



 **McGEE**

Management of Accidents and Incidents.

Document Reference: MP18

Document Control

Version No	Prepared/Revised by	Review by	Date	Approval by	Date
V1	D Holmes	-	10/08/12	J Hennessy	10/08/12
V2	D Holmes		27/02/13	J Hennessy	27/02/13
-		Patrick Hennigan	13/06/16	J Hennessy	13/06/16
V3	Hira Shah	-	16/10/17	J McGee	16/10/17
V4	E Hobbs		28/08/18	J Hennessy	16/10/18

Amendment History

Version No	Date	Section/s Amended	Amendment Details
V2	27/02/13	5.1.1/2	Stage 2 accident report requirement removed
V3	16/10/17	All	Livelihood System replaced with Enterprise Data Management System & added 'review by' column in Document Control section. Updated shortlinks and document references
V4	2/10/18	All	Removal of all shortlinks in advance to IMS development Scope clarified to include all environmental as well as HS incidents Introduction of the role of Incident Response Lead Guidance on the initial notification and investigation content Summary flow chart outlining incident response

Table of Contents

1.0	PURPOSE	4
2.0	SCOPE	4
3.0	GLOSSARY AND DEFINITIONS	4
4.0	RESPONSIBILITY	4
	RESPONSIBILITIES OF DIRECTORS AND SPC	5
5.0	INCIDENT RESPONSE PROCEDURE	6
5.1	ACCIDENT INVESTIGATION	8
5.2	INITIAL AND IMMEDIATE INCIDENT NOTIFICATION CONTENT	8
6.0	SIGNIFICANT INCIDENT MANAGEMENT AND INVESTIGATION	8
6.1	COMMUNICATING WITH ENFORCING AUTHORITIES	9
6.2	INITIAL RESPONSE	9
6.2.1	<i>Action by the senior person in charge SPC at the scene:</i>	9
6.2.2	<i>Action by the Contract/Facility Manager/Director</i>	9
6.2.3	<i>Where No legal advice required</i>	10
6.2.4	<i>Where legal Advice may be required.</i>	10
6.2.5	<i>Action by the Investigation Team</i>	11
6.3	DEALING WITH MEDIA AND THIRD PARTIES	11
7.0	NEAR MISS REPORTING AND INVESTIGATION	12
7.1	DAMAGE AND ENVIRONMENTAL INCIDENTS	12
8.0	RIDDOR	13
8.1	ACCIDENTS RESULTING IN INJURY	13
8.1.1	<i>Injuries which are Notifiable and Reportable</i>	13
8.1.2	<i>Injuries preventing normal duties for more than 7 days</i>	13
8.1.3	<i>Non-notifiable lost time Injuries</i>	13
8.1.4	<i>Duty to Notify and Report</i>	14
8.1.5	<i>Duty to Keep Records</i>	14
8.2	REPORTABLE DANGEROUS OCCURRENCES	14
8.3	DISEASES	15
9.0	EMERGENCY PROCEDURES	16
10.0	RECORDS AND IDENTIFYING TRENDS	16
11.0	APPENDICES	17
11.1	TYPICAL CONTENT OF THE INITIAL NOTIFICATION	17
11.2	INVESTIGATION GUIDANCE	18
11.2.1	<i>Investigators</i>	18
11.2.2	<i>The Investigation</i>	18
11.3	RELATED DOCUMENTS	22

1.0 Purpose

This procedure describes the processes for the action required in the event of an accident or incident during the operations of McGee Group (Holdings) Ltd , in relation to both the Health and Safety management system and control of the potential for loss to the company, its employees and those affected by any situation that arises.

2.0 Scope

This procedure is applicable to all offices, facilities and temporary worksites. Road transport operations are covered in a separate procedure and include lone working

The procedure includes the process for managing all levels of issues that could affect its employees and the future of the company.

An “Incident” covers any unplanned deviation from the planned operation resulting in any loss or damage, and so also includes Environmental Incidents

This document should be read in conjunction with Management Procedure MP10: Emergency Preparedness and Response.

3.0 Glossary and Definitions

IA	Internal Auditor
RIDDOR	Reporting of Injuries, Diseases, and Dangerous Occurrences Regulations 2013
HS	Health and Safety
SPC	Senior Person in Charge of the office, project, facility etc.
IRL	Incident Response Lead

4.0 Responsibility

It is the responsibility of the Health & Safety (HS) Director to ensure organisational compliance with this procedure.

The HS team is responsible for advising, assisting and monitoring the application of the procedure. The HS team will also assist in any investigation decided upon after any accident or incident has occurred.

