

Incident Reporting

Guidelines for managers and employees



Incident reporting: guidelines for managers and employees

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1. Introduction

- 1.1 This guidance document provides managers and employees with information on reporting and recording of incidents (i.e. accidents, near misses and work-related ill health).
- 1.2 It sets out responsibilities and timescales for reporting incidents, and for recording them on the [SHE Portal](#).
- 1.3 The guidance also provides information on the different reporting forms that are available to record different types of incidents; these are:
- 1.3.1 Work-related accident/incident/ill health
 - 1.3.2 Work-related near misses
 - 1.3.3 Non work-related incidents involving school pupils and Health and Social Care service users.

2. Work-related incidents

2.1 Work-related accidents

These are accidents that occur at work and result in an injury.

All work-related accidents should be reported using the [Accident/ill health](#) report form.

Examples of work-related accidents

- ✓ Injured due to slips, trips or falls at work
- ✓ Injured when carrying out manual handling task
- ✓ Physical assault resulting in injury
- ✓ Injured due to faulty or damaged work equipment
- ✓ Injured due to defects or damage to the building or site environment

Examples of what's not a work-related accident

- ✗ Minor incidents such as paper cuts
- ✗ Incidents that occur during breaks, or travel to/from usual place of work
- ✗ Where no injury occurred (these should be recorded as a near miss)
- ✗ Insect bites or stings
- ✗ Feeling dizzy or faint (not due to work)

2.2 Work-related near misses

A near miss is an incident that could have resulted in injury or ill health, but did not.

All work-related near misses should be reported using the [Near Miss](#) report form.

Examples of work-related near misses

- ✓ Shelf collapsed next to you, but didn't hit you
- ✓ Failure to follow asbestos procedures which could have resulted in exposure to asbestos containing materials (but did not)
- ✓ Attempted physical assault, or violent/aggressive behaviour that could have escalated to assault
- ✓ Tripping on a damaged or uneven surface, but not injuring yourself

Examples of what's not a work-related near miss

- ✗ Any incident where injury occurred (should be reported as an accident)
- ✗ Property damage where no one was nearby (as there was no risk of any person being injured)
- ✗ Threatening behaviour that could not have escalated to physical assault (e.g. over telephone)

2.3 Work-related ill health

Only ill health caused or made worse by work should be reported. Work-related ill health must be diagnosed as work-related by a medical practitioner before being classed and recorded as being work-related.

All work-related ill health should be reported using the [Accident/ill health](#) report form

Examples of work-related ill-health

- ✓ Hand-arm vibration from using vibrating tools
- ✓ Noise-induced hearing loss
- ✓ Skin diseases, such as contact dermatitis
- ✓ Asthma, due to inhalation of respiratory sensitisers

Examples of what's not work-related ill health

- ✗ Stroke or cardiac arrest
- ✗ Feeling unwell due to stomach bug or flu virus
- ✗ Fainting
- ✗ Stress- related ill health*
- ✗ Ill health due to existing medical condition, e.g. diabetes

* Any diagnosis of work-related stress should be managed as set out in the [HR stress management policy](#).

3. Employee responsibilities for incident reporting

- 3.1 All employees must notify their line manager of any work-related incidents **as soon as possible**, and always before end of their working day. In the case of work-related ill health, this must be reported as soon as the employee receives the diagnosis from a medical practitioner (including the Council's occupational health provider).

4. Line manager responsibilities for incident reporting

- 4.1 Line managers should ensure that appropriate arrangements are in place to enable employees to report incidents to them as soon as possible. This should be documented.
- 4.2 A process should be established for how employees will normally report incidents to their line manager. This should take account of shift patterns, work base and access to ICT equipment. [Appendix 1](#) gives an example of a form that can be used by the employee to record the key information about a work-related incident, to be passed to the line manager for entry onto the SHE portal. This is an example only, and individual service areas may choose to use other methods.
- 4.3 Alternative arrangements must be in place if the employee is unable to contact their line manager, e.g. report to another supervisor/team leader, or to the line manager's manager.
- 4.4 Line managers should ensure that any work-related incidents reported to them are recorded on the [SHE Portal](#) within **two working days**.
- 4.5 Line managers must ensure they provide feedback to the employee on the outcome of any investigation and any actions that have been, will be taken, as a result of the incident. A copy of the incident report should also be made readily available to the employee on request at the time of the incident.

