

INCIDENT REPORTING PROCEDURE

Version		3.0	
Date		5/8/2019	
Approved by Board of Directors		14/11/19	
Version	Date	Description	Revision author
1.0	05/10/2016	Trust Version Created – based on BFD Council Occupation Health & Safety Procedure	FMW
2.0	22/09/2017	Update to reporting procedure and flowchart and legislation date.	FMW
3.0	05/08/2019	New version reflecting change of procedures and new simpler documentation. Incorporates reporting of violent incidents.	AMV

Contents

1.0	Introduction	1
2.0	Further Guidance	1
3.0	Incident Reporting Deadlines.....	3
Appendix 1	Incident Guidance	4
Appendix 2	Incident Report Form	7
Appendix 3	Incident Investigation Form	10

1.0 Introduction

Recording and consequently reporting some incidents at work is a legal requirement as specified in RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013).

We also need to be able to:

- identify trends etc. in accidents/violent incidents
- ensure that we investigate and take remedial action to reduce the risk of further incidents
- bench mark across our schools to identify anomalies / common issues
- report to senior managers / directors
- co-operate with the HSE in their investigations into serious accidents
- defend civil claims if necessary
- identify 'high' risk hot spots

2.0 Trust Procedures / Documentation

Incidents for the purposes of this procedure include any accident, near miss or violent incident.

Three documents have been prepared to enable this procedure for the Trust:

[Incident Guidance](#) (appendix 1)

[Incident Report Form](#) (appendix 2)

[Incident Investigation Form](#) (appendix 3)

2.0 Further Guidance

Expectations of schools

- Schools will follow this procedure and use the associated forms etc.
- Schools should not store or use other recording systems. This would create duplication of work.
- Schools need to appoint a member of staff to the role of Incident Report Controller (IRC) who will control this process and keep all records up to date.

Role of the Trust Compliance Officer / CIT

- Provide advice and guidance on following this procedure and carrying out incident investigations.
- Report any RIDDOR incidents to the HSE.

Absence from work

- The first day of absence of the injured person - in most cases, this will be the day following the incident, but in some cases, people continue to work for a day or so, then go absent due to their injury. Where this is the case, it should be clearly stated. You should count absence from the time the injured person becomes "unfit for work". This may be a weekend or a day when they would not normally work.
- Occasionally an employee carries on working for some time after an incident but then subsequently becomes absent or has to be placed on light duties because of the incident. In these circumstances, please contact the Trust Compliance Officer for advice.
- Date fit for work; if a person is absent from work as a result of an incident for more than 7 days (not including the day of the incident) it may become reportable to the HSE under RIDDOR. It becomes complicated when the period of absence includes a weekend, a holiday period or other days which would not normally be worked. It is important to establish when the injured person was fit for work so that the Trust Compliance Officer can determine if the accident needs to be reported to the HSE.

Storage of information relating to the incident

- Trust schools may be asked to collate documents relating to an incident that may be required for a litigation claim. These documents need to be securely stored to comply with Data Protection requirements – preferably in the sharepoint folder as described in the Incident Guidance document.
- A claim for compensation can be made (in the case of some pupil accidents) up to 21 years after the incident date and it can become more difficult to source relevant documents once a long period time has elapsed, especially if they have not been stored carefully.

Incident Report Form Section C – About The Incident

- Give as much detail as you can about the incident, including date time and exact location of the incident. If you are using a hard copy of the form then relevant information can be recorded on separate sheets, which can be attached to the form. Talk to everyone involved and try to find out what happened immediately before, during and after the incident; but be mindful to only record the factual information and not hearsay.

Reporting to the HSE

- The CIT is solely responsible for reporting RIDDOR incidents to the HSE on behalf of the Trust.

3.0 Incident Reporting Deadlines

Notification/recording of Incidents	Incidents should be reported/recorded as soon as possible after incident has occurred (within 72 hours unless there are exceptional circumstances).
Incident Investigation	The investigation process (if an investigation is deemed necessary/appropriate) should be started as soon as possible after the incident using the incident investigation form. Advice and support to be sought from the Trust Compliance Officer as necessary. A draft version of the report should be ready, preferably within one week form the date of the incident.
HSE RIDDOR Reportable Injuries	The Trust will report accidents that fall into the scope of RIDDOR to the HSE in accordance with their guidance.

ENDS

Appendix 1 Incident Guidance

When to complete an **Incident Report**

This is not always easy to frame. After many organisations trying for years, no incident reporting system has come up with the perfect formula. Below are some 'musts', some 'maybes' and some 'nots'

Section 1: An **Incident Report** Form must be completed:

- For all incidents that result in an injury to a **member of staff** (this form replaces the old accident book)
- If **anybody (pupil, staff, visitor)** is taken straight to hospital or dies as a result of the incident
- If the **police** are called to a violent incident
- If a member of **staff** has **time off work** as a result of an incident
- If a 'near miss' has occurred that could have resulted in **serious loss or injury**
- A violent incident that involves the use of a **weapon**

Section 2: An **Incident Report** Form may need to be completed:

- If, on balance, it seems **very likely** that a civil claim will be made. (This would almost certainly already fall into one of the categories above).
- If the incident is violent in nature and is motivated by **hate**.
- N.B. If no weapon is involved and this is pupil-pupil incident and has already been fully documented on SIMS there is no need to fill out an incident report (unless one of the criteria in section 1 is met).
- If a victim (or the manager of the victim) of violence **perceives** that the incident is of sufficient gravity that it should be formally recorded (bear in mind that the gravity of violent incidents, especially verbal incidents, are largely a matter of the victim's perception - but managers should be wary of 'over stoicism').