The Senior Person in Charge (SPC) of any McGee Group (Holdings) Ltd Office, Workshop, Depot or Site is responsible for ensuring the requirements of this procedure are carried out.

In the event of an accident or incident the SPC must ensure that the accident scene is made safe but preserved as far as is practicable, with photographs to record the area. They must ensure that any items involved in the accident such as tools, plant, buildings and other structures, roads, personal protective equipment should also be kept for investigation purposes. Details of personnel involved or witness to the incident should be recorded.

The Internal Auditor's (IA) are responsible for the monitoring of all elements of the Integrated Business Process' effectiveness through audit and process review.

Generally All Staff are responsible for the following:

- Understanding the Company Safety Policy
- Developing a personal concern for safety for themselves and others
- Using the correct equipment for the job
- Reporting any safety issues or defects in equipment
- Avoiding any improvisation which entails unnecessary risk
- Being familiar with the emergency procedures for their workplace
- Reporting to their superior any accident especially those requiring first aid treatment, incident or near miss.

Responsibilities of Directors and SPC

These Guiding Principles have been accepted by the Directors and they must be adhered to:

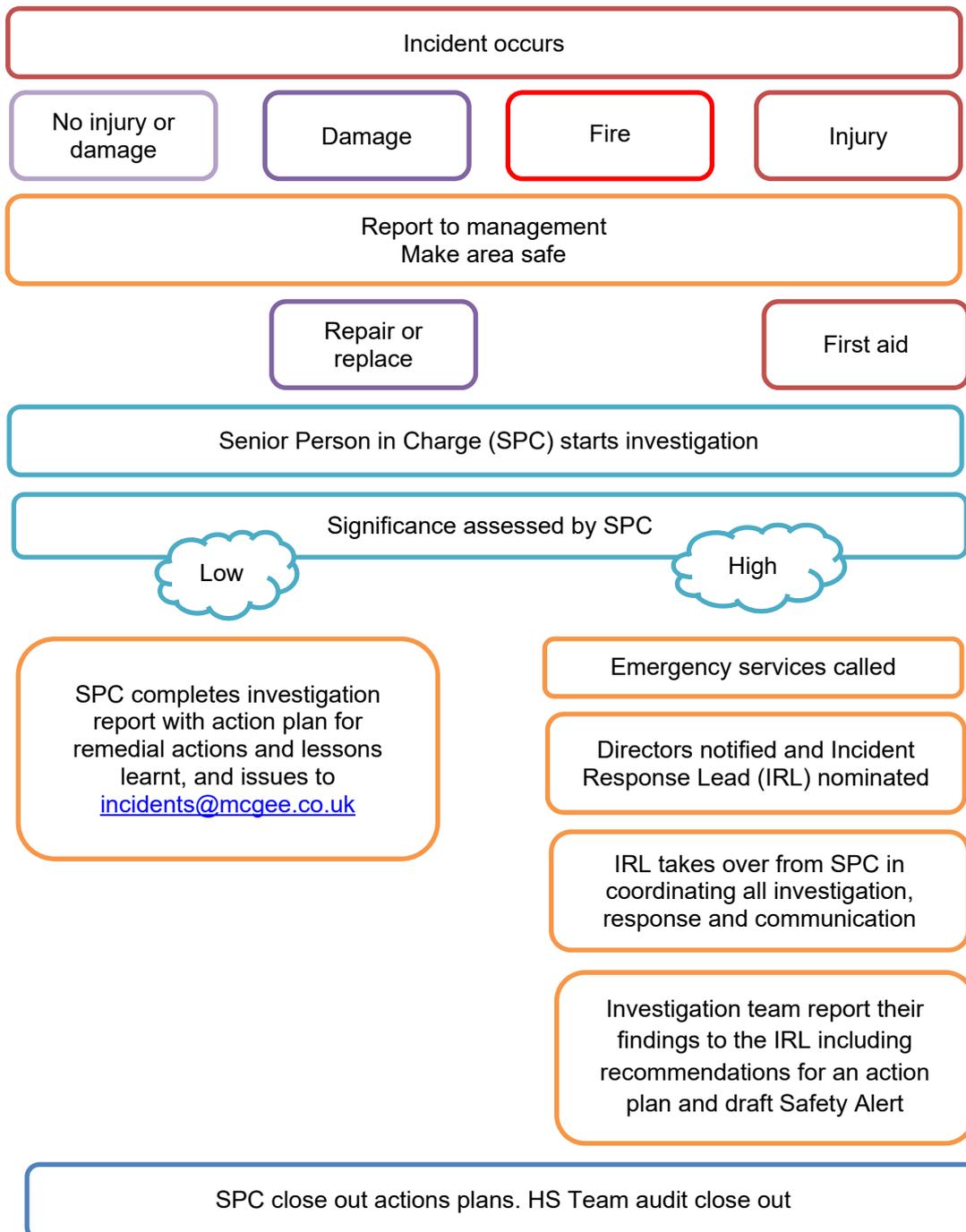
- a) Show sympathy and compassion for the victims and others affected
- b) Cooperate with regulatory authorities in their investigation directing them to the senior manager responsible for dealing with the incident.
- c) Director responsible to go to the site of the event if it is appropriate;
- d) Be willing to draw lessons from the facts and act on them to prevent a recurrence
- e) Personnel MUST NOT:
 - Communicate in an aggressive, defensive and legalistic manner
 - Attempt to pre-empt potential accusations by denying fault or putting others in the frame.