5. Incidents involving school pupils

- 5.1 Schools must keep a record of all pupil injuries or ill health. The Corporate Health and Safety Team will monitor and report on these incidents.
- 5.2 The following types of incident should be reported on the standard [Accident/ill health](#) or [Near miss](#) report form, as appropriate for the type of incident.

- Any accident where the pupil was taken to hospital
- Injury or near miss due to faulty or poorly maintained equipment or environment, e.g. slipped on wet floor or cut themselves on sharp table edge
- Incidents due to lack of supervision or failure to follow a pupil support plan
- Ill health due to school curriculum activities, e.g. exposure to noxious chemicals in science class

- 5.3 For the other types of incidents involving pupils, which schools have to record, the [Non-work related pupil and service user](#) report form can be used. Examples of the types of incident that should be reported in this way include:

- Pupil to pupil violent or aggressive behaviour
- Injuries from play activities, e.g. bumping head on climbing frame, or fell when playing football
- Horseplay, e.g. swinging on chairs
- Norovirus
- Pupil self-harming behaviours

- 5.4 All pupil or young person challenging behaviour (e.g. violence, aggression or threatening behaviour) **towards employees** must be recorded on the SHE portal. Where such behaviours occur regularly throughout a day, there is no need to record each incident separately. A daily report can be entered on to the portal summarising the behaviours presented during the day and any actions taken or required. However, should any of the behaviours result in injury to an employee, each incident must be reported separately for each employee who sustained an injury.

6. Incidents involving service users (health and social care)

- 6.1 Care homes and social care services must keep a record of accidents, ill health and near misses involving service users, as required by the Care Inspectorate. The Corporate Health and Safety Team monitor and report on these incidents.
- 6.2 The following types of incident should be reported on the standard [Accident/ill health](#) or [Near miss](#) report form, as appropriate to the type of incident.

- Injury or near miss due to unsafe environment, e.g. tripped over damaged carpet tile, or slipped on wet floor
- Injury or near miss due equipment faults or damage, e.g. hoist failure, or sensor alarm defects
- Injury or near miss from omission to follow care plan, e.g. falling out of bed due to bedrails not being raised.

- 6.3 For the other types of incidents which the Care Inspectorate require care services to record, the [Non-work related pupil and service user](#) report form can be used. Examples of the types of incident reported in this way include:

- Care-related safety incidents, e.g. medication errors, someone not turning up for a shift, inappropriate care or support
- Slips, trips, falls due to mobility issues
- Service user ill-health
- Service user found unresponsive, but not due to an accident

7. Incidents involving other types of people

- 7.1 Other third parties will include other types of service users, visitors, contractors working at our buildings or sites, and members of the public.

Examples of incidents to report

- ✓ Building or site in an unsafe condition (e.g. tripped over loose carpet tile)
- ✓ Contact with unsafe plant or equipment (e.g. electric sock)
- ✓ Interaction with Council employees (e.g. accidentally injured by something an employee did)

Examples of what doesn't have to be reported

- ✗ Ill health (e.g. member of public fainting while visiting one of our venues)
- ✗ Slips, trips, falls where there was no defect (e.g. elderly person unsteady on their feet stumbles and falls)
- ✗ Suicide or attempted suicide in our buildings, bridges or monuments
- ✗ Incidents in swimming pools requiring lifeguard intervention
- ✗ Person found unresponsive (e.g. due to suspected substance misuse or critical medical condition)

- 7.2 These types of incidents should be reported on the [Accident/ill health](#) or [Near miss](#) form, as appropriate for the type of incident.
- 7.3 Where an incident involves a third party during a school let, it is the responsibility of the Group Leader to inform their Council representative. It is the Council representative's responsibility to ensure Group Leaders are aware of this requirement and to then record the incident on the SHE Portal within two working days.