Section 3: Do not complete an **Incident Report** Form:

- If the incident is due to ill health – e.g. a pupils faints, a member of staff has a heart attack, a pupil has an asthma attack (unless directly due to something that the school has done/not done).
- For minor pupil incidents. These should be recorded on Sims or in a basic register of first aid (see below).

What does the Incident Report Form Replace?

The incident report form replaces the AB1, VIR1, RIF1 and electronic RIVO/SPHERA records. It also replaces any local accident spreadsheets / forms etc. (other than SIMS and local pupil first aid records). If this guidance is followed, no other records should be required by the HSE/Insurers/Trust or School Management.

Pupil First Aid Records

It is necessary to keep brief pupil first aid records for minor incidents – i.e. the fact that the pupil was seen and what the ailment was. SIMS or a simple paper register can be used for this purpose. Minor first aid events do not need to be routinely communicating to parents.

However, there are circumstances when an incident **must** be communicated to parents. This may be by phone and/or by 'bump note' but some electronic or written record needs to be kept. To give some examples (but not an exhaustive list):

- Bumps to the head (this is very important – parents need to look out for signs of concussion)
- a missing second tooth
- broken bone
- nosebleed
- asthma attack
- a child in major distress due to pain

Some examples of what **should not** be routinely reported to parents:

- Minor cuts, grazes and bruising due to falls and bumps in the playground (unless to the head)
- Complaints of aches and pains or feeling unwell that are 'passing' and not recurring (obviously, checks would be made with the pupil at the time in line with first aid training / procedures)

In other words – sometimes health issues need to be communicated directly to parents, but not if very unlikely to have any implications after the event.

When to complete an Incident Investigation

Again, this is difficult to make completely objective. A judgement has to be made by answering the following questions:

- On face value, is the incident of sufficient gravity to justify an investigation?
- Could anything have been done to prevent the incident?
- Is it likely that a civil claim will result?
- Is the incident reportable to the HSE? (Your IRC / the Trust Compliance Officer will advise you on this).
- Were risk assessments in place and were they good enough?
- Was there blatant, deliberate or malicious disregard for rules/procedures/health and safety arrangements?
- Are there any wider safeguarding issues, including Prevent?
- Was this an isolated incident or has this happened before in similar circumstances?

If the answer is yes to at least one of these questions, an investigation may be justified. If you answer yes to two or more of these questions it is highly likely that an investigation should be carried out.

RIDDOR

Schools **must not report incidents to the HSE** under RIDDOR – this is done by the Trust.

Post Incident Follow-up

1. The person completing the **Incident Report** Form to e-mail a copy of this form and any associated documents (scan or electronic version) to the school Incident Report Controller (IRC). (Names of each schools IRC are on the **Incident Report** Form) If the IRC is not available they should contact the Cluster Business Manager or the Trust Compliance Officer.
2. IRC to record on the Trust incident spread sheet and save a copy of the form in a folder* in the Incident sharepoint. **If the incident involves a staff absence of more than one day OR results in anybody attending hospital IRC to e-mail Trust Compliance Officer with details.**
3. **Leader/Manager to:**
 - a. Decide if investigation is needed (see above). Use **Incident Investigation** Form to record details of any investigation. E-mail an electronic or scanned copy of any **Incident Investigation** to the IRC.
 - b. Liaise with the IRC and make sure all relevant documents are kept in the folder on sharepoint (such as **Incident Investigation**, witness statements, photographs etc).
 - c. Take remedial actions/amend risk assessment/brief staff as necessary.
 - d. If incident was violent in nature consider if it needs to be reported to the police. This should be discussed with those affected.
 - e. Consider the mental health of those affected. Refer to a mental health first aider (via your Cluster Business/Business Manager) if necessary.
 - f. Deal with any staff absence and **KEEP THE IRC INFORMED OF ANY STAFF ABSENCE DETAILS.**

* Folder format: school.first name of person affected.surname of affected person.date of incident e.g. Hazelbeck.Fred.Smith.1.2.19

NB The sharepoint folder should be the main storage place for any documents. They should not be saved in paper or electronic form elsewhere if at all possible.

Appendix 2 Incident Report Form

- See Incident Reporting Guidance to ascertain if this form needs to be completed.
- To be completed ASAP (within 72hrs maximum) by person in charge at the time of the incident.
- Completed copies of this form should be e-mailed to the school Incident Report Controller (IRC) (see Section G of this form) who will save securely on sharepoint to help comply with GDPR.
- Do not routinely print or store completed paper copies.