All Directors and senior managers are responsible for the activities taking place within their remit. At all times they are required to lead by example and to support their teams to follow the requirements of the McGee Group management system

5.0 Incident Response Procedure

This applies for all accident and incident reporting and investigation. Additional actions are required for Major or Significant Incidents resulting in fatalities, multiple injuries, multiple casualties, or catastrophic damage to public areas as detailed in section 6.0.

A summary of the process is shown in the following flow chart



The success of an investigation often depends on the correct action being taken as soon as possible. For this reason, some or all of the following steps should be taken (according to the particular circumstances):-

- a) The injured party, first aider or person witnessing the injury or dangerous occurrence shall report the incident to the Senior Person in Charge (SPC) by the quickest possible means.
- b) The SPC will take control of the scene and will decide on what actions are to be taken and who is to take them.
- c) The SPC will ensure that the area is safe, and the welfare of everyone involved with the incident must be considered. Witnesses should remain near the scene to assist with the investigation but their physical and mental wellbeing must be considered as a priority.
- d) First aiders and incident response teams will follow the emergency procedures if it is safe for them to do so
- e) The SPC will ensure that emergency services are called if required
- f) The SPC must ensure that any instructions must be clear and specific. People may be in shock or be in a state of confusion and panic.
- g) Steps must be taken and coordinated by the SPC to control any potential Secondary Accidents. It is essential that the area in which an accident occurs is checked thoroughly immediately after the event, so as to ensure that no further unacceptable risks are present. Examples of these dangers may be where an electrical accident has occurred (isolate all circuits) or where there has been a sudden release of flammable substances (mop-up or evacuate the area).
- h) The SPC will inform the SHE Director and the Operational Director responsible for the works, by the quickest possible means, following up with an initial email notification to the incident@mcgee.co.uk distribution list (typical content in Appendix 11.1)
- i) The SPC will keep the accident scene undisturbed as far as possible, record the names of those involved or witness to the accident and take photographs (if safe to do so) to record the scene prior to it being made safe.
- j) The SPC will also be required to act on instructions from the SHE Director or the regulatory authorities. More details can be found in these procedures.
- k) The SPC will instigate and lead the investigation using whatever resources they require. For Significant incidents, the SHE Director and their team will undertake the investigation
- l) After the investigation, the SPC is to complete the accident/incident report form and send the completed document to incidents@mcgee.co.uk at the earliest opportunity. The SHEQ departments are available to support the SPC in undertaking the investigation.
- m) If required, the SHE Director will notify the HSE as required under RIDDOR

- n) Any changes to the IMS or the safe system of work that have identified during the investigation, will be documented by the SPC. Implementation of the changes including training will be arranged by the SPC.

5.1 Accident Investigation

Although accident investigations have legal and moral significance, their PRIMARY function is to discover what went wrong, with a view to making recommendations which will prevent a recurrence. Despite preventive measures which may already be in place, some hazards will remain overlooked and not safeguarded. Additionally, some behavioural faults will also occur - it is impossible to supervise and control all activities at all times.

The accident/incident report should be produced using the McGee report template MF-SHE009.

Accident/Incident Investigators will require appropriate training in order to undertake and effective investigation.

Guidance on undertaking an investigation is within the appendices of this procedure.

5.2 Initial and Immediate incident notification content

Immediate notification to the SHEQ departments and to the board of McGee's is crucial to ensure that the right response is taken and that actions are taken to learn from any incidents. This notification should be made within an hour of the event

The immediate notification can be made by phone but must be followed up with the required email to incidents@mcgee.co.uk

The Incident response form in appendix 11.1 can be used to structure the notification, but use of the form must not delay reporting

Due to the immediacy of this initial report, it is understood that only the basic facts of the incident may be known and that there will be no conclusions or recommendation made

6.0 Significant Incident Management and Investigation

A significant incident is an event, and the aftermath to it, that has the potential to damage the organisation, employees and others, services, financial condition and reputation. Managers at all levels are expected to know and follow the actions in this document.

A significant incident includes any RIDDOR reportable Fatality or Major Injury, Multiple Injuries, and RIDDOR reportable dangerous occurrences

This is important as a planned response to an incident can lead to effective decision making and ensures that negative outcomes are avoided.

In certain circumstances the regulatory body may investigate an incident, which may lead to enforcement action being taken against the organisation and/or certain individuals. In this situation external legal advice may be needed to establish liability and a legally privileged report produced.

If there is any doubt the McGee legal department should be consulted with and no media communications released without the express permission of the McGee Managing Director or his Appointee.

6.1 Communicating with Enforcing Authorities

One senior manager will be appointed as communication channel to any regulatory body, by the McGee CEO. This person will be the only contact that can be used and that person will inform the regulatory authority of the set up.

6.2 Initial response

6.2.1 Action by the senior person in charge SPC at the scene:

- a) Ensure the emergency response procedure is being followed
- b) Make the area safe
- c) Quarantine all plant, equipment, materials and location as far as practicable
- d) Move all witnesses to a safe area and ensure they are being looked after
- e) Obtain details of the accident including numerous photographs of the whole area
- f) Contact their senior manager immediately with details of the accident, what is happening, emergency response and any enforcement/regulatory body involvement
- g) Record details of all calls, visitors, document and/or evidence movements, meetings held (not minutes) and other appropriate matters that occur. (these records should NOT be in the site diary)
- h) Act as initial single line of communication until the senior person is on site.
- i) Inform all on site that no communication must be undertaken by them with any one on behalf of the company.
- j) They should receive any enforcement officer or regulator and inform them who the senior person is that they can speak to.
- k) If the enforcement officer or regulator wishes to interview any person ensure they are aware that they are entitled to have another person present e.g. a lawyer. Should a regulator ask to hold interviews, then this information should be passed immediately to the line manager and the safety department. Arrangements for interviews should be dealt with by the senior person nominated to liaise with the regulator.

6.2.2 Action by the Contract/Facility Manager/Director

The actions required by the Senior Manager or Director with overall responsibility of the project or facility are:-

- a) The Senior Manager will take responsibility for leading the investigation by setting up an investigation team and assigning responsibilities to other managers. They will be known as the Incident Response Lead (IRL)

- b) All information from the managers and response team at the scene, and the investigation team must go through the IRL
- c) The IRL will provide regular updates to the MD, HS Director and HR Manager
- d) The IRL will contact the relevant Director responsible for Public Relations and also take legal advice, if appropriate
- e) The IRL will make arrangements for the welfare of anyone affected by the incident

The IRL will coordinate the implementation of the significant incident action plan.

The IRL will convene a meeting or telephone conference as appropriate, with the senior people involved in the previous actions and the Managing Director or his Appointee who will decide if legal advice is required. Should any summons for alleged H&S or EP offence be involved then our insurers should be informed.

Areas to consider regarding legal advice should be sought are:

- Is the incident to be investigated by a regulatory body?
- Is it likely that liability may attach to a part of the organisation?
- Is it likely that legal proceedings may follow?

6.2.3 Where No legal advice required

Managing Director or his Appointee or relevant person may require an investigation and report to be done. This investigation will be led by a nominated senior manager aided and advised by a suitable member of the safety department. The investigation and report will aim to identify the root causes of the incident and the necessary corrective actions to prevent a recurrence.

During the investigation the need for legal advice may arise. The nominated senior manager should then revert to action 4 and inform the relevant people, so they can decide on the way forward. These actions should be carried out before any report (even a draft) has been produced to ensure that the document(s) are covered by legal privilege.

6.2.4 Where legal Advice may be required.

Investigation team leader and safety advisor shall contact the legal advisors and consider whether legal advice is required as follows:

1. Contact legal advisors and brief them on the incident and actions to date. Need for legal advice should be discussed and decided upon. If the decision is that the advice is not needed then the process reverts to action 4a.
2. Legal advice is decided upon so the lead investigator Managing Director or his Appointee will issue instructions to the legal advisors to seek advice about the incident and likelihood of and type of legal action that may be brought and any liability that may attach to the organisation.
3. The legal advisors may request an interim report on the incident from McGee's, in order to advise on the incident. This will be confirmed in writing in which they will set out the requirements for the contents of the report.

