






Accident Reporting and Investigation Policy Arrangements - Schools (Smartaa)

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DIRECTOR FOR EDUCATION POLICY STATEMENT

HEALTH AND SAFETY POLICY STATEMENT

As Director for Education, I have overall responsibility for all health and safety matters within Education. As such I am committed to the continuous improvement in health and safety standards for staff, clients, pupils, and visitors and a better working environment for everyone.

It is essential to the achievement of our Strategy for Health and Safety to ensure that access to the right knowledge, skills, and support is available to staff when they need it, and that this is widely communicated and understood.

I am committed to the continuous improvement in health and safety management by setting clear objectives and monitoring performance through health and safety management plans and proactive audit programmes. All Headteachers, including the Senior Leadership Team must lead by example by demonstrating best practice in health and safety management and ensuring whenever possible, that all management decisions further health and safety objectives.

Effective partnerships between Headteachers and staff are crucial to successful health and safety management. Poor health and safety management is rarely the result of malicious intent. Education and training in health and safety skills and risk management are key to achieving a strong health and safety culture which benefits all staff, clients, pupils, visitors, and contractors who work in our premises, and improves the quality of our service.



Director for Education

PART A: POLICY

INTRODUCTION

Accidents are normally the result of a combination of contributory factors, which lead to unsafe acts, conditions, or situations. The causes, which are both immediate and underlying, include failures in organisation, lack of management control, and other human factors e.g., a person's perception, attitude of competence.

By investigating and reporting, all relevant Smartaa incidents and accidents you will be assisting your School, to effectively manage health and safety.

Incidents and Accidents are recorded on the Smartaa accident database which is held centrally by the Schools Health and Safety Team. The accurate filling in of the electronic accident form, is therefore vital to enable accidents to be checked over and for the production of useful statistical information.

RESPONSIBILITIES

Headteacher/Responsible Person

The investigation of accidents and the completion of the electronic accident forms must be carried out. The Headteacher/Responsible Person should ensure that there is completion of the online report. Where necessary, assistance and advice can be obtained from the Schools Health & Safety Team.

All Employees

All employees have a duty to report accidents (including near miss incidents, instances of verbal abuse or threatening behaviour) This should be communicated to all staff at induction, and at regular intervals e.g., team briefings, notices on health and safety notice boards, etc.

Trade Unions

Trade Union appointed Safety Representatives are entitled to carry out an inspection of the area concerned where there has been an accident or disease, or dangerous occurrence as defined by RIDDOR 2013. Safety Representatives have their own systems for this purpose and the Line Manager should liaise with them as required. The best approach is a joint inspection as; after all, the main purpose is to determine the causes, without apportioning blame, so that the necessary preventive actions can be taken. Trade unions can also advise their members after an accident, including violence and verbal abuse and should be contacted at the earliest opportunity.

Schools Health & Safety Team

The Schools Health & Safety Team should ensure: -

- verification and review of accidents on the Smartaa system.
- reporting of RIDDOR accidents.
- liaison with Headteacher/Teams reporting Accidents or Incidents.
- provision of training and/or coaching on reporting or investigation of accidents when requested.
- provision of assistance in the investigation of complex accidents or incidents.

Purpose and Scope of Policy

The purpose of this policy is to ensure incidents, accidents, fires and acts of violence and abuse are investigated and reported. The guidance under this policy provides processes for accident investigation and reporting procedures using the online Smartaa system.

The aim of this policy is to enable us to: -

- a) Ascertain both the immediate and underlying causes (there is rarely a single cause).
- b) Put in place measures to prevent similar accidents happening again; and
- c) Identify accident trends in certain jobs, activities, or areas.

Greater time and effort should also be afforded to the investigation of incidents, which resulted in, or had the potential to result in, serious consequences. Remember that the potential for injury is as important as the actual injury and that a near miss should not be dismissed as unimportant. For example, if someone slips on spilled liquid or over a loose floor covering but does not hurt themselves, you still have the ingredients for a problem. These types of incidents present learning opportunities from which improved risk control measures can be implemented.

PART B: GUIDANCE

The following guidance is centred on the reporting process which requires by its nature accident/incident investigation.

ACCIDENT INVESTIGATION

Immediate Action Following an Accident

- Treating the injured person and making sure they are properly cared for;
- Making the immediate area safe but, during rescue and clearing up, leaving the scene as undisturbed as possible.
- Keeping non-essential personnel away from the area.

Taking these prompt actions will allow you to carry out the investigation effectively and efficiently.

Gathering the Facts

It is important that as much information relevant to an accident is gathered in a timely manner as soon as possible. The amount of information gathering required is relevant to the seriousness of the accident/incident and requires judicious decision making by the investigator. In more serious cases the Schools Health & Safety Team can offer assistance with investigations.

When collecting information do not forget that a picture says a thousand words in many cases and the use of mobile phones in today's world makes this an easy data capture. The following tips can help with any investigation; this list is not exhaustive but can include the following as well as other good practice that may be recommended:

- Timeline from before the accident until after.
- Photos and pictures.
- Sketches (this can be simple matchstick men diagrams – usually birds' eye view).

- Witness statements.
- Existing risk assessments.
- Previous accident/incident data.
- Check equipment and maintenance records.
- Identifying cause of injury and cause of accident separately.
- Other -environmental conditions e.g., weather

When investigating an accident do not forget to ask all the questions relating to; how, why, when, who, where and what.

Accidents will normally have a primary cause (e.g., box on the floor causing a trip) and an underline or root cause (e.g., no cleaning or tidying up process).

When investigating an accident be clear in your mind to separate the cause of the accident and the cause of injury. They are not the same thing but there is often confusing e.g., falling over and suffering injury is the cause of the injury, the cause of accident must relate to some other factor e.g., trip hazard or rushing.

Following any accident investigation, a review of existing risk assessments should always take place.

Reporting Procedure

To make the reporting procedures as simple as possible, the online system should be followed using the Council's Accident Reporting System (Smartaa).

As soon as practicable after an incident, the details should be reported, either verbally or in writing to the Headteacher.

Where violent or abusive incidents occur as a result of actions or behaviour then the 'violence/abuse' tab on the on-line reporting system should be used.

The circumstances of an accident/incident should be investigated at the earliest opportunity. Where remedial or protective action is required, then this should be carried out without delay.

