

Accident and Incident Reporting Policy

Rotunda Ltd has a duty to investigate the immediate and underlying causes of accidents and incidents, and provision is made through the accident reporting system to enable this duty to be met. We have a responsibility to our staff, learners and visitors and therefore must have arrangements in place for the reporting and investigation of accidents and incidents that occur in areas which are under Rotunda's control.

The aim of carrying out an investigation will be to:

- Establish the cause(s), including underlying causes;
- Prevent a re-occurrence, and
- Provide Rotunda with an account of the incident which may assist it to reach a decision.

NB It is critically important that all accidents and incidents are investigated, however it is also important that extensive resources are not employed conducting investigations into 'minor' events.

BACKGROUND

Rotunda rightly considers it a necessity to investigate accidents and incidents in the areas under its direct control in order to proactively reduce the frequency and severity of such events and provide a safe environment for staff, learners, visitors and contractors. This commitment satisfies Rotunda Ltd.'s duty of care under the Health and Safety at Work Act 1974, and the Management of Health and Safety at Work Regulations 1999. It is acknowledged by Rotunda Ltd that unless the causes of workplace accidents and incidents are properly understood, lessons will not be learned and suitable improvements will not be made to secure the future health and safety of those who may be affected by activities. If lessons are to be learned from accidents and incidents, the underlying causes must be understood and communicated to those who have a duty of care to persons having business at the Rotunda.

DEFINITION OF AN ACCIDENT AND INCIDENT

Accidents and Incidents are defined as unplanned or uncontrolled events that result in or could result in physical harm, damage or loss to people, equipment, buildings, materials or the environment.

Note: For the purpose of this Code of Practice, accidents and incidents do not include theft.

PURPOSE

As stated in the policy the main aim of an accident and incident investigation is to establish what went wrong (the cause or causes) and establish how a recurrence could be prevented or its effects lessened. It is also essential to acquire information

and evidence which Rotunda may rely upon in the event of a subsequent compensation claim.

RESPONSIBILITY

The Chief Executive Officer is responsible for ensuring that a proportionate investigation of all accidents and incidents, occurring within their area of responsibility, is carried out. The Management team will investigate accidents where it is unclear as to where the responsibility lies or, due to the seriousness of an incident; a more detailed investigation is required. This is appropriate for all accidents that are reported to the Health and Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR). When to investigate any accident or incident which results in an injury, damage to property or assets, causes a significant disruption to business continuity or potentially damages Rotundas reputation should be investigated it is essential that all instances as above are investigated but it is equally important that extensive human resources are not employed on conducting investigations into minor events.

Who should undertake the investigation?

The decision as to who will investigate will depend upon who is injured and where. The Chief Executive Officer or a Manager designated by the CEO, will under normal circumstances be the person with sufficient knowledge of the injured person or area, the job being undertaken, the history of the activity or area and of the safe working procedures in place. Senior Managers will normally conduct investigations in areas for which they have responsibility. Other persons may also be involved in the accident/incident investigation. Such people may include:

- Staff representatives (Trades Union or Non-Trades Union),
- Learner representatives,
- Managers, or
- Safety Officers.

The numbers of people involved in the investigation should be kept to a minimum, and ideally only involve those with sufficient knowledge of the processes or procedures and those with sufficient health and safety training or management responsibility. Staff Safety Representatives must be given an opportunity to be part of all accident investigations.

Serious Incidents or Injuries

In all circumstances where Rotunda is required to report accidents and incidents to Statutory Authorities e.g. the HSE, the CEO or appointed manager will lead the accident/incident investigation and where appropriate complete the incident report form.