4. If the legal advisors request a report the Managing Director or his Appointee will contact the Health and Safety Director. The memo will refer to the legal advisors letter, request the report to be carried out and this report will be legally privileged as follows
5. The report must be:
 - i. Marked on every page clearly: "Strictly Private and Confidential – Subject to Legal Professional Privilege"
 - ii. Refer to the fact the report is being produced in order to obtain legal advice pursuant to a request from the legal advisors, in the introduction.
 - iii. Set out on the first page the McGee personnel distribution list: Managing Director or his Appointee, H&S Director and the appointed PR advisor. No one other than those listed and certainly no one outside the organisation must receive or read a copy of the report. Any external circulation must be agreed with the McGee Managing Director or his Appointee and the legal advisor.

6.2.5 Action by the Investigation Team

- a) The investigation team will undertake the investigation as per section 5.2
- b) All other duties they may have will be assigned to others for the duration of the investigation
- c) The team lead will be expected to provide regular updated to the IRL only.

6.3 Dealing with Media and Third Parties

The McGee appointed PR advisor will:

- Collate all press reports
- Notify that all external media/family calls must be channelled through them.
- Liaise with relatives as appropriate
- Consider with the Managing Director or his Appointee/relevant person whether an early or indeed any statement should be made to the media.

The IRL and lead investigator should regularly advise the McGee PR advisor of progress and ensure that if required any statements to the media are up to date and accurate. The PR advisor will coordinate and draft any statements, deal with the press and other media and maintain press records and news reports.

The General Data Protection Regulations must be complied with at all times

The relevant person/lead investigator will keep everyone at the incident location involved and coordinate responses to enquiries.

Statements to other parties

No statements should be given at any time; statements should only be released on the authority of the Managing Director or his Appointee.

Security Issues

The security of records, computers, printers/copiers may be relevant, particularly to commercial matters. This must be discussed with the McGee Security/IT Advisors and other appropriate managers, prior to actions being taken to ensure security.

7.0 Near Miss Reporting and Investigation

A near miss is defined as “A **near miss** is an unplanned event that did not result in injury, illness, or damage – but had the potential to do so. Only a fortunate break in the chain of events prevented an injury, fatality or damage”

McGee's have decided that Near Misses must be assessed for their potential to have done harm and investigated as though they had been actual accidents. The procedure to be followed will therefore be as described in section 6, with the level of response determined by the SPC with assistance from the HS Advisor

7.1 Damage and Environmental Incidents

Where an accident occurs that results in damage to property of any type, or the environment is affected, these will also be reported and investigated as per the procedure outlined in section 6

8.0 RIDDOR

8.1 Accidents resulting in injury

8.1.1 Injuries which are Notifiable and Reportable

Incidents shall be notified without delay where any person, as a result of an incident arising out of or in connection with work, dies or suffers any of the following major injuries or conditions.

- 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);
- scalpings (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, heat-induced illness or requires resuscitation or admittance to hospital for more than 24 hours.

Work-related accidents involving members of the public or people who are not at work must be reported if a person is injured, and is taken from the scene of the accident to hospital for treatment to that injury. There is no requirement to establish what hospital treatment was actually provided, and no need to report incidents where people are taken to hospital purely as a precaution when no injury is apparent

8.1.2 Injuries preventing normal duties for more than 7 days

Where a person at work is incapacitated for more than seven consecutive days (excluding the day of the incident but including any non-working days) due to injury resulting from an incident at work, a report of the incident using form F2508 shall be sent to the enforcing authority within 15 days.

NB: Violence - has been defined as including 'an act of non-consensual physical violence done to a person at work'. This has the effect of making injuries arising from such acts and as defined above, reportable.

8.1.3 Non-notifiable lost time Injuries

Where a person at work is incapacitated for more than 3 but less than 7 consecutive days due to a work related injury, the HSE does not need to be notified but a written record must still be kept of the accident and the corrective actions taken to prevent a recurrence.

8.1.4 Duty to Notify and Report

All notifiable fatalities, major and over 7 day injuries and reportable dangerous occurrences shall be reported:

- f) Fatal and major injuries only must be notified immediately by telephone on **0845 300 9923** (Mon – Fri 0830 – 1700hrs)
- g) The 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
- h) All of the above should be reported to the relevant enforcing authority using form F2508 via the internet at www.hse.gov.uk/riddor asap in addition to any reporting carried out by methods a) and b).