The following table describes the categories, Accident, Incident, Violence & Abuse and Fire

Accident	An unplanned event that results in injury or ill health to staff and members of the public. This will range from minor to major accidents.
Incident	There are various incidents that may need reporting: <ul style="list-style-type: none"> • An incident where someone has been taken ill but no causal accident occurred. • Serious incidents such as collapse of a wall or explosion.
Violence & Abuse	All incidents of violence and abuse against staff should be reported under this option: <ul style="list-style-type: none"> • Member of the public abusing a member of staff over the phone. • Member of public threatening a member of staff at work. • Act of violence and abuse to staff by students. <p>Other types of violence/aggression incidents e.g. service users/members of the public having an altercation in a School building should be recorded on the Smartaa system.</p> <p>Note: <i>If the incident involves an assault or physical damage an Accident report must also be completed.</i></p>
Fire Incident	All fires that occur on School property need to be reported.

Reporting to the Health and Safety Executive (HSE)

(The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR 2013) place duties on employers to report accidents)

Reporting to the HSE will be done for you by the School's Health and Safety Team on your behalf following a submission from the Team of the accident/incident reporting form via Smartaa.

When the Health and Safety Team receive reports, they read and centrally record as part of the Council's general monitoring of health and safety matters. Further investigation or recommendations for remedial actions may be made as appropriate.

THE REPORTING OF INJURIES, DISEASES AND DANGEROUS OCCURRENCES REGULATIONS (RIDDOR 2013)

The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR 2013) place duties on employers to report accidents.

Accidents which result in death or major injury must be reported **immediately**.

The list of 'specified injuries' in RIDDOR 2013 replaces the previous list of 'major injuries' in RIDDOR 1995. Specified injuries are (regulation 4):

- fractures, other than to fingers, thumbs, and toes
- amputations
- any injury likely to lead to permanent loss of sight or reduction in sight
- any crush injury to the head or torso causing damage to the brain or internal organs
- serious burns (including scalding) which:
 - covers more than 10% of the body
 - causes significant damage to the eyes, respiratory system, or other vital organs
- any scalping requiring hospital treatment
- any loss of consciousness caused by head injury or asphyxia
- any other injury arising from working in an enclosed space which:
 - leads to hypothermia or heat-induced illness
 - requires resuscitation or admittance to hospital for more than 24 hours

Incidents/Accidents to pupils

It is the case that all accidents or injuries to pupils should be recorded in the accident book or more serious or concerning logged on and recorded on the Smartaa system.

However, with respect to RIDDOR injuries to pupils who are involved in an accident at school, or an activity organised by the school are only reportable under RIDDOR if the accidents result in: -

- the death of the person, and arose out of or in connection with a work activity; or
- an injury that arose out of or in connection with a work activity and the person is
- taken directly from the scene of the accident to hospital for treatment (examinations and diagnostic tests do not constitute treatment).

If a pupil injured in an accident remains at school, is taken home or is simply absent from school for a number of days, the incident is not reportable.

Many of the common incidents that cause injuries to pupils at school tend not to be reportable under RIDDOR, as they do not arise directly from the way the school

undertakes a work activity. Remember, in all these cases, you only need to consider reporting where an accident results in a pupil's death or they are taken directly from the scene of the accident to hospital for treatment. There is no need to report incidents where people are taken to hospital purely as a precaution, when no injury is apparent.

Accidents to pupils during sports activities for RIDDOR purposes

Accidents are reportable under RIDDOR if they are caused by the condition, design or maintenance of the premises or equipment, or because of inadequate arrangements for supervision of an activity. If an accident that results in an injury arises because of the normal rough and tumble of a game, the accident and resulting injury would not be reportable. Examples of reportable incidents include where: the condition of the premises or sports equipment was a factor in the incident, e.g. where a pupil slips and fractures an arm because a member of staff had polished the sports hall floor and left it too slippery for sports; or there was inadequate supervision to prevent an incident, or failings in the organisation and management of an event.

Accidents to pupils in a playground for RIDDOR purposes

Most playground accidents due to collisions, slips, trips and falls are not normally RIDDOR reportable. Incidents are only reportable where the injury results in a pupil either being killed or taken directly to a hospital for treatment. Either is only reportable if they were caused by an accident that happened from or in connection with a work activity.

This includes incidents arising because:

- the condition of the premises or equipment was poor, e.g. badly maintained play equipment; or
- the school had not provided adequate supervision, e.g. where particular risks were identified, but no action was taken to provide suitable supervision.

Incidents/Accidents to Staff, Volunteers etc.

All employees, agency staff or volunteers carrying out a role for schools should report accidents/incidents as an employee. Anyone in these roles is for the purposes of accident reporting a member of staff.

All incidents/accidents to staff should be recorded on the Smartaa system. However, they are not necessarily RIDDOR accidents for the purposes of the HSE.

The requirements for reportable accidents/incidents under RIDDOR is different for staff as opposed to those considered under the regulations as members of the public (i.e., students, contractors, visitors etc.) Not all accidents need to be reported to the HSE under RIDDOR, a RIDDOR report is required where the accident:

- Results in a death to workers must be reported if they arise from a work-related accident, including all acts of physical violence to a worker (notify/report without delay). A full report must be sent within **10** days.

- Specified Injury to worker (notify/report without delay). A full report must be sent within 10 days.
 - A fracture, other than to fingers, thumbs, and toes.
 - Amputation of an arm, hand, finger, thumb, leg, foot or toe.
 - Permanent loss of sight or reduction of sight.
 - Crush injuries leading to internal organ damage.
 - Serious burns (covering more than 10% of the body, or damaging the eyes, respiratory system, or other vital organs).
 - Scalping (separation of skin from the head) which require hospital treatment.
 - Unconsciousness caused by head injury or asphyxia.
 - Any other injury arising from working in an enclosed space, which leads to hypothermia, head induced illness or requires resuscitation or admittance to hospital for more than 24 hours.

- Over seven-day injuries to workers – where an employee is away from work and unable to perform their normal duties for more than seven consecutive days (not counting the day of the accident).

Please refer to Appendix 4 for a full explanation.

Incidents/Accidents to Members of the public

It is the case that all accidents or injuries to member of the public should be recorded in the accident book or more serious or concerning logged on and recorded on the Smartaa system.

However, with respect to RIDDOR injuries to member of the public who are involved in an accident, or an activity organised by the School are only reportable under RIDDOR if the accidents result in: -

- the death of the person, and arose out of or in connection with a work activity; or
- an injury that arose out of or in connection with a work activity and the person is taken directly from the scene of the accident to hospital for treatment (examinations and diagnostic tests do not constitute treatment).

If a member of the public injured in an accident remains at the scene or is taken home, the incident is not reportable.

Many of the common incidents that cause injuries to member of the public at School premises tend not to be reportable under RIDDOR, as they do not arise directly from the way the School undertakes a work activity. Remember, in all these cases, you only need to consider reporting where an accident results in a member of the public's death or they are taken directly from the scene of the accident to hospital for

treatment. There is no need to report incidents where people are taken to hospital purely as a precaution, when no injury is apparent.

Incidents/Accidents to other people who are not at work e.g. contractors or visitors

All accidents to visitors or contractors should be recorded on the Smartaa system. However, they are not necessarily RIDDOR accidents for the purposes of the HSE.

Injuries to contractors or other visitors who are involved in an accident at School premises, or an activity organised by the School are only reportable under RIDDOR if the accidents result in: -

- the death of the person, and arose out of or in connection with a work activity;
or
- an injury that arose out of or in connection with a work activity and the person is taken directly from the scene of the accident to hospital for treatment (examinations and diagnostic tests do not constitute treatment).

Remedial Action

All accidents, however minor need to be investigated by a Headteacher to determine what action is needed to prevent recurrence.

- Check area/conditions
- Review risk assessments
- Make sure equipment is fit for purpose
- Training

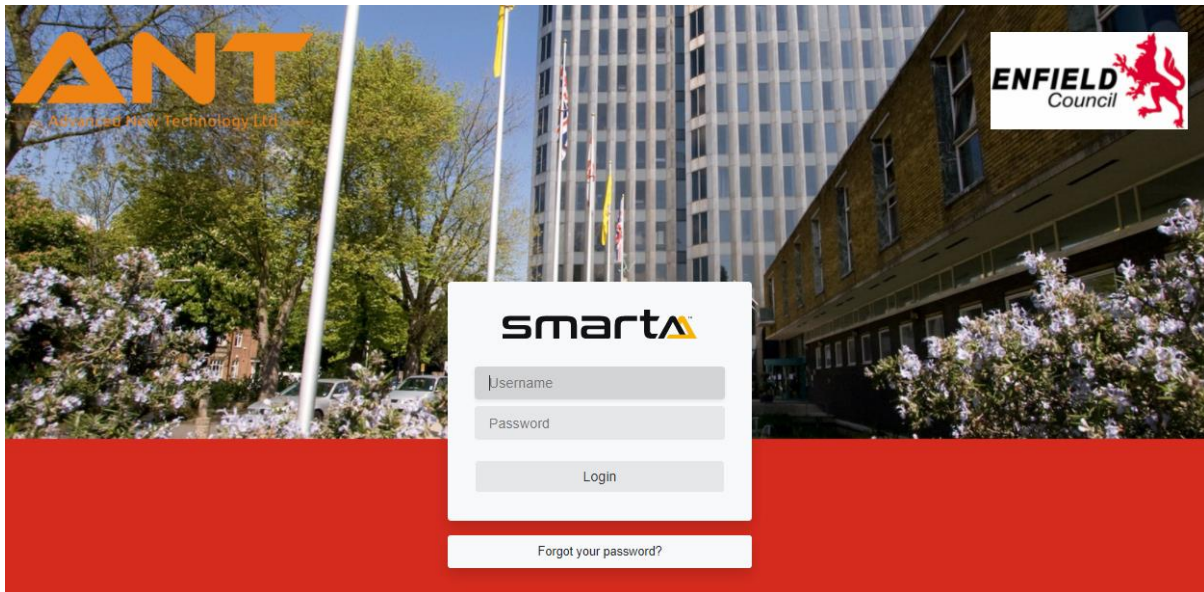
Not all accidents warrant further action

The remedial action section of the on-line accident report should always contain a positive action. The least we can do is verbally instruct on health and safety rules. This should be completed by a responsible person/manager. The remedial action section of the on-line accident report should always contain a positive action. The least we can do is verbally instruct on health and safety rules.

APPENDIX 1 – USING THE SMARTAA SYSTEM Accident, Incident, Violence & Abuse Reporting Instructions

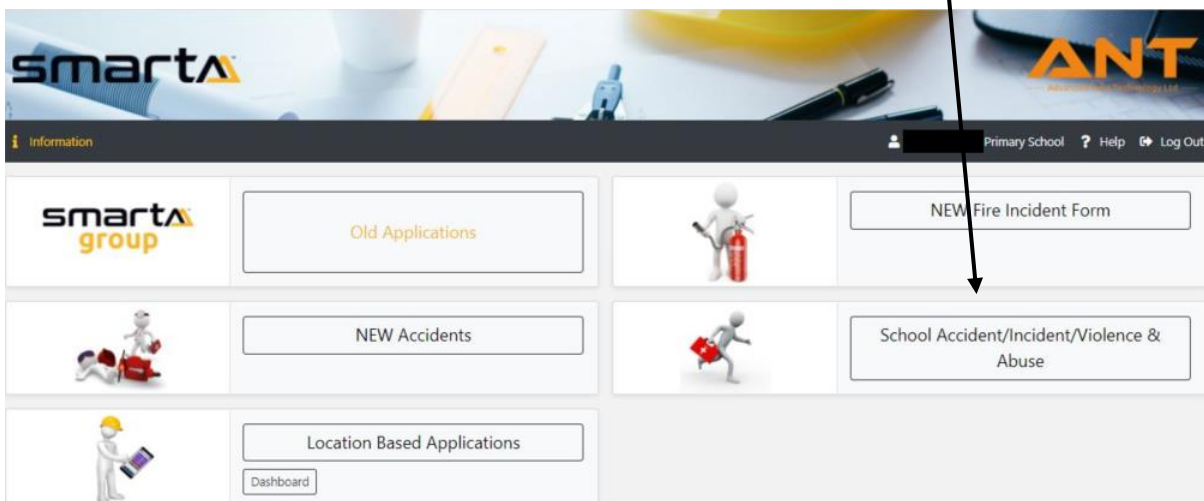
Please log in to the system: [Smartaa System](#)

Using the username and password for your school, please enter these on this page.



The image shows the login page for the Smartaa System. At the top left is the ANT logo (Advanced New Technology Ltd). At the top right is the ENFIELD Council logo. The main content area features the Smartaa logo above a login form with fields for 'Username' and 'Password', and a 'Login' button. Below the form is a link for 'Forgot your password?'. The background is a photograph of a modern building with trees and a red banner at the bottom.

Use this tile to report new accidents, incidents, violence & abuse:



The image shows the Smartaa System dashboard. At the top is the Smartaa logo and the ANT logo. Below the header is a navigation bar with 'Information', 'Primary School', 'Help', and 'Log Out'. The main area contains several tiles: 'Old Applications', 'NEW Fire Incident Form', 'NEW Accidents', 'School Accident/Incident/Violence & Abuse', 'Location Based Applications', and 'Dashboard'. An arrow points from the text above to the 'School Accident/Incident/Violence & Abuse' tile.