8. Incidents on construction sites

- 8.1 Incidents that occur on construction sites, which are under the control of a Principal Contractor, do not need to be recorded on the SHE portal.

9. Using the SHE portal

- 9.1 The Council's incident reporting system is the [SHE portal](#). Any person with access to the Council's intranet can use the portal.
- 9.2 There are three incident forms available on the SHE portal.
- 9.2.1 Incident, accident and ill health form. This should be used to report all work-related injuries and ill health and other incidents such as property damage.
 - 9.2.2 Near miss form. This should be used to report all work-related near misses (i.e. where someone could have been injured or made ill but was not), as described in Section 2.
 - 9.2.3 Non-work related pupil and service user form. This should be used to report incidents involving pupils or health and social care service users, as described in Sections 5 and 6

- 9.3 The manager must ensure that all work-related incidents are entered onto the SHE portal. They may do this themselves or delegate this to another person (e.g. a business manager or business support). Regardless of the local arrangements in place, all incidents must be entered onto the portal within two working days. A [step-by-step guide](#) on entering work-related incidents into the portal is available on the Orb.
- 9.4 In care services, managers must make arrangements for non-work related incidents involving service users to be recorded.
- 9.5 In schools, head teachers must make arrangements for non-work related incidents involving pupils to be recorded.
- 9.6 To review or edit records after they have been entered on the portal, you need a user licence. This licence also allows the user to create and run reports.
- 9.7 Each service area has a number of licence holders. If you are unsure who the licence holders in your service area are, contact [Corporate Health and Safety](#).
- 9.8 Having a licence enables you to review incidents that have been entered into the portal, allowing you to amend the record (e.g. to include more information or the outcome from the investigation). It also allows you to run reports which can assist in identify any patterns or trends on the type and number of incidents being reported in your service area. [Guidance for licence holders](#) on how to do this is available on the Orb.
- 9.9 Changes to licences (e.g. transferring them from one person to another, deactivating licences where they are no longer required, or changes levels of access) are carried out by Corporate Health and Safety.
- 9.10 Additional licences can be purchased by the service, and Corporate Health and Safety can provide further information on this.

10. HSE notifiable incidents

- 10.1 Corporate Health and safety will report all notifiable incidents to the Health and Safety Executive.

11. Investigating incidents

- 11.1 The Corporate Health and Safety Team investigate all HSE notifiable incidents and produce a report outlining findings and recommendations.
- 11.2 Managers are responsible for ensuring that other incidents are investigated and providing feedback to the employee on any action that has been, or will be, taken.

12. Significant occurrences

- 12.1 For more serious incidents, e.g. fatalities or serious injuries to employees, pupils or service users please follow your service area's Significant Occurrences Procedure. This is in addition to recording the incident on the SHE Portal.

Appendix 1 Incident Report

Name of Person Involved		Job Title					
Employee Number		Department					
Name of Line Manager		Job Title					
Date of Incident		Time of Incident					
Describe what happened							
Did this incident result in injury?	Yes/No	If yes, describe the injury					
Describe any first aid or other treatment given			<table border="1"> <tr> <td>Did you stop work (i.e. were you unable to continue with the rest of your shift due to this incident)</td> <td>Yes/No</td> </tr> <tr> <td></td> <td></td> </tr> </table>	Did you stop work (i.e. were you unable to continue with the rest of your shift due to this incident)	Yes/No		
Did you stop work (i.e. were you unable to continue with the rest of your shift due to this incident)	Yes/No						
Name/address of any other people involved (including witnesses, or assailants)							
Signature		Date					

This record must be entered onto the SHE Portal within two working days of receipt and should then be confidentially destroyed. See [Privacy Statement](#).