



## POLICY INSTRUCTION

### Accident, Incident and Near Miss Reporting Procedure for Defence Estates

Number: PI 11/10

Strategy & Policy Directorate Sponsor:  
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Date of issue: 22 Sep 10

Contact if different from Property Directorate Sponsor:

Who Should Read this: All Defence Estate’s staff and Military Personnel seconded to Defence Estates

When it takes effect: Immediately.

When it is due to expire: 21 Sep 11

Health & Safety

#### Equality And Diversity Impact Assessment

This policy has been Equality and Diversity Impact Assessed in accordance with the Department’s Equality and Diversity Impact Assessment Tool against:

**Part 1 Assessment Only (no diversity impact found).**

### 1. Document Aim

To detail the procedure to be followed to ensure all DE work related accidents, incidents<sup>1</sup>, and near misses<sup>2</sup> are entered onto MOD’s Incident Recording and Information System (IRIS) in accordance with MOD Policy<sup>3</sup>, and give guidance on how this interfaces with other incident recording, notification and investigation responsibilities.

DE Policy Instruction 09/09 is hereby cancelled and is to be removed from circulation.

### 2. Background

DE Policy Instruction 09/09 announced that from the 4 Jan 10 the newly formed DE Incident Notification Cell (DE INC) would be the sole conduit for recording DE accidents and incidents onto

<sup>1</sup> 2010DIN06-006: Environmental incidents (eg spills) will be reported through the Commanding Officer/Head of Establishment (CO/HoE) to their employing Incident Notification Cell or equivalent, by a person appointed by the CO/HoE.

<sup>2</sup> 2010DIN06-006: “An event that, while not causing harm, has the potential to cause injury or ill health”

<sup>3</sup> JSP 375 Volume 2 Leaflet 14 “Accident and Incident Investigation and Reporting”

IRIS but limited notifiable events to only those reportable under RIDDOR<sup>4</sup> or involving more than 1 hour lost time. This limitation is at odds with...

- a) Defence Board expectations<sup>5</sup> that Line Managers ensure that accidents, incidents and near misses are reported, thoroughly investigated, lessons are identified and actioned.
- b) The DESB mandate<sup>6</sup> that all Defence related accidents and incidents that harm, or have the potential to harm people or the environment, must be recorded on IRIS.

.... and is thus hereby withdrawn.

For full information on accident and incident reporting and investigation policy refer to:

- MOD Health and Safety Handbook, JSP 375 Volume 2 Leaflet 14
- DE Health and Safety Policy Manual, Section 3.04
- DE Leaflet "Guide to Accident, Incident and Near Miss Reporting within DE".
- Your local DE Health and Safety Adviser.

### 3. Revised IRIS (DE INC) Reporting Requirements

3.1 Line Managers are to ensure all work related accidents, incidents, and near misses<sup>7</sup> involving staff or visitors under their control are:

- Recorded in the local Accident Book/MOD Form 510 Accident Report Form (MF510).
- Reported to the DE INC and local DE Health and Safety Adviser as soon as practicable.
- Immediately notified to the HSE in accordance with section 4 where required by RIDDOR.

Notification shall be by the injured/effected member of staff or their Line Manager where the former is absent or incapacitated.

The responsibility to record RIDDOR defined Dangerous Occurrences on IRIS rests with the MOD Head of Establishment where the incident occurred. Where this is not DE, local arrangements are to ensure the host CO/HoE is informed as necessary to achieve this as well as notify the DE INC (see Annex B2).

Near misses are to be given equal importance for they disclose the same unsafe acts or conditions as real injury or ill health events.

3.2 The DE INC contact details are:

- Tel: 0121 311 2160 (Mil: 94421 2160) [supported by 24hr answering machine]
- E-mail: DE-CHSA Mailbox
- Web: DE Strategy & Policy Directorate/Information Portals/H&S Campaign: "Report an Incident".
- Fax: 0121 311 3707 (Mil: 94421 3707)
- Post (supporting documents only): DE INC, Defence Estates, Kingston Road, Sutton Coldfield, BR75 7RL

All DE workstations are to display the DE INC points of contact sticker (or equivalent). The sticker is to be issued to all staff with further supply available via the DE INC.

3.3 The minimum information required when reporting to the DE INC is:

- Name, Staff No, UIN, Date of Birth of injured person.
- Date, time and location incident occurred.
- Brief details of incident.
- Details of injury (if not known, part of body injured, e.g. injury to left arm)

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<sup>4</sup> Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (see definitions at Annex A)

<sup>5</sup> 2010din06-006 released Feb 10 and JSP 815 Defence Environment and Safety Management Manual Annex R

<sup>6</sup> 2008din06-019 released Jul 08.

<sup>7</sup> See JSP 375 Volume 2 Leaflet 14 or "DE Guide to Accident, Incident and Near Miss Reporting within DE" for event definitions.

- Name and telephone number of injured persons Line Manager
- A copy of the MOD Form 510 (Accident Report) and any subsequent update.

Additional information will be required following completion of the investigation.

### 3.4 Staff lodging on other TLB Establishments or on Detached Duty

Staff that work on or are visiting other TLB Establishments/Contractor controlled sites are to notify the Head of Establishment/controller of premises in accordance with site procedures as well as their parent unit. In the event of such an incident, the nominated point of contact is to be informed that the DE INC have reported the incident on IRIS.

### 3.5 DE Contractor Incidents

Accidents and incidents that involve DE engaged contractor activities are to be reported as above (bar the MF510) where they occurred outside a fenced-off area and put (or could have put) MOD personnel, plant, equipment or liability at risk. Such incidents are to be reported by the DE Host (SETL, Project Manager, etc) from information supplied by the contractor.

Events are not to be reported where: (a) they occur within a ring-fenced site to which the public/MOD has no immediate right of access, or (b) result in a contractor being hurt performing the activities for which he is engaged (e.g bangs his thumb using a hammer) that did not involve MOD plant, property or personnel. These are reported separately by the contractor.

Advice on any additional reporting or investigation requirements for events/activities that fall under MOD Safety Rules and Procedures in JSP 375 Volume 3 should be sought from the relevant Authorised Person, Authorising Engineer or PTS (Professional Technical Services).

### 3.6 Actions taken by DE INC

Upon notification, the DE INC are to:

- Notify the CESO DE and Service INC as appropriate.
- Enter the information provided and any subsequent update on IRIS ensuring all appropriate mandatory fields are completed.
- Advise the relevant Line Manager and DE Health and Safety Adviser of the IRIS generated reference number to be quoted on all associated correspondence and request details of local investigation findings.
- Where RIDDOR reportable, raise and submit F2508/F2508A reports to HSE within 10 days of the incident (see Section 4).
- Retain incident documentation in accordance with the requirements of the Data Protection Act. This information will not be accessed by others for any purpose (other than for legal reasons) without the consent of the person whose information is held.

Responsibility for ensuring the event is adequately reported, investigated and acted upon remains with the local DE management team with support from their relevant DE Health and Safety Adviser.

### 3.7 Investigation Report

In all but the more serious cases, the Line Manager is responsible for undertaking the initial investigation seeking or accepting the assistance of their Health and Safety Adviser as necessary to ensure MOD mandated/statutory requirements are complied with.

The Line Manager (or appointed lead investigator) shall raise and submit a report to senior management identifying the key findings and remedial actions required, taken or requiring further authority/funding.

A copy of this report is to be passed to the local DE Health and Safety Advisor to and the DE INC.

It is the responsibility of the local DE Senior Manager to ensure that any recommendations for remedial action contained within the report are acted upon without delay and implemented within a reasonable timescale.

## 4. Reporting Requirements under RIDDOR

To comply with RIDDOR, DE is required to notify the HSE of all work related fatalities and specified Injuries, Diseases or Dangerous Occurrences that occur within the UK and MOD Gibraltar<sup>8</sup>.

**Such events that occur elsewhere overseas are not governed by RIDDOR or this section and are not to be reported to the HSE.** Overseas areas must however comply with any host Nation requirement to report accidents and incidents to the local enforcement authority.

RIDDOR event definitions are summarised at Annex A. The Line Manager, in conjunction with the local DE Health and Safety Adviser, is to immediately determine whether a reported event falls under RIDDOR and if so meet the following notification requirements in addition to that at Section 3 above.

4.1 For cases of death or major injury, disease, or dangerous occurrence and other events requiring as soon as practicable notification (see Annex A), Line Managers are to notify the HSE without delay calling the HSE Incident Contact Centre (ICC) on 0845 300 9923.

- A reportable disease only becomes notifiable where a medical practitioner informs you that your employee suffers from a reportable work-related disease.
- The duty to report a RIDDOR Dangerous Occurrence to the HSE rests with the Controller of Premises<sup>9</sup> who should be informed where this is not DE.

4.2 Over-3-Day Injury: Injuries that are not defined as a RIDDOR “Major” but result in a person being absent from work or normal duties for more than three days must be notified within ten days of the incident occurring.

4.3 In addition, DE must follow up all RIDDOR notifications with a formal written report using HSE Form F2508/2508A within 10 days of the incident.

- The DE INC will perform this function.
- **Line Managers are to ensure** that the MF510 and investigation report are forwarded to the DE INC in sufficient time to allow this to be achieved within the 10 day deadline.

## 5. Staff Responsibilities

All employees are to be made aware of, and familiarise themselves with, the procedures for reporting accidents and incidents and the location where the local Accident Book or Accident Report Forms (MOD 510) are kept.

Staff shall report all accidents, incidents, and near misses to their line manager and any other persons as directed by local procedures, and cooperate fully with any investigation.

DE Health and Safety Advisers have access to IRIS for monitoring data and producing Directorates reports for their areas.

## 6. Accident Flow Charts

The following Flowcharts are provided in Annex B

- B1: Injury, ill-health or near miss Reporting Procedure for Defence Estates
- B2: Dangerous Occurrence Reporting Procedure Relating to DE Managed Contracts
- B3: Work Related Diseases Reporting Procedure for Defence Estates

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<sup>8</sup> Accidents/incidents for serving military personnel, who were on duty at the relevant time, are not covered by RIDDOR. However, the MOD has agreed with the HSE that accidents/incidents to military personnel that occur during routine work and training will be reported.

<sup>9</sup> The person having control of the premises at which, or in connection with the work at which, the dangerous occurrence occurred – e.g the Maintenance Management Organisation for plant rooms, constructions sites, etc under their control.

**Definitions:**

These are a summary of what is contained in RIDDOR. For further details contact a Health and Safety Adviser for more information.

1. RIDDOR Reportable requiring immediate notification to HSE and F2508/F2508A within 10 days.

- Any person dies as a result of an accident arising from or in connection with work;
- Any person at work suffers a major injury (see below) as a result of an accident arising from or in connection with work;
- Any person not at work suffers an injury as a result of an accident arising from or in connection with work, and is taken to a hospital;
- There is a Dangerous Occurrence as defined in RIDDOR (see below) including any accidental release of asbestos fibres;
- If a doctor or registered medical practitioner notifies you that your employee (past or present) suffers from a RIDDOR reportable disease.

2. Over 3 day injury – F2508 within 10 days.

- An injury arising from a work accident other than those mentioned above results in incapacity for work such that person(s) are unable to carry out normal duties for more than 3 consecutive days (excluding the day of the accident); or

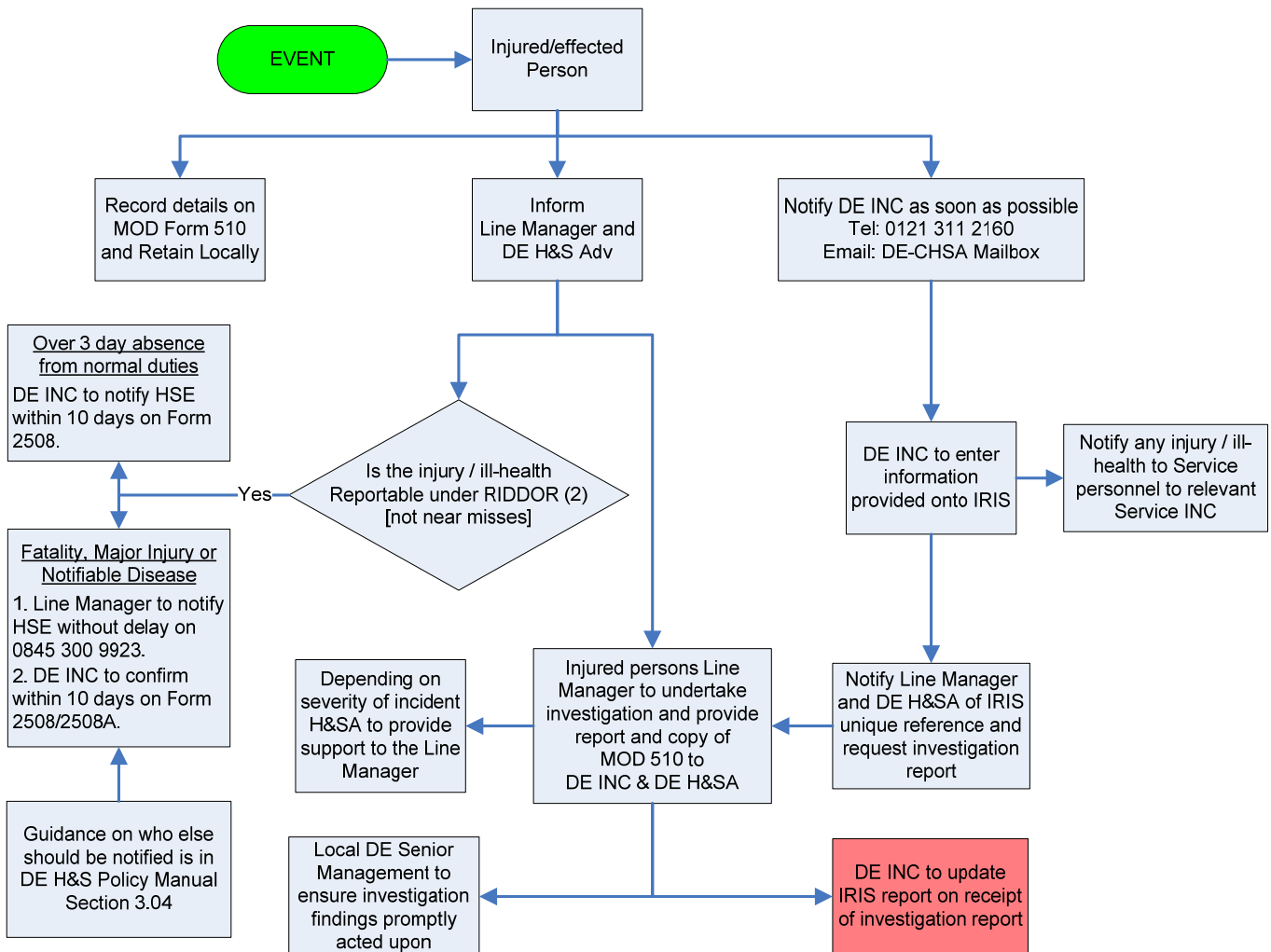
3. Major Injury - RIDDOR clarifies the criteria for reportable major injuries and defines them as:

- Any fracture, other than to fingers, thumbs or toes;
- Any amputation;
- Dislocation of the shoulder, hip, knee or spine;
- Loss of sight (temporary or permanent);
- A chemical or hot metal burn to the eye or any penetrating injury to the eye;
- Any injury resulting from an electric shock or electrical burn leading to unconsciousness or requiring resuscitation or admittance to hospital for more than 24 hours;
- Any other injury leading to hypothermia, heat-induced illness or to unconsciousness; requiring resuscitation; or requiring admittance to hospital for more than 24 hours;
- Loss of consciousness caused by asphyxia or by exposure to a harmful substance or biological agent;
- Either acute illness requiring medical treatment, or loss of consciousness, which result from absorption of any substance by inhalation, ingestion or through the skin;
- Acute illness which requires medical treatment where there is reason to believe it resulted from exposure to a biological agent or its toxins or infected material.

4. Dangerous Occurrences

Reportable Dangerous Occurrences are listed in RIDDOR. Due to the complexity of the definitions of Dangerous Occurrence advice on whether an incident is a reportable dangerous occurrence should be sought from the DE Health and Safety Adviser. A list of reportable Dangerous Occurrences is given in the attached flowchart in Annex B2.

## Injury, Ill-health or Near Miss<sup>1</sup> Reporting Procedures for Defence Estates



### 1: Near Miss:

An event that, while not causing harm, had the potential to cause injury or ill-health.

### 2. RIDDOR

#### RIDDOR Reportable

- Any person dies as a result of an accident arising from or in connection with work;
- Any person at work suffers a major injury (see below) as a result of an accident arising from or in connection with work;
- Any person not at work suffers an injury, who is not an MOD employee, as a result of an accident arising from or in connection with work, and is taken to a hospital;
- Any person not at work suffers a major injury (see below) as a result of an accident arising from or in connection with work at a hospital;
- There is a dangerous occurrence (see below);
- An injury arising from a work accident other than those mentioned above results in incapacity for work for more than 3 consecutive days; or
- A responsible person receives a written statement from a registered medical practitioner that a person at work suffers from a specific disease, and the person is involved in a corresponding specified activity (occupational disease).