To create a new record, select 'New Record'



Please complete all mandatory fields, these are indicated with a red outline.

Select the type of record you are reporting:

Incomplete

Accident/Incident/Violence & Abuse

Is this an accident, incident, or violence & abuse record?

- Accident
- Incident
- Violence & Abuse

Enter the details of the member of staff at the school who is completing the record.

Your schools' details will be filled in automatically in the 'Location' section.

Details of Person Recording

Name of Person Recording

Email address

Job Title/Position

Date of Entry
10/06/2021

Location

Directorate	Division	Service
SCHOOLS ONLY	PRIMARY SCHOOLS	Garfield Primary Primary School

Fill in the details of the injured person.

Injured Person		
Date & Time of Accident/Incident	Surname	First Name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Home Address 1	Home Address 2	Home Address 3
<input type="text"/>	<input type="text"/>	<input type="text"/>
Home Postcode	Home Tel No.	Gender
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth	NI Number	Pay No
<input type="text"/>	<input type="text"/>	<input type="text"/>
Age at Accident/Incident	Time in Position	Person Status
<input type="text"/>	<input type="text"/>	<input type="text"/>
Work Tel No	Classification of Injury, Threat or Abuse	
<input type="text"/>	<input type="text"/>	
Describe what happened		
<input type="text"/>		

Select the 'Nature of Injury' and body region which was affected.

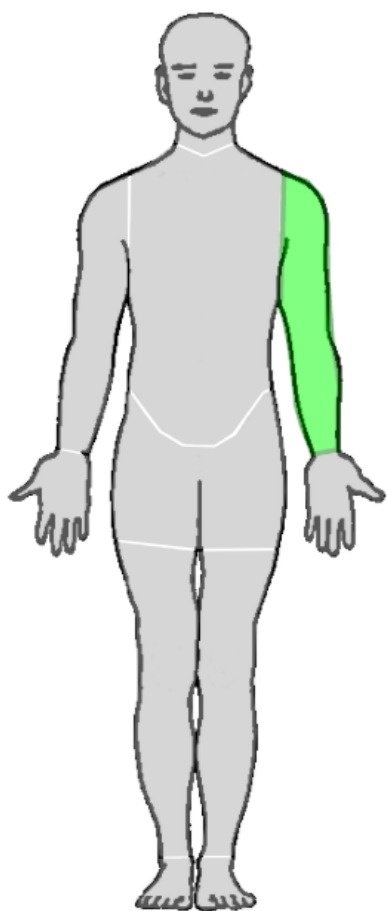
Don't forget that the injured side of the body is that of the victim. In this case it is the left arm.

If you are reporting an incident, violence, and abuse record where no physical injury was sustained, there is an option to select 'Not Physical – Threatened, Verbal Abuse'.

Injury & Medical

Nature of injury (1)

Fracture (other than finger, thumb or toe) ▾



Left Arm

Select a Body Part

Forearm

Elbow

Wrist

Shoulder

Select an Injury

Cut, Graze or Puncture

Bruise, Sprain or Strain

Suspected Broken or Fractured

Impact or Crash Injury

Amputation

Burn, Rash or Swelling

Contamination or Foreign Body

Assumed Internal Injury

Complete the accident/incident details.

First Aid Given

Treatment(s)

Become Unconscious

Needs Resuscitation

Was the person taken directly to hospital from the scene of the accident/incident?

Did the person receive treatment at hospital in respect of the injuries sustained from the accident/incident?

Outcome

Days Off

If the accident/incident did not occur at the school, please enter the location details:

Location of Accident/Incident

Name of Premises/Building (if not at the school)

Address 1

Address 2

Area where accident/incident occurred

Type of Location

Weather Conditions

Agents Involved

Complete the 'Investigation' details.

Investigation

Date of Investigation

Name of Person completing investigation

Job Title/Position

What was the immediate cause of the accident/incident (i.e. unsafe acts/conditions)

Have you considered the underlying cause of the accident/incident?

What caused the injury/ill health or other loss?

Have there been previous similar accidents/incidents?

Is there adequate supervision, control and co-ordination of the work involved e.g. playgrounds are supervised?

Is a relevant risk assessment in place?

There is now an opportunity to enter the details of any witness that may have been present:

Witness

[Click here to add Witness Details](#)

Photos

Choose file

Browse

Please attach up to 10 files no bigger than 100MB each.

Reports

Choose file

Browse

Please attach up to 10 files no bigger than 100MB each.

Please enter positive detailed remedial action.

Remedial Action

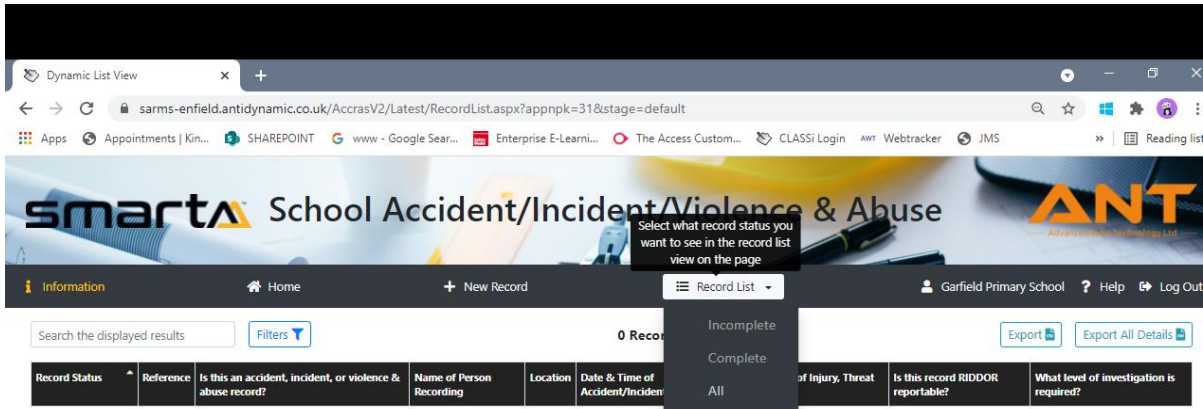
What steps have been taken to remedy the "immediate causes" of the accident/ill health or other loss?

Target Date

By Whom

Once completed, you will be able to submit your report to Corporate Health & Safety for verification.

Please note that your record will not appear in your 'Record List' until it has been verified.



APPENDIX 2 – HSE Guidance on Reporting of Incidents in Schools

Incident reporting in schools (accidents, diseases and dangerous occurrences)

Guidance for employers

HSE Information sheet

Education Information Sheet No1 (Revision 3)

Introduction

This information sheet gives guidance on how the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) apply to schools. Most incidents that happen in schools or on school trips do not need to be reported. Only in limited circumstances will an incident need notifying to the Health and Safety Executive (HSE) under RIDDOR. The information sheet gives practical guidance to schools about what they need to report and how to do it.

What needs to be reported?

RIDDOR requires employers and others in control of premises to report certain accidents, diseases and dangerous occurrences arising out of or in connection with work.

The information sheet includes examples of the incidents that sometimes result from schools' activities and are reportable under RIDDOR. The sheet contains three sections, which cover:

- injuries and ill health involving employees (Section 1);
- injuries involving pupils and other people not at work (Section 2);
- dangerous occurrences (Section 3).

Who should report?

The duty to notify and report rests with the 'responsible person'. For incidents involving pupils and school staff, this is normally the main employer at the school. The education pages on HSE's website at www.hse.gov.uk/services/education provide information about who the employer is in different types of schools.

Some school employers may have centrally co-ordinated reporting procedures. In others, reporting

may be delegated to the school management team. The health and safety policy should set out the responsibilities and arrangements for reporting in each school.

Incidents involving contractors working on school premises are normally reportable by their employers. Contractors could be, eg builders, maintenance staff, cleaners or catering staff.

If a self-employed contractor is working in school premises and they suffer a specified injury or an over-seven-day injury, the person in control of the premises will be the responsible person. (See HSE's RIDDOR web pages at www.hse.gov.uk/riddor for more detail on the reporting arrangements for self-employed people.)

Who do I report to?

For general advice about how to report, see HSE's RIDDOR web pages. You can report all incidents online and there is a telephone service for reporting **fatal and specified injuries only**. Reporting details for out of hours incidents are available from HSE's out of hours web page at www.hse.gov.uk/contact/contact.htm.

For incidents on school premises involving members of staff, pupils or visitors, HSE is the enforcing authority and you should submit your reports to them. HSE is also the enforcing authority for nursery provision provided and operated by local authorities. For privately run nursery schools, the local authority is the enforcing authority.

What records must I keep?

You must keep records of:

- any reportable death, specified injury, disease or dangerous occurrence that requires reporting under RIDDOR;

- all occupational injuries where a worker is away from work or incapacitated for more than three consecutive days. From 6 April 2012 you don't have to report over-three-day injuries, but you must keep a record of them. Employers can record these injuries in their accident book.

You must keep records for at least three years after the incident.

Section 1: Injuries and ill health to people at work

Under RIDDOR, the responsible person must report the following work-related accidents, including those caused by physical violence, if an employee is injured, wherever they are working:

- accidents which result in death or a specified injury must be reported without delay (see 'Reportable specified injuries');
- accidents which prevent the injured person from continuing their normal work for more than seven days (not counting the day of the accident, but including weekends and other rest days) must be reported within 15 days of the accident.

The responsible person must also report any case of a work-related disease, specified under RIDDOR, that affects an employee and that a doctor confirms in writing (see 'Reportable diseases'). You can find detailed guidance about RIDDOR reporting and online reporting procedures at www.hse.gov.uk/riddor/report.htm.

If you are in control of premises, you are also required to report any work-related deaths and certain injuries to self-employed people that take place while they are working at the premises.

Reportable specified injuries

These include:

- fractures, other than to fingers, thumbs and toes;
- amputations;
- any injury likely to lead to permanent loss of sight or reduction in sight;
- any crush injury to the head or torso causing damage to the brain or internal organs;
- serious burns (including scalding), which:
 - cover more than 10% of the body; or
 - cause significant damage to the eyes, respiratory system or other vital organs;
- any scalping requiring hospital treatment;
- any loss of consciousness caused by head injury or asphyxia;

- any other injury arising from working in an enclosed space which:
 - leads to hypothermia or heat-induced illness; or
 - requires resuscitation or admittance to hospital for more than 24 hours.

Physical violence

Some acts of non-consensual physical violence to a person at work, which result in death, a specified injury or a person being incapacitated for over seven days, are reportable. In the case of an over-seven-day injury, the incapacity must arise from a physical injury, not a psychological reaction to the act of violence.

Examples of reportable injuries from violence include an incident where a teacher sustains a specified injury because a pupil, colleague or member of the public assaults them while on school premises. This is reportable, because it arises out of or in connection with work.

Reportable occupational diseases

Employers must report occupational diseases when they receive a written diagnosis from a doctor that their employee has a reportable disease linked to occupational exposure. (See www.hse.gov.uk/riddor for details of the reporting arrangements for self-employed people.)

These include:

- carpal tunnel syndrome;
- severe cramp of the hand or forearm;
- occupational dermatitis, eg from work involving strong acids or alkalis, including domestic bleach;
- hand-arm vibration syndrome;
- occupational asthma, eg from wood dust and soldering using rosin flux;
- tendonitis or tenosynovitis of the hand or forearm;
- any occupational cancer;
- any disease attributed to an occupational exposure to a biological agent.

Stress

Work-related stress and stress-related illnesses (including post-traumatic stress disorder) are not reportable under RIDDOR. To be reportable, an injury must have resulted from an 'accident' arising out of or in connection with work.

In relation to RIDDOR, an accident is a discrete, identifiable, unintended incident which causes physical injury. Stress-related conditions usually result from a prolonged period of pressure, often from many factors, not just one distinct event.

Section 2: Incidents to pupils and other people who are not at work

Injuries to pupils and visitors who are involved in an accident at school or on an activity organised by the school are only reportable under RIDDOR if the accident results in:

- the death of the person, and arose out of or in connection with a work activity; or
- an injury that arose out of or in connection with a work activity and the person is taken directly from the scene of the accident to hospital for treatment (examinations and diagnostic tests do not constitute treatment).

The lists of specified injuries and diseases described in Section 1 only apply to employees. If a pupil injured in an incident remains at school, is taken home or is simply absent from school for a number of days, the incident is **not reportable**.

How do I decide whether an accident to a pupil 'arises out of or is in connection with work'?

The responsible person at the school should consider whether the incident was caused by:

- a failure in the way a work activity was organised (eg inadequate supervision of a field trip);
- the way equipment or substances were used (eg lifts, machinery, experiments etc); and/or
- the condition of the premises (eg poorly maintained or slippery floors).

So, if a pupil is taken to hospital after breaking an arm during an ICT class, following a fall over a trailing cable, the incident would be reportable. If a pupil is taken to hospital because of a medical condition (eg an asthma attack or epileptic seizure) this would not be reportable, as it did not result from the work activity.

This means that many of the common incidents that cause injuries to pupils at school tend not to be reportable under RIDDOR, as they do not arise directly from the way the school undertakes a work activity. Remember, in all these cases, you only need to consider reporting **where an accident results in a pupil's death or they are taken directly from the scene of the accident to hospital for treatment. There is no need to report incidents where people are taken to hospital purely as a precaution, when no injury is apparent.**

What about accidents to pupils during sports activities?

Not all sports injuries to pupils are reportable under RIDDOR, as organised sports activities can lead to sports injuries that are not connected with how schools manage the risks from the activity.

The essential test is whether the accident was caused by the condition, design or maintenance of the premises or equipment, or because of inadequate arrangements for supervision of an activity. If an accident that results in an injury arises because of the normal rough and tumble of a game, the accident and resulting injury would not be reportable. Examples of reportable incidents include where:

- the condition of the premises or sports equipment was a factor in the incident, eg where a pupil slips and fractures an arm because a member of staff had polished the sports hall floor and left it too slippery for sports; or
- there was inadequate supervision to prevent an incident, or failings in the organisation and management of an event.

What about accidents to pupils in a playground?

Most playground accidents due to collisions, slips, trips and falls are not normally reportable. Incidents are only reportable where the injury results in a pupil either being killed or taken directly to a hospital for treatment. Either is only reportable if they were caused by an accident that happened from or in connection with a work activity.

This includes incidents arising because:

- the condition of the premises or equipment was poor, eg badly maintained play equipment; or
- the school had not provided adequate supervision, eg where particular risks were identified, but no action was taken to provide suitable supervision.

Physical violence

Violence between pupils is a school discipline matter and not reportable under RIDDOR, as it does not arise out of or in connection with a work activity.

Other scenarios

Injuries to pupils while travelling on a school bus
If another vehicle strikes the school bus while pupils are getting on or off and pupils are injured and taken to hospital, this is normally reportable under RIDDOR.

However, you do not have to report deaths and injuries resulting from a road traffic accident involving a school vehicle travelling on the public highway under RIDDOR. These are classed as road traffic incidents and are investigated by the police.

Incidents involving pupils on overseas trips
RIDDOR only applies to activities which take place in Great Britain. So, any incident overseas is not reportable to HSE.

Incidents to pupils on work experience placements
If pupils are on a training scheme or work placement, they are deemed to be employees for the period of the placement. In these circumstances, the employer, as the responsible person, should report a death, injury or disease to a pupil, which arises out of or in connection with work. This means the wider range of reporting categories for employees is applicable.

Section 3: Dangerous occurrences

These are specified near-miss events, which are only reportable if listed under RIDDOR.

Reportable dangerous occurrences in schools typically include:

- the collapse or failure of load-bearing parts of lifts and lifting equipment;
- the accidental release of a biological agent likely to cause severe human illness;
- the accidental release or escape of any substance that may cause a serious injury or damage to health;
- an electrical short circuit or overload causing a fire or explosion.

Supplementary information

Consultation

Under the Safety Representatives and Safety Committees Regulations 1977 and the Health and Safety (Consultation with Employees) Regulations 1996, employers must make relevant health and safety documents available to safety representatives.

This includes records kept under RIDDOR, except where they reveal personal health information about individuals. Further information is available in *Consulting employees on health and safety: A brief guide to the law* Leaflet INDG232(rev2) HSE Books 2013 www.hse.gov.uk/pubns/indg232.htm.

Reporting requirements of other regulators

There may be other reporting requirements placed on schools by other regulators in the education sector. The requirements of these other regulators are separate to, and distinct from, the legal duty to report incidents under RIDDOR.

Further information

For information about health and safety, or to report inconsistencies or inaccuracies in this guidance, visit www.hse.gov.uk/. You can view HSE guidance online and order priced publications from the website. HSE priced publications are also available from bookshops.

This guidance is issued by the Health and Safety Executive. Following the guidance is not compulsory, unless specifically stated, and you are free to take other action. But if you do follow the guidance you will normally be doing enough to comply with the law. Health and safety inspectors seek to secure compliance with the law and may refer to this guidance.

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APPENDIX 3 LIST OF DISEASES AND DANGEROUS OCCURRENCES

This list requires immediate notification to the Schools Health & Safety Team.

NOTE: These lists are to be used as a guide only, for a comprehensive list of diseases and dangerous occurrences, or if you are in any doubt over which incidents to report, contact the Schools Health & Safety Team.

DANGEROUS OCCURRENCES

Lifting equipment

- 1 The collapse, overturning or failure of any load-bearing part of any lifting equipment, other than an accessory for lifting.

Pressure systems

- 2 The failure of any closed vessel, its protective devices or of any associated pipework (other than a pipeline) forming part of a pressure system as defined by regulation 2(1) of the Pressure Systems Safety Regulations 2000, where that failure could cause the death of any person.

Overhead electric lines

- 3 Any plant or equipment unintentionally coming into:
 - (a) contact with an uninsulated overhead electric line in which the voltage exceeds 200 volts; or
 - (b) close proximity with such an electric line, such that it causes an electrical discharge.

Electrical incidents causing explosion or fire

- 4 Any explosion or fire caused by an electrical short circuit or overload (including those resulting from accidental damage to the electrical plant) which either:
- (a) results in the stoppage of the plant involved for more than 24 hours; or
 - (b) causes a significant risk of death.

Explosives

5. Any unintentional—
- (a) fire, explosion, or ignition at a site where the manufacture or storage of explosives requires a license or registration, as the case may be, under regulation 9, 10 or 11 of the Manufacture and Storage of Explosives Regulations 2005; or
 - (b) explosion or ignition of explosives (unless caused by the unintentional discharge of a weapon, where, apart from that unintentional discharge, the weapon and explosives functioned as they were designed to), except where a fail-safe device or safe system of work prevented any person being endangered as a result of the fire, explosion, or ignition.
6. The misfire of explosives (other than at a mine or quarry, inside a well or involving a weapon) except where a fail-safe device or safe system of work prevented any person being endangered as a result of the misfire.
7. Any explosion, discharge or intentional fire or ignition which causes any injury to a person requiring first-aid or medical treatment, other than at a mine or quarry.
8. (1) The projection of material beyond the boundary of the site on which the explosives are being used, or beyond the danger zone of the site, which caused or might have caused injury, except at a quarry.
(2) In this paragraph, “danger zone” means the area from which persons have been excluded or forbidden to enter to avoid being endangered by any explosion or ignition of explosives.
9. The failure of shots to cause the intended extent of collapse or direction of fall of a structure in any demolition operation.

