that area have been suspended for the purpose of enabling the area persons who are not attending in connection with the carrying out of the work, and the work is not maintenance of insulation on pipes, boilers or other parts of heating or water system or its removal from them.
 - The installation, maintenance or repair of any gas system, or any work in relation to a gas fitting.
 - The installation, maintenance or repair of electrical systems.
- Work with ionising radiations except work in one or more of the categories set out in schedule 3 to the **Ionising Radiation Regulations**.
 - The use of ionising radiations for medical exposure.
 - Any activity in premises occupied by a radiography undertaking in which any work with ionising radiations is preformed.
- Agricultural activities and any activity at an agricultural show, which involves the handling of livestock or the working of agricultural equipment.
- Any activity on board a sea-going ship.

- Any activity in relation to a ski slope, ski lift, ski tow or cable car.
- Fish, maggot and game breeding except in a zoo.
- Any activity in relation to a pipeline within the meaning of regulation 3 of the **Pipeline Safety Regulations**.
- The operation of a railway.

In addition the HSE is the enforcing authority for the following:

- A County Council
- Any other Local Authority
- A Parish Council
- A Police Authority or the Receiver of the Metropolitan Police
- A Fire Authority
- A headquarter designated for the purposes of the **International Headquarters and Defence Organisation Act**.
- A service authority of a visiting force within the meaning of the **Visiting Forces Act**.
- The United Kingdom Atomic Energy Authority.
- The Crown

Activities Enforced by Local Authorities:

- The sale of goods, or the storage of goods for retail or wholesale distribution, except: -
 - At depots where the main activity is the storage of goods in the course of transit to or from dock premises, an airport or railway;
 - Where the main act is the sale or storage for wholesale distribution of any substance or preparation dangerous for supply.
 - Where the main activity is the sale or storage of water or sewage or their by-products, or natural or town gas.

- Where the main activity carried on in the premises is the sale and fitting of motorcar tyres, exhaust, windscreens or sunroofs, the main act shall be deemed to be the sale of goods.
- The display or demonstration of goods at an exhibition for the purpose of offer or advertisement for sale.
- Office activities
- Catering services.
- The provision of permanent or temporary accommodation including the provision of a site for caravans.
- Consumer services provided in a shop except dry cleaning or radio and television
- Cleaning (wet or dry) in coin operated units in laundrettes and similar premises.
- The operation of a bath, sauna or solarium, massaging, hair transplanting, skin piercing, manicure or other cosmetic services and therapeutic treatments, except where they are carried out under the supervision or control of a registered medical practitioner, a dentist registered under the **Dentist Act**, a physiotherapist, an osteopath or a chiropractor.
- The practice or presentation of the arts, sports, games, entertainment or other cultural or recreational activities except where the main activity is the exhibition of a cave to the public.
- The hiring out of pleasure craft for use on inland water.
- The care, treatment, accommodation or exhibition of animal, birds or other creatures, except where the main activity is horse breeding or horse training at a stable, or is an agricultural activity or veterinary surgery.
- The activities of an undertaker, except where the main activity is embalming or making of coffins.
- Church worship or religious meetings.
- The provision of car parking facilities within the perimeter of an airport.
- The provision of child care, or playgroup or nursery facilities.

- The responsibility for enforcement of any of the relevant statutory provisions in any particular premises may be transferred, by agreement, from the executive to the local authority and vice versa.