School:

Section A: About the person who was affected by the incident

If more than one person affected complete a form for each person and state the number of persons here.....

Full Name: Age..... **Male/Female** (delete as applicable)

Home Address:

.....

.....Post Code..... Tel No.:

Job Title:

Please tick one

Employee Pupil Work Experience Trainee/Apprentice

Volunteer Agency Worker Contractor Member of Public

Section B: About any Staff Absence

If an employee, have they had time of work **YES/NO** (delete as applicable)

If yes, what was the first date of absence?..... When were they fit for work?.....

N.B. It is likely that you will not have this information at time of completing the form. If so, do not delay completing the form. Make sure that your IRC is regularly (at least weekly) updated on absence details.

Section C: About the Incident

When did it happen? Date: Time: (24HR Clock please)

Where did it happen? e.g., classroom, gym, lab, office:

N.B. Please state exact address if not on one of our school sites

Describe what happened.

.....

.....

.....(Please attach a separate sheet if needed)

Did the incident involve an injury? **YES/NO** (delete as applicable)

If **NO**, please go to section D

If **YES**, what was the injury?

Was any first aid or health advice given? **YES/NO** (delete as applicable)

If **YES**, please describe.....

Was the injured party taken to hospital as a result of their injuries? **YES/NO** (delete as applicable)

If **YES**, state name of hospital..... Time: (24HR Clock please)

Section D: Did the incident involve violence?

YES / NO (delete as applicable)

IF **YES**, what was the motivation for the violence (tick main one)

Behavioural Gender LGBT+ Racial Sexual Other (please specify.....)

What was the nature of the violence (tick either or both)

Physical Verbal

Was it reported to the Police?

YES / NO (delete as applicable)

Section E: Were there any witnesses?

YES / NO (delete as applicable)

IF **YES**, please list names and job/status* here

Name: Job Title/Status:

Name: Job Title/Status:

Name: Job Title/Status:

Copies of any witness statements should be given to the IRC.

(Please attach a separate sheet if needed)

*Teacher, NTA, Pupil, member of the public, volunteer, contractor etc.

Section F: About you, the person filling in this record

Name: Job Title:

Tel No.:

Section G: Please sign and date the record (no need to do this if electronic copy).

Signature:

Date:

Section H: Post Incident follow up

4. Person completing this form to e-mail a copy of this form and any associated documents (scan or electronic version) to the school Incident Report Controller (IRC):

Allerton -
Beckfoot -
Hazelbeck -
Heaton -
Nessfield -
Oakbank -
Phoenix -
Priestthorpe -
Thornton -
Upper Heaton –

If your IRC is not available please contact your Cluster Business Manager or the Trust Compliance Officer.

5. IRC to record on the Trust incident spread sheet and save a copy of the form in a folder* in the Incident sharepoint. **If the incident involves a staff absence of more than one day OR results in anybody attending hospital IRC to e-mail Trust Compliance Officer with details.**

6. Leader/Manager to:

- Decide if investigation is needed (see [Incident Guidance](#)). Use [Incident Investigation](#) Form to record details of any investigation. E-mail an electronic or scanned copy of any incident investigation to the IRC.
- Liaise with the IRC and make sure all relevant documents are kept in the folder on sharepoint (such as [Incident Investigation](#), witness statements, photographs etc).
- Take remedial actions/amend risk assessment/brief staff as necessary.
- If incident was violent in nature consider if it needs to be reported to the police. This should be discussed with those affected.
- Consider the mental health of those affected. Refer to a mental health first aider (via your Cluster Business/Business Manager) if necessary.
- Deal with any staff absence and **KEEP THE IRC INFORMED OF ANY STAFF ABSENCE DETAILS.**

* Folder format: school.first name of the (main) person affected.surname of affected person.date of incident e.g. Hazelbeck.Fred.Smith.1.2.19

NB The sharepoint folder should be the main storage place for any documents. They should not be saved in paper or electronic form elsewhere.

Section B: About the Incident

When did it happen? Date: Time: (24HR Clock please)

Describe the main causes of the incident:

Please take photographs, statements, measurements, sketch plans (if relevant) and attach to this form.

Were any of the following contributory factors; lack of training, lack of experience, lack of supervision, poor maintenance of premises or equipment, lack of personal protective equipment?

If yes, please describe:

Was the weather or other natural events a factor? If yes, please describe:

What could we have provided / done (in terms of time / money / equipment / improved procedures) to prevent the incident?

Had any of these issues come to your attention before and were they dealt with appropriately?

Were managers above your level aware of the situation?

Section C: If the incident involved violence....

Describe how events escalated...

What was the motivation?

Was bullying involved?

If reported to the police, was any action taken?

Section D: Action taken to prevent a re-occurrence.

Please describe any revision to risk assessments or explain if any new risk assessments are needed.

Section E: About you, the person filling in this record

Name:

Job Title:

Tel No.:

Section F: Please sign and date the record (no need to do this if electronic copy).

Signature:

Date: