ALDRIDGE EDUCATION

Accident and Incident Reporting and Investigation Procedure

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Applies to (Mark as appropriate)			
Staff	Pupils / Students / Adult Learners	Parents / Carers / Guardians	Contractors
✓	✓	✓	✓
Volunteers	Students on placement	Trustees / LGC / Members	Visitors
✓	✓	✓	✓
Agency Staff	Other	a	a
✓	✓		

Published Locations				
Trust Website	Academy Website	Aldridge Intranet	Student/Parent planners	On-request
	✓	✓		

Consultation (Complete as appropriate in line with master policy document)			
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Version History (please note below if a policy has been replaced)					
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Contents

1. Accident and Incident Reporting and Investigation Procedure 5
2. Statement of Intent 5
3. Organisation and Responsibilities 5
   - 3.1 Principal 5
   - 3.2 Academy Health and Safety Lead 5
   - 3.3 SLT/HOD/Managers 6
   - 3.3 Accident Investigator 6
   - 3.4 Employees 6
   - 3.4 Contractors 7
4. Accidents Notifiable to the HSE as Per RIDDOR 7
   - 4.1 Procedure 7
   - 4.2 Action Guide for Accident and Incident Reporting 9
5. Accident Investigation 10
   - 5.1 Procedure 10
   - 5.2 Accident/Incident/Dangerous Occurrence Management and Investigation 11
6. HSE Contacts Details and Link 14

1. Accident and Incident Reporting and Investigation Procedure

This document outlines the procedures that are to be adopted when any student, employee, visitor or contractor experiences an accident, near-miss or dangerous occurrence on the Academy's premises.

In order to avoid misunderstanding, the Academy deem an accident and near-miss to be defined thus:-

Accident: "any unplanned or uncontrolled event that results in personnel injury or damage to property or equipment".

Near-miss: "an unplanned or uncontrolled event which does not cause injury or damage but could have done so." Examples include: items falling near to people, incidents involving vehicles, equipment, electrical short-circuits, etc.

2. Statement of Intent

In order to comply with legislation and fulfil statutory responsibility, the Academy will make sure that:

- All accidents and incidents are reported and recorded locally and investigated.
- All notifiable incidents are reported Centrally and to the Health and Safety Executive (HSE).
- Appropriate corrective and preventive action is taken to ensure the safety of employees, students, contractors, visitors and members of the public.

The Trust Board and CEO is ultimately the recognised responsible people within the organisation. In practice, the responsibility is delegated to the Principal who manages the Academy on a day to day basis. The Principal has specific areas of responsibility but has delegated defined duties to support staff. Please see the Organisation and Responsibilities section for details.

3. Organisation and Responsibilities

All accidents and incidents must be reported, however minor. This includes those occurring off-site on trips, visits and sporting fixtures. To achieve this, the following procedure should be adopted and all staff should fulfil their responsibilities.

3.1 Principal

- Ensure systems and resources are in place to report and investigate accidents/incidents on academy premises, during educational trips, visits and off-site activities that involve students, in accordance with this procedure.
- Bring to the attention of all employees and contractors the accident/incident reporting procedure.
- Consider the recommendations made in accident/incident and investigation reports to prevent the re-occurrence of similar accidents.
- Assess accident/incident statistics on a regular basis to identify any trends, and ensure appropriate remedial action is taken.

3.2 Academy Health and Safety Lead

- Consult with Principal / SLT / Managers / Senior Estates Managers and / or Judicium and advice on the level of investigation required in line with Section 5.3.
- Consult with and advise Principal / SLT / Managers on the number and spread of staff that are required to complete the Accident Reporting and the Accident Investigation course.
- Monitor the implementation of this procedure and take appropriate action in conjunction with Principal / SLT / Managers to ensure it is followed.
- Ensure that accidents and incidents and communicable diseases are reported to the HSE in accordance with the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) and where required are investigated, with a view to identifying immediate, underlying and root causes to prevent or reduce the likelihood of similar occurrences.
- Assist Managers and HOD's to ensure reporting lines are met as per Section 4.2.
- Notify Principal, SLT and Managers of any accidents/incidents reported to the HSE and request further

information, evidence or an accident investigation when necessary.

- Assist Accident Investigators, Principals, SLT, HOD's and Managers where required.
- Lead high and specialist level accident investigations, with assistance from Accident Investigators, Principals, Estates Team and produce an overview report.
- Ensure asbestos incident, gas incident or dangerous occurrences are recorded on the Accident Report form.
- Where an incident has been caused by a contractor, complete an Accident Report form and record on central reporting database.
- Collect and collate data of reportable and non-reportable incidents to assess trends and provide statistics and reports to the Health and Safety Committee.
- If necessary, liaise with the Judicium Health and Safety Consultant and your Regional Estates Manager during accident investigation.
- Keep record of all incidents and investigations reports relating to staff and contractor accident / incidents for 3 years after the accident, student's accident records 3 years after their 18th birthday. Accident Records of SEN students should be kept until the student turns 31 years of age.

3.3 SLT/HOD/Managers

- Actively encourage employees to promptly report all accidents and incidents – in line with Section 5.4.
- Actively manage and review the accidents / incidents reported in their area of responsibility.
- Ensure that all accidents and incidents in their area of responsibility are fully recorded on the Accident Report form (including contractors where appropriate).
- Ensure all accidents/incidents etc. are reported to the Health and Safety Lead as per Section 5.4.
- Report immediately any death or specified injury to the Principal by the quickest possible means (see Section 4.2).
- Ensure all accident incidents are investigated to establish immediate, underlying and root causes, see Section 5.3 for level of investigation required and by whom.
- Ensure reporting lines are met as per Section 4.2.
- After an accident/incident; implement the measures identified on the Accident Investigation to prevent or reduce the risk of further incidents or accidents (e.g. staff briefings, review risk assessments, arrange necessary training).
- Collate the necessary documentation according to the level of investigation (e.g. risk assessments, inspection reports/certificates, internal checks, training records that may be required as evidence in the event of a criminal prosecution or civil claim).
- Notify the Academy insurers as soon as practicable of accidents that may result in a claim.
- Ensure all relevant documentation is available to the Health and Safety Lead and the Principal / Principal.

3.3 Accident Investigator

- Complete the eLearning Accident Investigation course.
- Investigate accidents and incidents to ascertain immediate and root causes of accidents and complete an accident investigation report in conjunction with management and produce an action plan with remedial actions to prevent a recurrence.
- Obtain information and documentation required to support accident investigations (e.g. take witness statements, collate relevant documentation, take photographs)
- Support and assist the Health and Safety lead with accident investigations where required.
- Liaise with the Principal / Principal, SLT, Managers, Health and Safety Lead, Judicium during accident investigations.
- Ensure all relevant documentation is attached to the Accident Report form
- Ensure reporting lines are met as per Section 4.2.

3.4 Employees

- Report all accidents and incidents as per Section 4.2.
- Report minor pupil incidents (minor bumps and scrapes only) on the School Minor Accident Form.
- Assist with accident reports and accidents investigations as required.

3.4 Contractors

- Report all accidents and incidents to the Health and Safety Lead, where the incident takes place on Academy premises or on Academy activities but not within Academy premises, e.g. Principal Contractor compound or area of their own control.
- Assist the Academy with accident investigations as required.
- Report notifiable accidents / incidents related to their work in accordance with their own procedures.
- Ensure reporting lines are met as per Section 4.2.
- Following an incident, cooperate with Academy investigations.

4. Accidents Notifiable to the HSE as Per RIDDOR

4.1 Procedure

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. For detailed information of what needs to be reported, go to: https://www.hse.gov.uk/pubns/edis1.pdf

The following are examples of what needs to be reported to the HSE under RIDDOR:

- **Employees injuries and ill-health** - Injuries that prevent the employee from attending work for 7 days or more, fractures (Other than fingers and toes), any scalping requiring hospital treatment, loss of consciousness due to head injury of asphyxia, any injury leading to permanent loss of sight, any amputation of arm, hand, finger, leg, foot or toe, any crush injury causing damage to internal organs, any burn injury that covers more than 10% of the body or causes significant damage to the eyes, respiratory system or other vital organs, other serious injuries, reportable occupational diseases, e.g. carpal tunnel syndrome, severe cramp of the hand or forearm, occupational dermatitis, occupational asthma, fatalities.
- **Incidents to pupils and other people who are not at work** - the death of the person that arose out of or in connection with a work activity, 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).
- **Dangerous occurrences** - the collapse or failure of load-bearing parts of lifts and lifting equipment, the collapse of a scaffold, failure of a pressure vessel, 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.
  - **Gas Incidents**- are reportable by gas engineers when they find on premises equipment which is unsafe or dangerous to the extent people could die, lose consciousness or requires hospital treatment
  - **Asbestos Incidents**-Exposure to asbestos is reportable when a work activity causes the accidental release or escape of asbestos fibres into the air in a quantity sufficient to cause damage to the health of any person. These types of asbestos incidents are classed as a dangerous occurrence. Such situations are likely to arise when work is carried out without suitable controls, or where those controls fail to control exposure, these would be classed as a 'dangerous occurrence' under RIDDOR and should be reported.

If there is a fatality or an injury that meets the HSEs Specified Injuries classification or a Dangerous Occurrence (e.g. something happens which does not result in a reportable injury, but which clearly could have done) involving an employee, student, contractor, or member of the public (on Academy or activities), the Health and Safety Lead / Principal must report to the HSE by the quickest possible means, see Section 6 for reporting details.

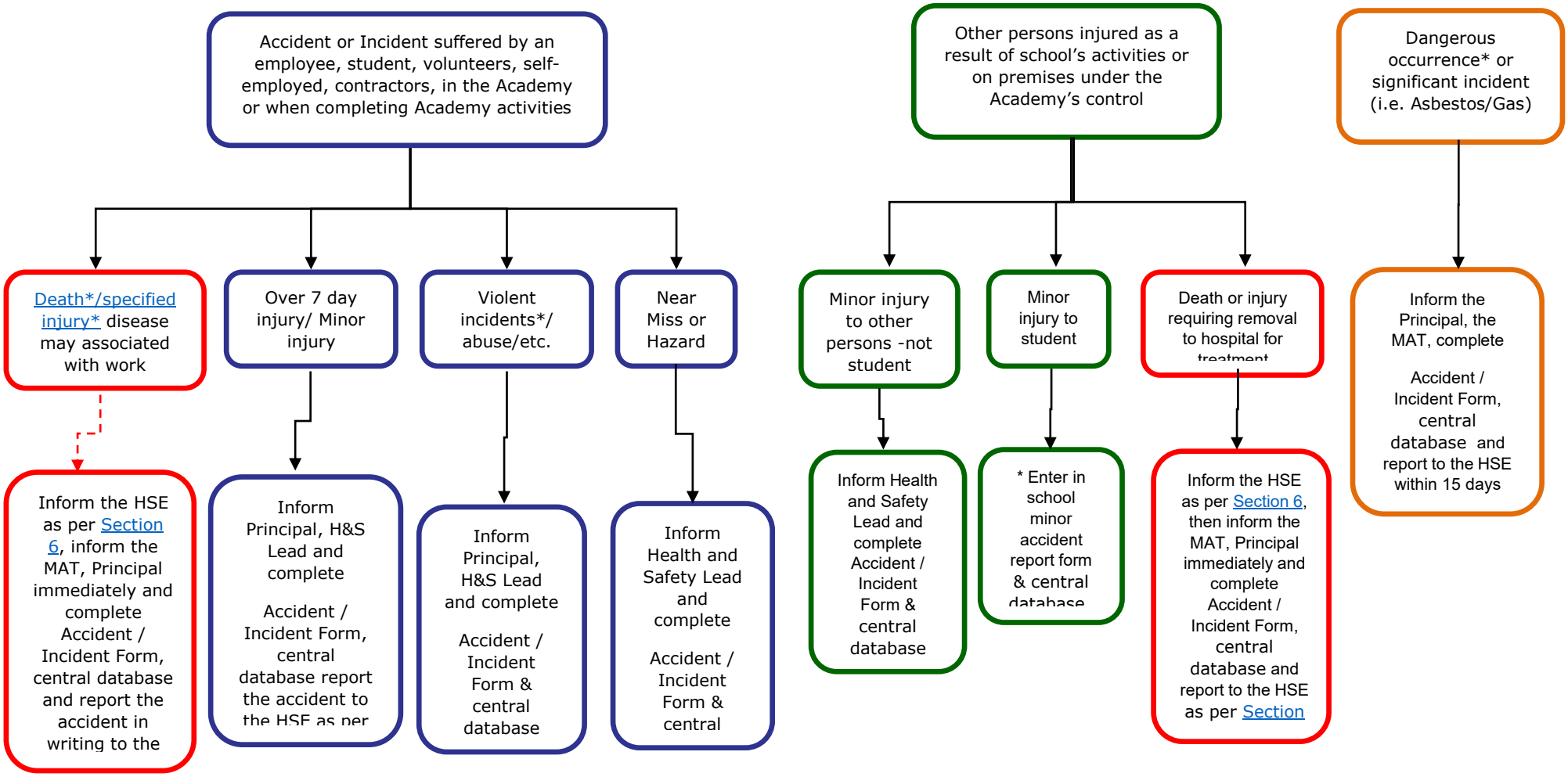
All accidents and incidents (injury and non-injury), reportable diseases and work related sickness absence involving employees or non-employees on (e.g. students, contractors, visitors, members of the public) shall be recorded in a prompt manner on the relevant form - Accident Report or Minor Report from. Accidents that are recorded on the Accident Report form should be passed to the relevant manager for review, once the form is fully completed, it should be passed as soon as possible to the Health and Safety Lead. Pupils at school who

suffer injuries which are not so serious as to cause them to be taken from the site of the accident to hospital for treatment, record the accident in the School Minor Accident Report form and copies are retained in School in a secure place.

The Principal must ensure that accidents, incidents and occurrences that fall under RIDDOR are reported to the Health and Safety Executive via the internet (http://www.hse.gov.uk/riddor/report.htm) as soon as practicable and in any event within 15 days of the accident, for more details, refer to Section 6. To ensure the Health and Safety Lead meets statutory reporting times scales, Managers must report incidents to the Health and Safety Lead in a timely manner (see Section 5.4).

If there is a reportable disease notified to the Academy by a doctor this must be reported to the Health and Safety Lead and to the Principal as soon as possible and followed up by completing the Accident Report form, an Accident Investigation and report this to the Health and Safety Executive via the internet (http://www.hse.gov.uk/riddor/report.htm) as soon as practicable and in any event within 15 days of the accident, for more details, refer to Section 6.

4.2 Action Guide for Accident and Incident Reporting



5. Accident Investigation

5.1 Procedure

The main purpose of accident investigations is to prevent reoccurrence. The Accident Investigation will be used to improve the management of health and safety by identifying immediate, underlying, and root causes (management system weaknesses that allowed the accident to occur).

It should be appreciated that the thorough investigation of accidents is essential, particularly where there may be the possibility of criminal proceedings by the enforcement authority and/or civil proceedings by the injured party or their representatives.

The level of investigation required must be based on the significance of the incident or potential significance and a competent person must be appointed to lead the accident investigation see Section 5.3.

An Accident Investigation report must be prepared for medium, high and specialist level investigations. The Accident Investigation Report and supporting evidence (documentation) should be presented to the relevant Principal / Manager. High and Specialist level Accident Investigation reports should be also presented to the Trust.

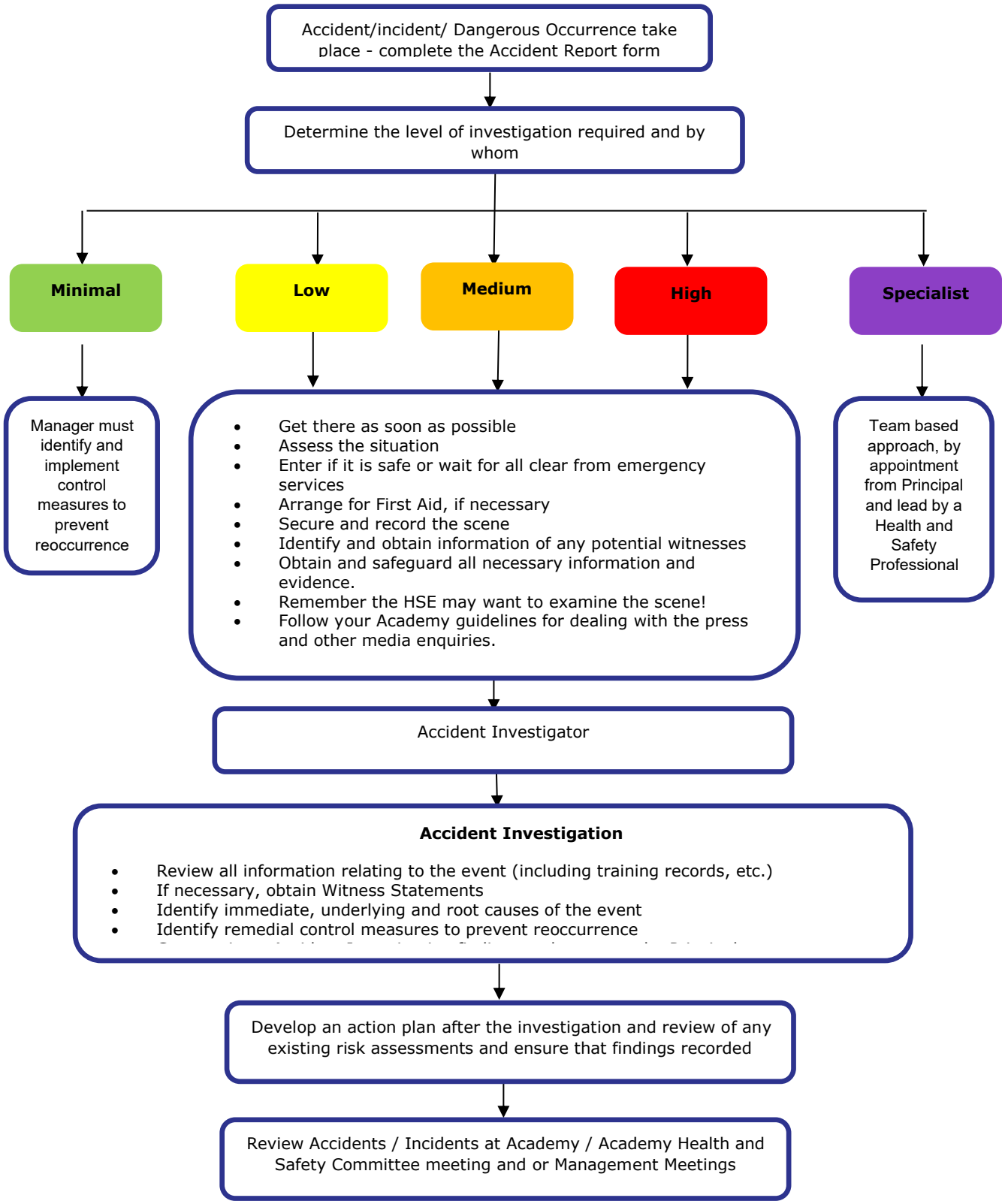
Accident investigation reports must be completed as per the time scales given on Section 5.4. Interim reports must be submitted within 5 working days. Where accident investigations reports will not meet these deadlines, the relevant Manager must be informed with a reason why and reasonable time scale for completion followed up with a further interim report.

In complex serious cases, it may be appropriate for Principal / Principal / Manager to lead a small investigating committee comprising of the responsible Manager, safety representatives, technical specialists, Judicium Health and Safety consultant, etc.

Examples of evidence documentation that must be collated for medium and high-level investigations along with the accident/incident report are:

- Training records
- Minutes of meetings
- Relevant procedures
- Risk assessments/method statements
- Engineering inspections
- Maintenance reports/certificates, inspection reports
- Statements, photographs, e-mails, etc.

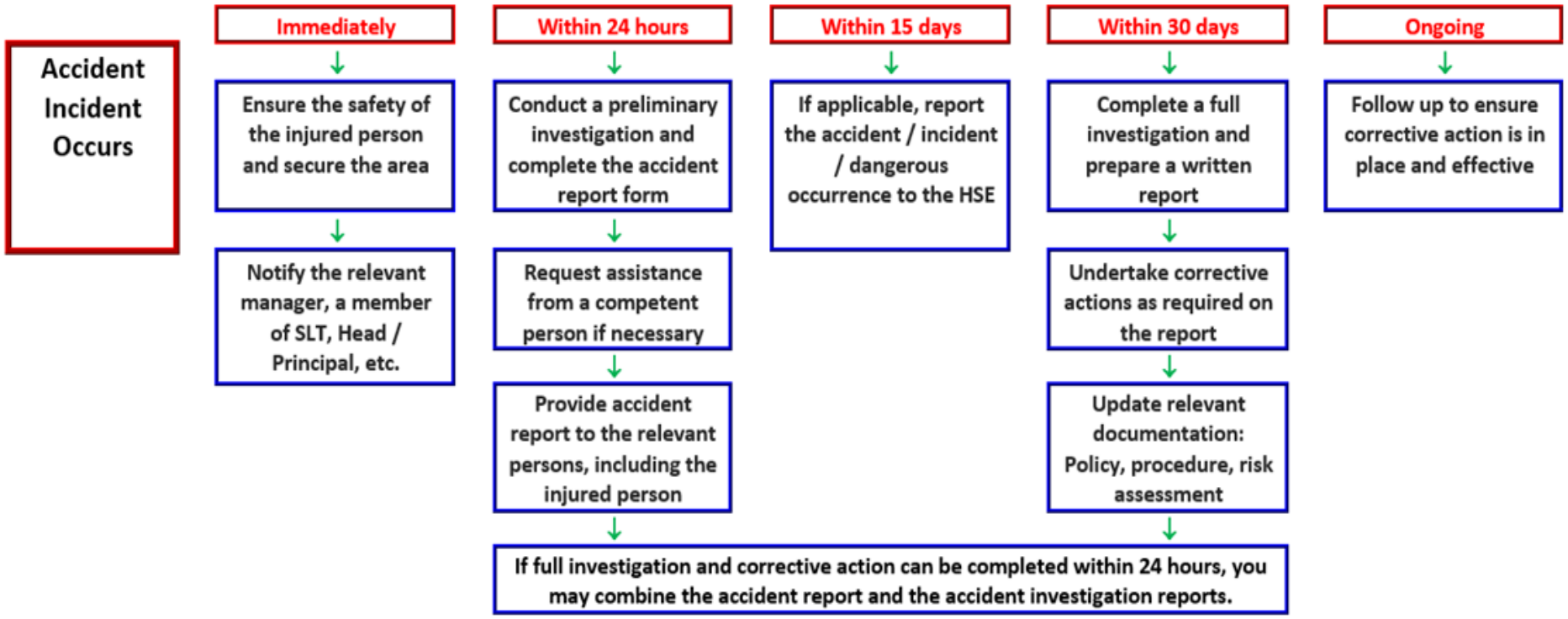
5.2 Accident/Incident/Dangerous Occurrence Management and Investigation



5.3 Level of Investigation Guide

Level of investigation	Level of Investigation Indicators	Investigated by	Competence required
Minimal	No harm or minor injury was sustained not requiring significant first aid assistance.	Line Manager or Health and Safety Lead	ELearning Accident Investigation course.
Low	A minor injury which may require significant first aid assistance or more serious harm resulting in up to 7 days off. A near miss that could have resulted in the equivalent results.	Line Manager or Health and Safety Lead	ELearning Accident Investigation course.
Medium	An over 7 days off work injury or a near miss that could have had equivalent results. A non-employee is taken directly to hospital. Any specified injury or near miss equivalent deemed unlikely to re-occur	Line Manager or Health and Safety Lead	Management of H&S course, IOSH Managing Safely or NEBOSH Certificate (equivalent) and as for Low and Medium
High	Serious injuries / Fatality Dangerous occurrence Near miss that could have had the equivalent results Reportable disease or Press Interest	Line Manager or Health and Safety Lead, supported by Judicium Health and Safety Consultant	Management of H&S course, IOSH Managing Safely or NEBOSH Certificate (equivalent) and as for Low and Medium.
Specialist	This will compliment Medium or High level investigations, where there is a need for a specialist report. For example structural engineers, field specialists, etc.	Specialist on appointment from the Principal.	Must be competent in their specialist field.

5.4 RIDDOR Reportable Accident Reporting and Investigation Process



6. HSE Contacts Details and Link

Only 'responsible persons', e.g. Principal, Health and Safety Lead and people in control of Academy premises should submit RIDDOR reports on Academy behalf.

Failure to report 'reportable' accidents is a criminal offence, the Academy / Trust can be sentenced in the Magistrates' Court with a fine up to £20,000, or in the Crown Court with an unlimited fine.

RIDDOR specify varying timescales for reporting different types of incidents, it is advisable to report the incident as soon as possible.

- Over-seven-day injuries must be reported within 15 days of the incident.
- Accident / Incident / Communicable Diseases that are reportable under RIDDOR, should be reported by the Academy to the HSE as soon as a registered medical practitioner (RMP) notifies in writing that the employee suffers from a reportable work-related disease. To make a report, go to: https://www.hse.gov.uk/riddor/report.htm.
- All incidents should be reported online but a telephone service remains for reporting fatal and major injuries only - call the Incident Contact Centre on 0345 300 9923 (opening hours Monday to Friday .30 am to 5 pm). In cases of a reportable death, specified injury, or dangerous occurrence, notify the HSE without delay and must report on the internet within 10 days of the incident.

The type of circumstances where HSE may need to respond out of hours are: -

- Following a work-related death.
- Following a serious incident where there have been multiple casualties.
- Following an incident which has caused major disruption such as evacuation of people, closure of roads, large numbers of people going to hospital etc.

If the incident fits these descriptions, ring the HSE duty officer on 0151 922 9235.

For RIDDOR Guidance for Schools, go to: https://www.hse.gov.uk/pubns/edis1.pdf