Biological agents

10. Any accident or incident which results or could have resulted in the release or escape of a biological agent likely to cause severe human infection or illness.

Radiation generators and radiography

11. (1) The malfunction of—
- (a) a radiation generator or its ancillary equipment used in fixed or mobile industrial radiography, the irradiation of food or the processing of products by irradiation, which causes it to fail to de-energise at the end of the intended exposure period; or
 - (b) equipment used in fixed or mobile industrial radiography or gamma irradiation, which causes a radioactive source to fail to return to its safe

position by the normal means at the end of the intended exposure period.

- (2) In this paragraph, “radiation generator” means any electrical equipment emitting ionising radiation and containing components operating at a potential difference of more than 5kV.

Breathing apparatus

12. The malfunction of breathing apparatus—
 - (a) where the malfunction causes a significant risk of personal injury to the user; or
 - (b) during testing immediately prior to use, where the malfunction would have caused a significant risk to the health and safety of the user had it occurred during use, other than at a mine.

Diving operations

13. The failure, damaging or endangering of—
 - (a) any life support equipment, including control panels, hoses and breathing apparatus; or
 - (b) the dive platform, or any failure of the dive platform to remain on station, which causes a significant risk of personal injury to a diver.
14. The failure or endangering of any lifting equipment associated with a diving operation.
15. The trapping of a diver.
16. Any explosion in the vicinity of a diver.
17. Any uncontrolled ascent or any omitted decompression which causes a significant risk of personal injury to a diver.

Collapse of scaffolding

18. The complete or partial collapse (including falling, buckling, or overturning) of—
 - (a) a substantial part of any scaffold more than 5 meters in height.
 - (b) any supporting part of any slung or suspended scaffold which causes a working platform to fall (whether or not in use); or
 - (c) any part of any scaffold in circumstances such that there would be a significant risk of drowning to a person falling from the scaffold.

Train collisions

19. The collision of a train with any other train or vehicle, other than a collision reportable under Part 5 of this Schedule, which could have caused the death, or specified injury, of any person.

Wells

20. In relation to a well (other than a well sunk for the purpose of the abstraction of water):
 - (a) a blow-out (which includes any uncontrolled flow of well-fluids from a well).
 - (b) the coming into operation of a blow-out prevention or diversion system to control flow of well-fluids where normal control procedures fail.

- (c) the detection of hydrogen sulphide at a well or in samples of well-fluids where the responsible person did not anticipate its presence in the reservoir drawn on by the well.
- (d) the taking of precautionary measures additional to any contained in the original drilling programme where a planned minimum separation distance between adjacent wells was not maintained; or
- (e) the mechanical failure of any part of a well whose purpose is to prevent or limit the effect of the unintentional release of fluids from a well or a reservoir being drawn on by a well, or whose failure would cause or contribute to such a release.

Pipelines or pipeline works

- 21.** In relation to a pipeline or pipeline works—
- (a) any damage to, accidental or uncontrolled release from or inrush of anything into a pipeline.
 - (b) the failure of any pipeline isolation device, associated equipment or system; or
 - (c) the failure of equipment involved with pipeline works, which could cause personal injury to any person, or which results in the pipeline being shut down for more than 24 hours.
- 22.** The unintentional change in position of a pipeline, or in the subsoil or seabed in the vicinity, which requires immediate attention to safeguard the pipeline's integrity or safety.

Dangerous Occurrences reportable except in relation to an offshore workplace

Structural collapse

- 23.** The unintentional collapse or partial collapse of—
- (a) any structure, which involves a fall of more than 5 tonnes of material: or
 - (b) any floor or wall of any place of work, arising from, or in connection with, ongoing construction work (including demolition, refurbishment and maintenance), whether above or below ground.
- 24.** The unintentional collapse or partial collapse of any falsework.

Explosion or fire

- 25.** Any unintentional explosion or fire in any plant or premises which results in the stoppage of that plant, or the suspension of normal work in those premises, for more than 24 hours.

Release of flammable liquids and gases

- 26.** The sudden, unintentional and uncontrolled release—
- (a) inside a building—
 - (i) of 100 kilograms or more of a flammable liquid.
 - (ii) of 10 kilograms or more of a flammable liquid at a temperature above its normal boiling point.
 - (iii) of 10 kilograms or more of a flammable gas; or
 - (b) in the open air, of 500 kilograms or more of a flammable liquid or gas.

Hazardous escapes of substances

27. The unintentional release or escape of any substance which could cause personal injury to any person other than through the combustion of flammable liquids or gases.

OCCUPATIONAL REPORTABLE DISEASES

Headteachers are to report cases of certain diagnosed reportable diseases which are linked with occupational exposure to specified hazards. The reportable diseases and associated hazards are listed below.

- **Carpal Tunnel Syndrome:** where the person's work involves regular use of percussive or vibrating tools
- **Cramp of the hand or forearm:** where the person's work involves prolonged periods of repetitive movement of the fingers, hand or arm
- **Occupational dermatitis:** where the person's work involves significant or regular exposure to a known skin sensitiser or irritant
- **Hand Arm Vibration Syndrome:** where the person's work involves regular use of percussive or vibrating tools, or holding materials subject to percussive processes, or processes causing vibration
- **Occupational asthma:** where the person's work involves significant or regular exposure to a known respiratory sensitiser
- **Tendonitis or tenosynovitis:** in the hand or forearm, where the person's work is physically demanding and involves frequent, repetitive movements

APPENDIX 4 - EXPLANATION OF REPORTING OF INJURIES, DISEASES AND DANGEROUS OCCURRENCE REGULATIONS 2013 (RIDDOR) FOR SCHOOLS

The Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 2013 (RIDDOR) requires that where certain criteria are met with regard to accidents and injuries and some occurrences that reports are made to the Health & Safety Executive (HSE). For the most part, where these are correctly recorded on the Smartaa system, the School's Health & Safety Team will complete the reports to the HSE on your behalf.

Part of the RIDDOR requirements is that we report within certain timescales, where you are aware that one of the triggers for reporting has been hit (see pages 3 and 4) then it is important that we are informed straight away so that we can complete the official report.

Please note the following:

- **Requirements for RIDDOR reporting accidents to employees are different from those for pupils and members of the public.**
- **Criteria for RIDDOR reporting for employees/members of staff is laid out on page 3 in the **blue** explanatory box.**
- **RIDDOR reporting for pupils and members of the public is laid out on page 4 in the **green** explanatory box.**
- **These criteria are different for two groups, but provided you use the appropriate box and following the guidelines this will enable you to decide if an accident is RIDDOR reportable.**

REPORTING OF INJURIES, DISEASES AND DANGEROUS OCCURRENCES (RIDDOR) 2013 FOR SCHOOLS

NOTE: Requirements surrounding reportable incidents differ between staff and students.