8.1.5 Duty to Keep Records

Such records that are kept shall contain the following:

- a) in the case of injuries/conditions/dangerous occurrences:
 - date and time of incident or dangerous occurrence,
 - name of injured person, occupation, nature of injury/condition,
 - place where incident or dangerous occurrence happened,
 - brief description of circumstances;
- b) in the case of occupational diseases:
 - date of diagnosis of disease,
 - occupation of person affected,
 - name or nature of disease

8.2 Reportable Dangerous Occurrences

A reportable dangerous occurrence is something which does not result in a reportable injury, but clearly could have done and must be reported to the enforcing authority online at www.hse.gov.uk/riddor

Dangerous occurrences are certain RIDDOR listed non-injury events. Not every non injury event must be reported. There are 27 categories of dangerous occurrences that are relevant to most workplaces, for example:

- a) Lifting Operation - The collapse, overturning or failure of any load-bearing part of any lifting equipment, other than an accessory for lifting

- b) Overhead Power Lines - Plant or equipment coming into contact with overhead power lines;
- c) Electrical incidents causing explosion or fire - Electrical short circuit or overload attended by fire or explosion which resulted in the stoppage of the plant involved for more than 24 hours or caused a significant risk of death.
- d) Explosion or Fire - any unintentional explosion, intentional explosion or fire that causes injury or projectiles that leave the boundary of the site, or the failure of explosives to cause the intended extend to the damage or collapse during demolition.
- e) Collapse of Scaffolding - A collapse or partial collapse of any scaffold which is more than 5 metres high which results in a substantial part of the scaffold falling or overturning and where the scaffold is slung or suspended, a collapse or partial collapse of the suspension arrangements (including any outrigger) which causes a working platform or cradle to fall more than 5 metres.
- f) Conveyance of Dangerous Substances by Road - Any accident involving a vehicle conveying a dangerous substance by road where there is an uncontrolled release or escape from any package or container of the dangerous substance being conveyed; or any fire which involves a dangerous substance being conveyed.
- g) Breathing Apparatus - Any incident where breathing apparatus malfunctions in such a way as to be likely either to deprive the wearer of oxygen or, in the case of use in a contaminated atmosphere, to expose the wearer to the contaminant. This does not apply during maintenance or testing
- h) Structural collapse - the unintentional collapse or partial collapse of any structure which involves a fall of more than 5 tonnes of material, a fall of any floor or wall of any place of work arising from or in connection with ongoing construction work (including demolition, refurbishment and maintenance) above or below ground, or the unintentional collapse or partial collapse of any falsework.

8.3 Diseases

If a doctor notifies the Company that an employee suffers from a reportable work related disease, then the enforcing authority must be informed.

Reportable Diseases include the following:

- a) Certain poisonings
- b) Some skin diseases such as occupational dermatitis, skin cancer, chrome ulcer, oil folliculitis/acne
- c) Lung diseases including occupational asthma, farmer's lung, pneumoconiosis, asbestosis and mesothelioma
- d) Infections such as Leptospirosis, hepatitis, tuberculosis, anthrax, legionella and tetanus
- e) Other conditions such as occupational cancer, certain musculoskeletal disorders, decompression illness and hand-arm vibration syndrome.

9.0 Emergency Procedures

All McGee Group (Holdings) Ltd Offices, Stores, Depots, Workshops and Sites must put in place plans and procedures to cover the following foreseeable emergency situations arising: Many are covered within the Health & Safety or Environmental Management plans of the project, site, facility or office including

- a) Accident or Incident – person or property damage
- b) Fire and Explosion
- c) Terrorist Activity
- d) Unplanned collapse
- e) Transport for London (TFL) incident
- f) Environmental Incident

Everyone working in these areas must be trained on these plans

The following documents containing information from the plans must be completed and displayed in all McGee premises:

- a) Fire Action Poster
- b) First Aid in the Event of an Accident Poster
- c) Know your First Aiders Poster
- d) Your Work Area Team Poster

Further information on putting together these management plans are in **MP10** Emergency Preparedness and Response

10.0 Records and Identifying Trends

The Incident report for SHE009 should be used to record the facts of any incident. Supporting information including photos, witness statements, RAMS, competency records, site diary's etc., can be attached as appendices and all marked "for internal use only"

Relevant accident, incident, near miss etc details will be entered into the Company's Accident Log by authorised persons. This register will to be retained for a period of a minimum of three years from date of last entry and will comply with data protection requirements

The log is used to record the causation of the incident, body part affected, severity of the accident, time of accident, location, supervision, PPE being used, attendance on behavioural safety training, training received by injured person etc These will be filtered to establish any trends that are occurring allowing an assessment of system, training, PPE, supervisory and management improvements that may be needed to stop the trends identified, continuing.

Findings from all accident, incident, near miss and trend analysis will be circulated around the McGee organisation and passed on to other parties who may be affected by similar issues within the construction industry.

Records of certain accidents/incidents require that records are kept for 40 years.

