

Incident Reporting Guidance for Managers and Employees.

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1. Introduction

- 1.1 The Social Security (Claims and Payments) Regulations 1979 require employees to report workplace accidents to their employer either verbally or in writing. Employers are required to record and investigate workplace accidents and make available the incident record on request as stipulated in the regulations.
- 1.2 The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) puts duties on employers, the self-employed and people in control of work premises to report certain serious workplace accidents, occupational diseases, and specified dangerous occurrences (near misses).
- 1.3 This guidance document:
 - Provides managers and employees with information on reporting and recording of incidents (i.e. workplace accidents, near misses, work-related ill health and acts of violence, aggression and harassment).
 - Sets out responsibilities and timescales for reporting incidents and for recording them on the myHS Portal.
 - Provides information on the main accident/ill health report form.
 - Provides a summary of other reporting forms available on the myHS Portal (i.e. Unwanted fire alarm signals (UFAS) and Fire Incidents).
 - Provides guidance on how to escalate adverse events which needs to be escalated to senior management in addition to normal myHS reporting.

2. Work-related incidents

- 2.1 **Work-related accidents:**
- 2.1.1 An accident is a separate, identifiable, unintended incident, which causes physical injury. An accident is 'work-related' if any of the following played a significant role:
 - The way the work was carried out or supervised.
 - Any machinery, plant, substances or equipment used for the work.
 - The condition of the site or premises where the accident happened.
- 2.2 Accidents to members of the public and service users may also be work-related if the above conditions apply.

2.3 All work-related accidents should be reported using the Accident/incident report form.

Examples of work-related accidents	Examples of what's NOT a work-related accident
✓ Injured due to slips, trips or falls at work ✓ Injured when carrying out manual handling task ✓ Physical assault resulting in injury ✓ Injured due to faulty or damaged work equipment ✓ Injured due to defects or damage to the building or site environment	✗ Minor incidents such as paper cuts ✗ Incidents that occur during breaks, or travel to/from usual place of work ✗ Where no injury occurred (these should be recorded as a near miss) ✗ Insect bites or stings ✗ Feeling dizzy or faint (not due to work)

2.4 **Work-related near misses:**

2.4.1 A near miss is an event that does not cause harm but has the potential to cause injury or ill health. The same conditions stated above for work-related accidents are applicable in determining whether a near miss is work-related.

2.4.2 All work-related near misses should be reported on the relevant Near Miss reporting form, selecting No Injury Incident (Near Miss) as the Type of Incident.

Examples of work-related near misses	Examples of what's NOT a work-related near misses
✓ Shelf collapsed next to you, but didn't hit you ✓ Failure to follow working procedures which could have resulted in exposure to asbestos containing materials (but did not) ✓ Lifting equipment failure (e.g. hoist) when lifting a person or object, but did not result in an injury ✓ Tripping or slipping on a damaged, uneven or wet surface, but not injuring yourself	✗ Any incident where injury occurred (should be reported as an accident) ✗ Property damage where no one was nearby (as there was no risk of any person being injured) ✗ Threatening behaviour or harassment that could not have escalated to physical assault - (These are to be reported on the relevant form)

2.5 **Work-related ill health:**

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

2.5.2 All work-related ill health should be reported using the accident/incident report form.

Examples of work-related ill health	Examples of what's not work-related ill health
✓ Hand-arm vibration from using vibrating tools ✓ Noise-induced hearing loss ✓ Skin diseases, such as contact dermatitis ✓ Asthma, due to inhalation of respiratory sensitizers	✗ Stroke or cardiac arrest ✗ Feeling unwell due to stomach bug or flu virus ✗ Fainting ✗ Stress- related ill health ✗ Ill health due to existing medical condition, e.g. diabetes

2.6 The Reporting of Fire Incidents:

2.6.1 All Unwanted Fire Alarm Signal activations (i.e. false alarms) and Fire Incidents now need to be reported online using the UFAS and Fire Incident report forms, as appropriate.

2.6.2 Where a person is injured in a fire-related incident then this must also be reported as an injury using the accident report form.

3. Employee responsibilities for incident reporting

3.1 All employees must notify their line manager of any work-related incidents **as soon as possible**, and always before the end of their working day.

3.2 In the case of work-related ill health, this must be reported as soon as the employee receives the diagnosis from a medical practitioner (including the Council's occupational health provider).

3.3 If required, you can request a 'Submission Confirmation' from your line manager.

4. Line manager responsibilities for incident reporting

4.1 Line managers should ensure that any work-related incidents or near misses are reported to them are recorded on the **myHS Portal the same day, or within two working days**.