The following criteria applies solely to staff/employees, NOT pupils or members of the public

For Staff Only	
<p>Note:</p> <p>This applies to employees, agency staff or Volunteers carrying out a role for the Council or Academy etc. e.g., agency teacher working for the School is a de facto employee.</p> <p>Not all accidents need to be reported, a RIDDOR report is required only when:</p> <ul style="list-style-type: none"> • the accident is work-related; and • it results in an injury of a type which is reportable in the next column - 'Reportable Injuries'. • For accidents resulting in the over-seven-day incapacitation of a worker, you must notify the enforcing authority within 15 days of the incident. 	<p>Reportable Injuries</p> <ul style="list-style-type: none"> • Result in death to workers and non-workers must be reported if they arise from a work-related accident, including all acts of physical violence to a worker (<u>notify/report without delay</u>). A full report must be sent within 10 days. • Specified Injury to worker (<u>notify/report without delay</u>). A full report must be sent within 10 days. <ul style="list-style-type: none"> ➢ A fracture, other than to fingers, thumbs, and toes. ➢ Amputation of an arm, hand, finger, thumb, leg, foot, or toe. ➢ Permanent loss of sight or reduction of sight. ➢ Crush injuries leading to internal organ damage. ➢ Serious burns (covering more than 10% of the body, or damaging the eyes, respiratory system or other vital organs); ➢ Scalping (separation of skin from the head) which require hospital treatment. ➢ Unconsciousness caused by head injury or asphyxia. ➢ Any other injury arising from working in an enclosed space, which leads to hypothermia, head induced illness or requires resuscitation or admittance to hospital for more than 24 hours. • Over seven-day injuries to workers – where an employee is away from work and unable to perform their normal duties for more than seven consecutive days (not counting the day of the accident).

The following criteria applies solely to pupils or members of the public, NOT employees or members of staff

For Pupils (Members of the Public) & Visitors	
Note:	Reportable Injuries
<p>This applies to all those that are not employees i.e., contractors, visitors, parents, trespassers, service users, pupils and the staff of other employers that may be in the school building.</p> <p>For pupils the incident would have been caused by:</p> <ul style="list-style-type: none"> • a failure in the way a work activity was organised (e.g. inadequate supervision of a field trip); • the way equipment or substances were used (e.g. lifts, machinery, experiments etc); and/or • the condition of the premises (e.g. poorly maintained or slippery floors) 	<ul style="list-style-type: none"> • Result in death and arose out of or in connection with a work activity (notify report without delay and a full written report must be sent within 10 days). • An injury that arose out of or in connection with a work activity and the person is taken directly from the scene of the accident to hospital for treatment (examination, precaution and/or diagnostic tests do not constitute treatment). <p>If a pupil remains at school, is taken home or is simple absent from school for a number of days, the incident is not reportable.</p> <p>You do not have to report deaths and injuries resulting from a road traffic accident involving a school vehicle travelling on the public highway under RIDDOR. These are classed as Road Traffic Incidents and are investigated by the Police – except if the pupils were getting on or off the bus as it was struck by another vehicle.</p> <p>Incident reporting in schools (accidents, diseases and dangerous occurrences) EDIS1 (hse.gov.uk). How to make a RIDDOR report - RIDDOR - HSE</p>

Examples of Reportable Accidents at School

<p><u>Accident in a School Playground</u></p> <p><i>Most playground activities involve children's collisions, slips, trips and falls and are not normally reportable unless the injury results in death or is taken directly to hospital for treatment.</i></p> <p><i>Either is only reportable if they were caused by an accident that happened in connection with a work activity.</i></p>	<p>A student is on a swing at playtime in the playground. The chain snaps and causes them to fall off. They land badly on their ankle, which requires them to go to hospital and receive treatment for a fracture. This was caused by poor maintenance of the swing set and is therefore a reportable incident.</p>
<p><u>Accident during an indoor PE lesson</u></p> <p><i>The accident would normally only be reportable if it was caused by the condition, design or maintenance of the premises or equipment, or because of inadequate arrangements for supervision of an activity.</i></p>	<p>During a PE lesson, one of the students slips on a wet patch on the gym floor and breaks their wrist. The gym was being cleaned just before the PE lesson, so was not given enough time to dry properly. This is an example of poor management of a school activity and so is reportable under RIDDOR.</p>

<p><i>If an accident results in an injury arising from the normal rough and tumble of the game, this would not be reportable.</i></p>	
<p><u>Accident causing an electric shock during IT class</u></p>	<p>A computer wire in the IT room is fraying and faulty. The class's teacher unplugged it and intended to remove it from use but forgot to do so after another student distracted them. One of the pupils in the IT class notice that their computer isn't turning on, so they go to plug in the faulty cable. The student receives a serious shock when they do, which requires them to go to hospital. As this was caused by bad management of a hazard in the school, it is therefore a reportable incident.</p>

Examples of Non-Reportable Accidents at School

<u>Accident while students play tennis at lunch</u>	Four students are using the gym to play tennis during their lunch break. One of the pupils run and jump to hit the ball but misplace their footing and sprain their ankle. They need to go to hospital for an x-ray, but because the injury was not caused by something related to how the school operates it is not reportable under RIDDOR.
<u>Violence between pupils</u>	Violence between pupils is a school discipline matter and not reportable under RIDDOR, as it does not arise out of or in connection with a work activity.
<u>Examples of typical Incidents that are not reportable</u>	<ul style="list-style-type: none">• Colliding in Playground (children running into each other)• Fainting (Illnesses and Medical Conditions should be reported as an Incident not Accident)• Twisting ankle running along a flat surface• PE football game etc. Pupil hurt and no defects or mismanagement of supervision

Dangerous Occurrences

These are specified near-miss events, which are only reportable if listed under RIDDOR.

EXTREMELY RARE

Reportable dangerous occurrences in schools typically include and should be reported on an Incident Report.

- the collapse or failure of load-bearing parts of lifts and lifting equipment (e.g., lift in a school);
- the accidental release of a biological agent likely to cause severe human illness (e.g., exposure to anthrax).
- the accidental release or escape of any substance that may cause a serious injury or damage to health (e.g., fumes).
- **exposure to Asbestos.**
- an electrical short circuit or overload causing a fire or explosion.
- **explosions or fires causing work to be stopped for more than 24 hours.**

The two highlighted in bold are ones that we have come across in schools before.

Note: Fire and Explosions should be reported by Schools as a Fire Incident Report.