11.0 Appendices

11.1 Typical Content of the Initial Notification

Initial Incident Notification - do not issue to external parties

1) If known, clarify what type of incident occurred from the list below:-

- a. Any incident involving members of the public, including visitors to the site (whether resulting in injury or not)
- b. Any incident that by its nature causes or has the potential to cause either industrial action, legal action or damage to the McGee Group corporate image
- c. Any incident that by its nature results in or has the potential to result in substantial costs to McGee Group
- d. Incidents requiring the implementation of the Emergency Response Plan
- e. Incidents which resulted in the attendance of any enforcement or regulatory authority or communications by them. Include details of who and when
- f. RIDDOR Reportable Accident (including the potential of an 'over 7 day' accidents)
- g. RIDDOR Dangerous Occurrences
- h. Environmental Incidents of widespread harm and/or requiring more than £1000 clean-up costs

2) Provide a brief description of the incident:

3) Provide details on the location of incident

4) Provide details on the immediate consequences

5) If a subcontractor was involved, provide details of their employer

6) If others were placed at risk. Provide details on who and how many

7) If it was an Environmental Incident, specify if it involved any of the following:-
Archaeology; Oil/chemical spill; Listed buildings; Dust/gas/fumes; Waste management; Noise/vibration; Ecology; Water Pollution; Other

8) Was it a Localised effect or the potential of Widespread harm

9) Clarify who has been notified prior to this recorded incident notification i.e MD, HS Director, HR, Contracts Manager, Operations Director, etc

10) What action has been taken to control damage/loss?

11.2 Investigation guidance

11.2.1 Investigators

There are several persons who may carry out the investigation. They include supervisors, managers, staff and health and safety advisers, Listed below are their respective merits:-

- a) Supervisors / Line Managers - often best placed to carry out investigations for the following reasons:-
 - They have a personal interest. Accidents affect work output, quality, profitability and every other aspect of the job.
 - They know the people and conditions. Their decisions may affect selection, training, standards and schedules. They already know much of the information that an outside investigator may have to seek.
 - They know where to get the necessary information. They know 'who knows what'. They already have lines of communications with other work groups.
 - They will take the remedial action. Line supervisors will know what will work and will not work. If they are directly involved in deciding the remedial action, they are more likely to see it through.
 - They benefit from investigating. When a supervisor takes control of an investigation, it demonstrates to other employees that they are concerned and conscientious. It also shows that supervisors have a certain amount of control over their workplace.
- b) Senior Managers including safety advisors may need to take control of investigations in certain circumstances. These include:-
 - Where there is a major loss or a high potential incident
 - Where the circumstances of the accident cross into areas covered by more than one supervisor
 - Where the remedial actions may have a broad scope or significant costs
- c) Staff - Occasionally, specialist knowledge is needed in an investigation. This could be of a new process, suspected equipment failure, use of hazardous materials or a complex situation. If technical expertise is required, it is usual for the specialist or staff member to become an advisor to the investigator, rather than taking over the entire investigation.
- d) Health and Safety Adviser - The safety practitioner is usually consulted to provide expert advice and is therefore considered as an adviser, although there may be circumstances where they will carry out the entire investigation.

11.2.2 The Investigation

Timing

The best time to start an investigation is as soon as possible after the event. The less time between the accident and the investigation, the better and more reliable will be the information available.

Facts will be easier to determine and more details will be remembered by those involved, while the conditions are more likely to be closest to those pertaining immediately before the accident.

Ideally, the victim should be the first person to be interviewed as they were most directly involved. However, their injuries may be serious or they may be suffering from shock. In such circumstances they should not be pressed for an explanation until they have recovered.

In cases of less serious accidents or where there are no injuries or shock, then the worker directly involved should be questioned at the earliest opportunity.

In the case of fire investigation, although not essential it is helpful if the investigator can be present during the fire or as soon as possible after it occurred. The exact area in which the fire started may be more readily apparent, although it may be obscured by smoke and heat, which may prevent close access. In such cases, they may also be able to gain useful information by watching the firemen at work. If they can photograph the course of the fire it may prove useful to the investigation.

Equipment

There are a number of items which may be required for an investigation, including:-

- Photographic equipment
- Portable lights
- Sketchpad, pencils and measuring equipment
- Notebook (and possibly a portable tape recorder)
- Sample collection equipment (bags, jars, envelopes etc,)
- Tools for cleaning debris or spillages

Investigation Procedure

Accident investigation involves three complementary actions:-

- Inspection of the scene of the accident to collect any information relating to physical conditions relating to plant, equipment and the building.
- Interviewing witnesses and any others likely to give information concerning any unsafe acts or practices which may have contributed to the accident.
- Summary of all available evidence and recommendations for future action to prevent a recurrence.