4.2 Line managers should ensure that appropriate arrangements are in place to enable employees to report incidents to them as soon as possible. This should be documented and communicated to the employees.

4.3 In such cases, a process should be established for how employees will report incidents to their line manager. This should take account of shift patterns, work base and access to ICT equipment.

4.4 Appendix 1 gives an example of a form that can be used by the employee to record the key information about a work-related incident, to be passed to the line manager for entry onto the myHS portal. This is an example only, and individual service areas may choose to use other methods.

4.5 Alternative arrangements must be in place if the employee is unable to contact their line manager, e.g. report to another supervisor/team leader, or to the line manager's manager.

4.6 Where an incident is reported on to the myHS Portal by a member of staff who is not the injured person's line manager, then details, including email address, of the relevant manager

should be recorded on the myHS Portal reporting form so that the manager receives a notification of the reporting form being submitted.

- 4.7 Managers and Supervisors are responsible for ensuring that a proportionate investigation is carried out in relation to incidents that are reported on the myHS Portal. It is important that incident causation is identified so that steps can be taken to prevent a recurrence if necessary. **Incident investigation guidelines for managers** can be found on the incident reporting page on the ORB.
- 4.8 Where required, Corporate Health and Safety can also provide support, advice and guidance to managers and supervisors when carrying out internal accident/incident or near miss investigations.
- 4.9 Line managers must ensure they provide feedback to the employee on the outcome of any investigation and any actions that have been, will be taken, as a result of the incident.
- 4.10 A 'Submission Confirmation' of the reported incident should be made readily available to the employee upon request at the time of the incident for their own record purposes (if the manager is not a myHS Licenced User they should request a copy from their service area local myHS Licenced User).

5. Incidents involving school pupils

- 5.1 Schools must keep their own records of pupil injuries or ill health. However, not all incidents involving pupils will be work-related.
- 5.2 An incident involving a pupil is work-related if it arises out of or in connection with work, including if any of the following apply:
 - 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).
 - The condition of the premises (e.g. poorly maintained or slippery floors).

- 5.3 This type of incident should be reported as work-related incidents on the Accident report form, ensuring that the 'incident work-related' box is marked as 'Yes'.

Was the incident work related *

⚠ You should select YES if the incident arose out of or in connection with a 'work activity'.

☒ Yes ☐ No

Examples of types of incidents involving pupils that are work-related

- ✓ Any accident where the pupil was taken direct from the scene of the incident to hospital for **treatment** and the incident arose out of or in connection with a work activity. Note: treatment does not include x-rays.
- ✓ Injury or near miss due to faulty or poorly maintained equipment or environment, e.g. slipped on wet floor or cut themselves on sharp table edge.
- ✓ Incidents due to lack of supervision or failure to follow a pupil support plan.
- ✓ Ill health due to school curriculum activities, e.g. exposure to noxious chemicals in science class.

- 5.4 Other types of incidents involving pupils that occur in schools should be marked as not work-related if they are submitted on the myHS Portal, using the appropriate form and selecting 'No' on the work-related box.

Was the incident work related *

⚠ You should select YES if the incident arose out of or in connection with a 'work activity'.

☐ Yes ☒ No

- 5.5 Examples of the types of incidents that are **not work-related include**:

Examples of types of incidents involving pupils that are **not** work-related

- ✗ Injuries from play/sport activities,
- ✗ Horseplay, e.g. swinging on chairs
- ✗ Norovirus
- ✗ Pupil self-harming behaviours

- 5.6 Pupil or young person challenging behaviour (e.g. violence, aggression or threatening behaviour) towards employees must be recorded on the myHS Portal as work-related incidents. Where behaviours occur regularly throughout a day, there is no need to record each incident separately and a summary report can be entered on to the portal of actions taken or required. However, should any behaviours result in injury to an employee, each incident must be reported separately for each employee who sustained an injury.
- 5.7 The service area (schools and directorate) is expected to carry out its own follow-up and investigations into incidents that are reported on the myHS Portal. The Corporate Health and Safety Team may follow-up on certain incidents to confirm the remedial actions are taken.

- 5.8 Pupil to Pupil incidents (e.g. fighting, abusive behaviour, etc.) should not be reported on the myHS Portal. These are behaviours of concern that would need to be followed up through other more appropriate channels and the details submitted on the **SEEMIS Portal**.
- 5.9 Sports related injuries are not considered as work-related incidents, unless the accident is caused by the condition, design or maintenance of the premises or equipment, or because of inadequate arrangements for supervision of an activity.