The Investigation Process

All accidents and incidents should, in normal circumstances be investigated as soon as possible after the occurrence, as this is the period when witnesses will have a

clear memory of the accident / incident and when the environmental conditions will have changed least. Where it is not possible to investigate immediately following an incident the investigation should commence as soon as practicable thereafter. The Manager responsible following receipt of a verbal report or completed accident-reporting form, should instigate an investigation. The investigation process should establish the six principles of:

1. **Who?** - was involved or injured (if anyone)?
2. **When?** - did the accident or incident occur?
3. **What?** - were the environmental conditions e.g. weather, light etc?
4. **Where?** - did the accident or incident occur?
5. **How?** - did the accident or incident occur and what happened?
6. **Why?** - did the accident or incident occur? Conclusion - how can it be prevented in future?

Planning Accident/Incident investigations must be in sufficient detail to:

- establish the facts;
- use the facts established to try and determine the causes; and
- make recommendations to prevent or minimise the effects of a reoccurrence.

Process

Accident and incident investigations must be approached with an OPEN MIND and without prejudice or pre-conceived theories. Accident investigations must be methodical and organised and must not apportion blame to individuals. The objective is to learn and take appropriate action. Throughout the process it is important to write everything down and not depend on memory.

The Scene

The scene of the accident or incident should be inspected as soon as possible after the occurrence. Where appropriate the area should be cordoned off to prevent disturbance and further accidents until the inspection is completed and thereafter remedial action may be taken. When assessing the area all appropriate environmental conditions, equipment and fittings must be examined. If equipment or fittings are involved these should be isolated until safety can be assured. Photographs or sketches should be taken where appropriate. All items, tools, chemicals or objects associated with the accident or incident should be labelled and their position noted in their relation to the accident scene. All relevant documentation pertaining to the area or activity to be gathered including, where appropriate, Risk Assessments, Safe Systems of Work, Permit(s) to Work, previous inspection reports, Policies and Job Descriptions.

Witnesses

Where witnesses are available to the accident or incident their views and observations should be sought. If the accident or incident involved, or could have resulted in a serious injury, witness statements should be obtained. Witnesses should

always be put at ease and reminded that the purpose of the investigation is not to apportion blame. Their observations should be obtained without any prompting or suggestions from the interviewer. Witnesses should not confer with others before giving their statements.

Witnesses Statements

When the accident or incident necessitates the taking of witness statements it is important that the following criterion is followed: **Note:** if the injured person is seriously injured and the incident is actively being investigated by the Health and Safety Executive, Local Authority or Police the injured person must not be interviewed until they have recovered sufficiently and the interview does not conflict with the wishes of the Enforcing Authority. In these circumstances the CEO will lead the investigation process.

- Interviews should be undertaken at the scene of the accident/incident or in informal surroundings and in a non-threatening manner.
- The witness should be advised that they may be accompanied by a friend or staff representative if they wish.
- The witness should be put at ease, informed of the purpose of the investigation and that it is not the role of the investigators to apportion blame to any individual.
- The witness should be encouraged to speak freely, and to not withhold anything that could materially affect the outcome of the investigation.
- The witness should not be led or directed, and notes should be continuously taken.
- Only interview one person at a time. At the end of the interview the witness should read what he/she said and if they are in agreement be requested to sign to this affect. The witness can refuse to sign if he/she prefers.

PRODUCING THE REPORT

Having conducted the investigation and interview(s) the investigator should consider all the evidence in a logical way in order to determine the most probable cause. Remember that the real cause is NOT always the most obvious.

Once completed, the Report must be sent to the CEO, Health & Safety Manager and, the appropriate Senior Manager's. Where it will assist the recipients understanding of the incident, photos should be attached. The incident investigator should retain any documents, witness statements or evidence gathered during the investigation as this may be relied upon by Rotunda's insurer or internal Health & Safety Committees.

IMPLEMENT FINDINGS

Where the findings recommend a change to safety policy or practice, these should be referred to the CEO and Management Committee for consideration. Where the findings have implications for safety management or practice in Rotunda these should be reported to an appropriate Manager and copied to the CEO.



Rotunda Policy Review Record

Reviewed by:	Approval date:	Review frequency:	Review date:	Signed:
Maxine Ennis	11 th May 2024	Annual	12 th May 2025	