Inspection of the Scene

- a) Take a careful but detailed look at the scene of the accident from a distance, preferably from all sides, evaluating and noting the following points:-
 - Extent and severity of the damage
 - Damage to surrounding property
 - Environmental conditions (temperature, humidity etc,)

- b) Discuss the accident with those present. It is easy to upset people when asking questions about what has been done or not been done. However, casual remarks made during the initial inspection may be quite revealing.
- c) The investigator should talk to any personnel involved near the scene of the accident. This would also serve as an ideal opportunity to explain that the object of the exercise is to prevent recurrences, not to apportion blame or criticise.
- d) Take plenty of photographs. Take general views showing as much as possible from different vantage points and close-ups of any irregularities which may have contributed to the accident.

Interviewing Witnesses

Witnesses can be defined into three different categories:-

- **Primary Witnesses:** The victim. Only they will know exactly what the events were which led to the accident and they should be able to give a full account of their actions.
- **Secondary Witnesses:** The eyewitness. These are, in practice, quite rare. Usually, the eyewitness's observation begins immediately or soon after the accident has occurred.
- **Tertiary Witness:** These are people who can offer a variety of corroborative statements regarding the acts of people or environmental information relevant to the circumstances surrounding the accident.

Putting Witnesses at Ease

The primary consideration is to put the witness at ease, which can be best done by fully explaining the purpose of the investigation.

Witnesses can be further relaxed by encouraging their participation and involvement in the exercise. Ask their opinion and show interest in any ideas they may have about the possible causes.

Interview Location

If possible, interview at the scene of the accident as the witness may then use 'props' to illustrate points. It is usually much easier to clearly explain what happened, if witnesses are able to point out specific things and recall their actions related to specific locations.

Question Phrasing

A good principle to adopt during questioning is to ask:-

· WHAT · WHERE · WHEN · HOW · WHO

Questions starting with WHY will only put witnesses on the defensive and may even antagonise them. Typical questions might be:-

- WHAT happened?
- WHAT did you see?
- WHAT time was it?
- WHERE were you at the time?

- WHERE was the victim?
- WHEN did you realise something was wrong?
- HOW did it happen?
- HOW were you involved?
- HOW could it have been prevented?
- WHO else was involved?
- WHO else saw it?
- WHO reported it?

Attitude

The question "What happened?" will often promote the fullest response, It is important that the interviewer listens carefully and without interruption.

If necessary, ask questions after the witness has finished his or her account.

Do not disagree with any statement or judgment made by the witness.

Remember that what a witness believes to have happened will depend on how they perceived the situation, even though this may conflict with the actual facts.

Ensure that all relevant facts are covered.

It is also important to establish the level of experience and training of all witnesses, as this will add credence to their statement.

Conclusion of Interview

When the interview has been completed:-

- Read the statement back and make any additions or alterations,
- Try and finish on an up-beat note,
- Thank the witness for their assistance and ask for ideas and views.

Conclusions of Investigation

Your conclusions should point to unsafe acts and/or conditions which had a direct cause. It is possible that there will be more than one causal factor and all possibilities should be considered for inclusion in the final report.

All considerations should be included, no matter how minor.

For more serious accidents and incidents it is often worth including an opinion as to whether any statutory duties have been breached, although care should be taken regarding distribution of such matters.

Recommendations

This is the most important part of the investigation and the result of all previous endeavors. Without sensible, workable recommendations, the entire investigation process will have been a waste of time.

Consider all the causal factors identified in the conclusions and recommend the necessary action to be taken to remove or reduce those factors.

Bear in mind that all recommendations must be reasonably practicable. It is unreasonable to expect an organisation to spend £ 100,000 to prevent a minor cut, but it is entirely reasonable to recommend a course of action costing this much if it saves a life.

With the recommendations, a programme of implementation should also be presented. Suggest a time scale for remedies to be carried out and designate a person (usually the person making the recommendations) to make arrangements for the changes.

Ensure that checks are made as to the suitability of the solutions.

11.3 Related Documents

- McGee Health and Safety Policy
- MP10 – Emergency Preparedness and Response
- MP15 – Hazard, Risk Assessment and Controls
- Accident Report form for Personal Injuries MF-SHE009-A
- Incident Report form MF-SHE009-B
- Witness Statement template MF-SHE009-C
- SHE Inspection Reports Form
- Project Environmental Plan
- Project Emergency Spill Plan
- Work at Height – Rescue Plan
- Fire Action Poster
- First Aid in the Event of an Accident Poster
- Know your First Aiders Poster
- Your Work Area Team Poster