6. Incidents involving service users (Health and Social Care)

- 6.1 Care homes and social care services must keep a record of accidents, ill health and near misses involving service users, as well as medication errors, as required by the Care Inspectorate.
- 6.2 The Corporate Health and Safety Team monitor and report on these incidents.
- 6.3 The following types of incidents should be reported as work-related incidents on the **Accident/incident report form**, ensuring that the 'incident work-related' box is marked as 'Yes':

Was the incident work related *

⚠ You should select YES if the incident arose out of or in connection with a 'work activity'.

☒ Yes ☐ No

Examples of types of incidents involving service users that are work-related

- ✓ Injury due to unsafe environment, e.g. tripped over damaged carpet tile, or slipped on wet floor.
- ✓ Injury due equipment faults or damage, e.g. hoist failure, or sensor alarm defects.
- ✓ Injury from omission to follow care plan, e.g. falling out of bed due to bedrails not being raised.
- ✓ Death of a service user if a work activity was being carried out at the time e.g. hoist failure while lifting a service user, service user falling out of bed while personal care was being administered.

- 6.4 **Other work-related incidents (Medication Errors)**
- 6.4.1 All medication incidents e.g. medication not given, incorrect dosage given, missed visit to service user etc... are to be recorded as '**work-related**' incidents and are to be reported using the **Medication Error** form on the myHS portal.
- 6.5 For all non-work-related incidents then you are to select '**No**' on the work-related box.

Was the incident work related *

⚠ You should select YES if the incident arose out of or in connection with a 'work activity'.

☐ Yes ☒ No

6.6 Examples of the types of incidents reported in this way include:

Examples of types of incidents involving service users that are not work-related	
✓	Slipped or tripped e.g. on ice, uneven pavement etc. while going to visit a service user.
✓	Unwitnessed fall of service user.
✓	Death of a service user if no work activity was being carried out e.g. found unresponsive at the time of any visit.

7. Incidents involving other types of people (excluding schools)

7.1 For other types of incidents which involve other types of person(s) (e.g. members of the public, contractors, etc.), and work-related, the **Accident/Incident** form should be used. Examples of the types of incidents reported in this way include:

Examples of incidents to report	Examples of Incidents NOT to be reported
✓ A person being injured due to a building or site being in an unsafe condition (e.g. tripped over loose carpet tile)	✗ Ill health (e.g. member of public fainting while visiting one of our venues)
✓ A person being injured due to contact with unsafe plant or equipment (e.g. electric shock)	✗ Slips, trips, falls where there was no defect (e.g. elderly person unsteady on their feet stumbles and falls at our premises)
✓ A person being injured as a result of an interaction with Council employees (e.g. accidentally injured by something an employee did)	✗ Suicide or attempted suicide in our buildings, bridges or monuments
	✗ Incidents in swimming pools requiring lifeguard intervention*
	✗ Person found unresponsive (e.g. due to suspected substance misuse or critical medical condition)

7.2 These types of incidents should be reported on the most appropriate reporting form, which will in most cases be the Accident/ill health form.

7.3 Where an incident involves a third party during a school let activity, it is the responsibility of the Let Group Leader or responsible person to report the incident as per their reporting procedure. Let activity incidents are not to be reported using the myHS portal.

8. Incidents on construction sites

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

9. Escalation of serious incidents

9.1 **Line Managers (and duty holders)** are responsible for ensuring that this incident escalation arrangement is in place and communicated.

9.2 If you believe, or are unsure if, the event you are dealing with needs to be escalated – then escalate. You should always contact your Line Manager, who will make the decision, but there may be others that need to know too, for example:

- Your Service Area Manager who may wish to deploy additional resources (personnel etc.) to the scene.
 - Corporate Health and Safety so that any wider Council implications can be addressed, to provide advice on making a scene safe and also to secure evidence and instigate an investigation (if required).
 - Trade Union Safety Representatives who also have the right to investigate events on behalf of their members.
- 9.3 Your Service Area Manager (taking account of advice from Corporate Health and Safety and other relevant departments) will determine if the Chief Executive Officer, Directors, Monitoring Officer, our Insurers or City of Edinburgh Council Media need to be informed.
- 9.4 Incidents where escalation may be required could include (but are not limited to):
- A fatal accident to an employee, contractor or member of the public arising from a work activity.
 - A serious injury being sustained by an employee, contractor or member of the public in relation to a work activity being undertaken.
 - A fire, explosion or electrical incident.
 - Disturbance of a material that is assumed to contain asbestos.
 - Any suspected case of legionnaire's disease being reported.
 - An outbreak of a communicable disease.
 - Incidents related to extreme weather events.
 - A near miss incident occurring where no harm was caused but there was the potential for a serious injury to have been sustained.
 - Any other event that has the potential to significantly and negatively impact on the community, the services the Council provides or the Council's reputation.
- 9.5 Different types of incidents are likely to require different responses. The premises/site health and safety duty holder or line manager is responsible for ensuring that appropriate escalation steps are taken and for ensuring that work does not continue until it has been deemed safe to do so.
- 9.6 Priority should be given to any emergency actions that need to be taken and for ensuring that any unsafe conditions are made safe before work continues.
- 9.7 The appropriate person(s) with management responsibilities within the service area should be notified. Corporate Health and Safety should also be made aware directly by email:
healthandsafety@edinburgh.gov.uk
- 9.8 It will also be important to secure any evidence that may be needed later for the purposes of any internal investigation or that may need to be examined by a regulatory body. This includes witness statements, photographs, physical items, etc.
- 9.9 Services areas may have their own significant occurrences reporting procedure, which run alongside this guide.

10. Using the myHS Portal

- 10.1 The Council's incident reporting system is the **myHS Portal**. Any employee with access to the ORB can access this to report a workplace incident.

- 10.2 There are TEN differing incident forms available on the myHS portal:
- **Accident/Incident:** This should be used to report all work-related incidents, that resulted in injury or ill health (also to be used for Dangerous occurrences and Asbestos Incidents).
 - **Near Miss:** This is to be used, for the reporting of incidents that could have resulted in injury but did not.
 - **Medication Error:** This is to be used, for the recording of all medication errors e.g. missed or wrong dose, wrong medication given etc.
 - **Violence and Aggression (with injury):** This is to be used, when there was an incident of violence and aggression, that resulted in an injury.
 - **Violence and Aggression (no injury):** This is to be used, when there was an incident of violence and aggression, that resulted no injury.
 - **Harassment:** This is to be used to report all cases of harassment towards staff.
 - **Abusive and Threatening behaviour:** This is to be used, for the reporting of incidents of abusive and threatening behaviour towards staff.
 - **COVID-19 Incident:** This should be used to report confirmed positive cases of COVID-19.
 - **Unwanted Fire Alarm Signal (UFAS):** This form should be used when the premises or site fire alarm activates for any reason other than testing (whether the Scottish Fire and Rescue Service attends or not).
 - **Fire Incident Form:** All incidents of fire are to be reported using this form.
 - **Smoking in the Workplace:** This should be used to report incidents of smoking in the workplace.
- 10.3 The manager must ensure that all work-related incidents are entered onto the myHS Portal. They may do this themselves or delegate this to another person (e.g. a business manager, business support officer, team leader, supervisor etc).
- 10.4 Regardless of the local arrangements in place, **all workplace accidents/incidents and near misses** must be entered onto the myHS portal by the end of the day, or within **two working days**. A **step-by-step guide** on entering work-related incidents into the portal is available on the ORB.
- 10.5 Managers can arrange incident reporting training for staff, by contacting the Corporate Health and Safety: healthandsafety@edinburgh.gov.uk
- 10.6 If the injured person who has reported the incident, wishes to obtain confirmation that the incident has been reported, they may request a 'confirmation of submission'; from the appropriate myHS licence holder for the service e.g. business manager, business support officer, head teacher or manager etc.
- 10.7 In care services, managers must make arrangements for non-work-related incidents involving service users to be recorded.
- 10.8 In schools, head teachers must have arrangements in place to ensure that incidents are reported in the correct way – i.e. recognising the difference between work-related and non-work-related incidents.

- 10.9 To review or edit records after they have been entered on the portal, you need to be a user licence holder and have permission approved for your designated area. This licence also allows the user to create and run reports.
- 10.10 Each service area has several Licensed Users (licence holders). If you are unsure who the licence holders in your service area are, contact the Corporate Health and Safety:
healthandsafety@edinburgh.gov.uk
- 10.11 Having a myHS licence enables you to review incidents that have been entered into the portal, allowing you to amend a submitted record (e.g. to include more information or the outcome from the investigation). It is worth noting that if you amend the record with absence dates you should notify Corporate Health and Safety. It also allows you to run reports which can assist in identifying any patterns or trends in the type and number of incidents being reported in your service area. Guidance for licence holders on how to do this is available on the Orb.
- 10.12 Changes to licences (e.g. transferring them from one person to another, deactivating licences where they are no longer required, or changes in levels of access) are carried out by Corporate Health and Safety. It is important that changes in personnel are communicated to Corporate Health and Safety so that these changes to permissions can be made. Please note you should never give you access and passwords to any other staff memeber as this is restricted to the licence holder.

11. HSE notifiable incidents

- 11.1 Corporate Health and Safety will report all notifiable incidents (i.e. RIDDOR-reportable) to the Health and Safety Executive (HSE). For most types of incidents, including:
- Accidents resulting in the death of any person.
 - Accidents resulting in specified injuries to workers.
 - Non-fatal accidents requiring hospital treatment to non-workers.
 - HSE specified dangerous occurrences.
- 11.2 There is a legal requirement to notify the enforcing authority without delay, and within at least 10 days of the incidents, so it is important that service areas report incidents promptly on to the myHS Portal, as well as contacting the Corporate Health and Safety team directly for the more serious incidents that occur.
- 11.3 For accidents resulting in the over-seven-day incapacitation of a worker, the enforcing authority must be notified within 15 days of the incident, so it is important to assist the Corporate Health and Safety team in prompt provision of information to enable a decision to be made about whether an incident is reportable under RIDDOR.
- 11.4 In cases of occupational disease, including those associated with exposure to carcinogens, mutagens or biological agents, the enforcing authority must be notified as soon as the confirmation of diagnosis is received by the responsible person in the Council (managers should notify Corporate Health and Safety as soon as any diagnosis is received so that a RIDDOR submission can be arranged).

12. Investigating incidents

- 12.1 It is the responsibility of relevant managers and supervisors to ensure that incidents are properly investigated, with relevant information recorded and uploaded on the myHS report.

The level of investigation should be proportionate to the incident. Incident causation should be identified so that steps can be taken to prevent a recurrence. Steps should also be taken immediately after an incident to ensure that any ongoing risk is addressed and the situation made safe. Feedback should be provided to employees on any action that has been, or will be, taken.

- 12.2 There are incident investigation guidelines to assist managers and supervisors, which can be found on the incident reporting page on the ORB.
- 12.3 The Corporate Health and Safety Team investigate all HSE notifiable incidents (and others where the organisation can learn from) and produce a confidential management report outlining findings and recommendations.

13. Useful Links

13.1 Quick Links:

- Corporate Health and Safety Team: heathandsafety@edinburgh.gov.uk
- Reporting an Incident (ORB): [Incident Reporting myHS](#)

13.2 Helpful Guidance:

- [Investigation Guidelines](#)
- [Reporting an incident on to myHS](#)

Appendix 1 Incident Report (example template)

Team:

For accurate reporting, it is important that you identify the place of work/service area where the incident occurred. Please enter your place of work/service area.

Details of person involved in Accident/Incident/Near miss

Was a person Involved?

☐

Yes

☐

No

Type of person – Pupil, Contractor, Agency, Elected Member, Employee etc.

Type of person involved:

If no one was involved insert 'no one' in the type of person.

Forename:

Surname:

Age:

Gender:

(not obligatory)

Occupation:

Staff

Number:

Address of person
including postcode and
telephone number:

Accident/Incident/III health Details

Was the incident work
related?

☐

Yes

☐

No

Date of
incident:

Location
(including
premises and
location within
premises):

Time of
incident:

Describe the incident – what happened:

Describe any immediate remedial actions taken:

Date incident was reported:

Time incident Reported:

If injury was sustained – describe injury:

Treatment Details

Was any form of treatment given? ☐ Yes ☐ No

Treatment details (include details of whether the injured person was taken direct to hospital from the scene of the incident and whether they received any treatment at hospital:

If an employee was involved, were they absent from work?

☐

Yes

☐

No

Any lost time excluding the day of the accident. Absences of 7 days or more are reported to the HSE. All RIDDOR Reports will be made by the Corporate HS Team.

Return to work date (if known)

Was the Police called:

☐

Yes

☐

No

Police details:

Number of Witnesses:

Names and contact details of witnesses or assailants:

Preventative Actions/Recommendations:

Include summary of incident causation, details (i.e. reference) of any risk assessment that is in place, steps taken to prevent a recurrence, any additional support required for the injured person or other employees.

Manager's Details

If the manager needs to be notified by e mail, enter their e mail address.

Full name:



E mail address:



Telephone number

Name of Person completing this myHS Report

If different from above

Full name:



E mail address:



Telephone number

Other People who may need informed

Full name:



E mail address:



Telephone number

Full name:



E mail address:



Telephone number

Please use additional sheets if required.