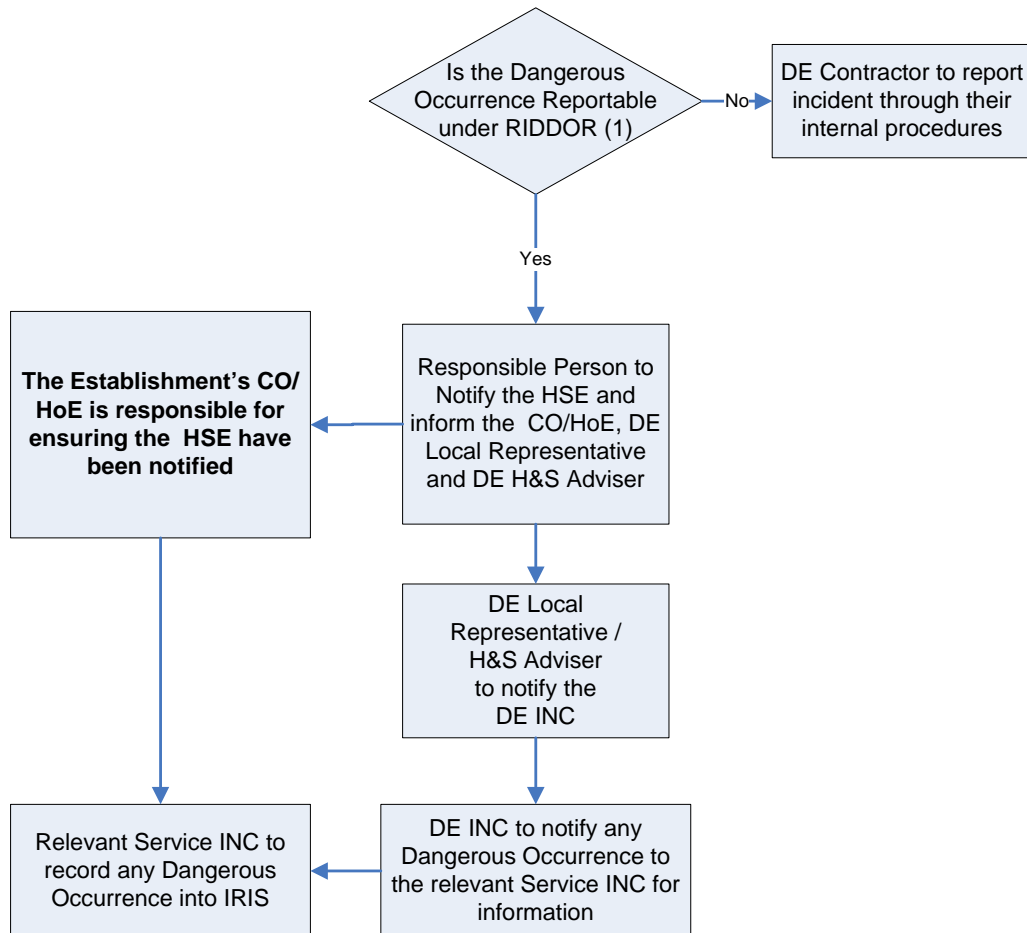
Major Injury - RIDDOR clarifies the criteria for reportable major injuries and defines them as:

- Any fracture, other than to fingers, thumbs or toes;
- Any amputation;
- Dislocation of the shoulder, hip, knee or spine;
- Loss of sight (temporary or permanent);
- A chemical or hot metal burn to the eye or any penetrating injury to the eye;
- Any injury resulting from an electric shock or electrical burn leading to unconsciousness or requiring resuscitation or admittance to hospital for more than 24 hours;
- Any other injury leading to hypothermia, heat-induced illness or to unconsciousness; requiring resuscitation; or requiring admittance to hospital for more than 24 hours;
- Loss of consciousness caused by asphyxia or by exposure to a harmful substance or biological agent;
- Either acute illness requiring medical treatment, or loss of consciousness, which result from absorption of any substance by inhalation, ingestion or through the skin;
- Acute illness which requires medical treatment where there is reason to believe it resulted from exposure to a biological agent or its toxins or infected material.

**NOTE: Any additional reporting requirements required by PPPA should be undertaken in accordance with their instructions. Details can be found on the People Services Portal or contacting PPPA on 0800 345 7772**

**In the event of an injury or fatality to a member of Her Majesty's Armed Forces working within Defence Estates, the Line Manager (civilian or military) or other member of staff is to make contact with the: [Tri-Service Joint Casualty and Compassionate Cell \(JCCC\)](#).**

**Dangerous Occurrence Reporting Procedure  
Relating to DE Managed Contracts**



**(1) Reportable dangerous occurrences are:**

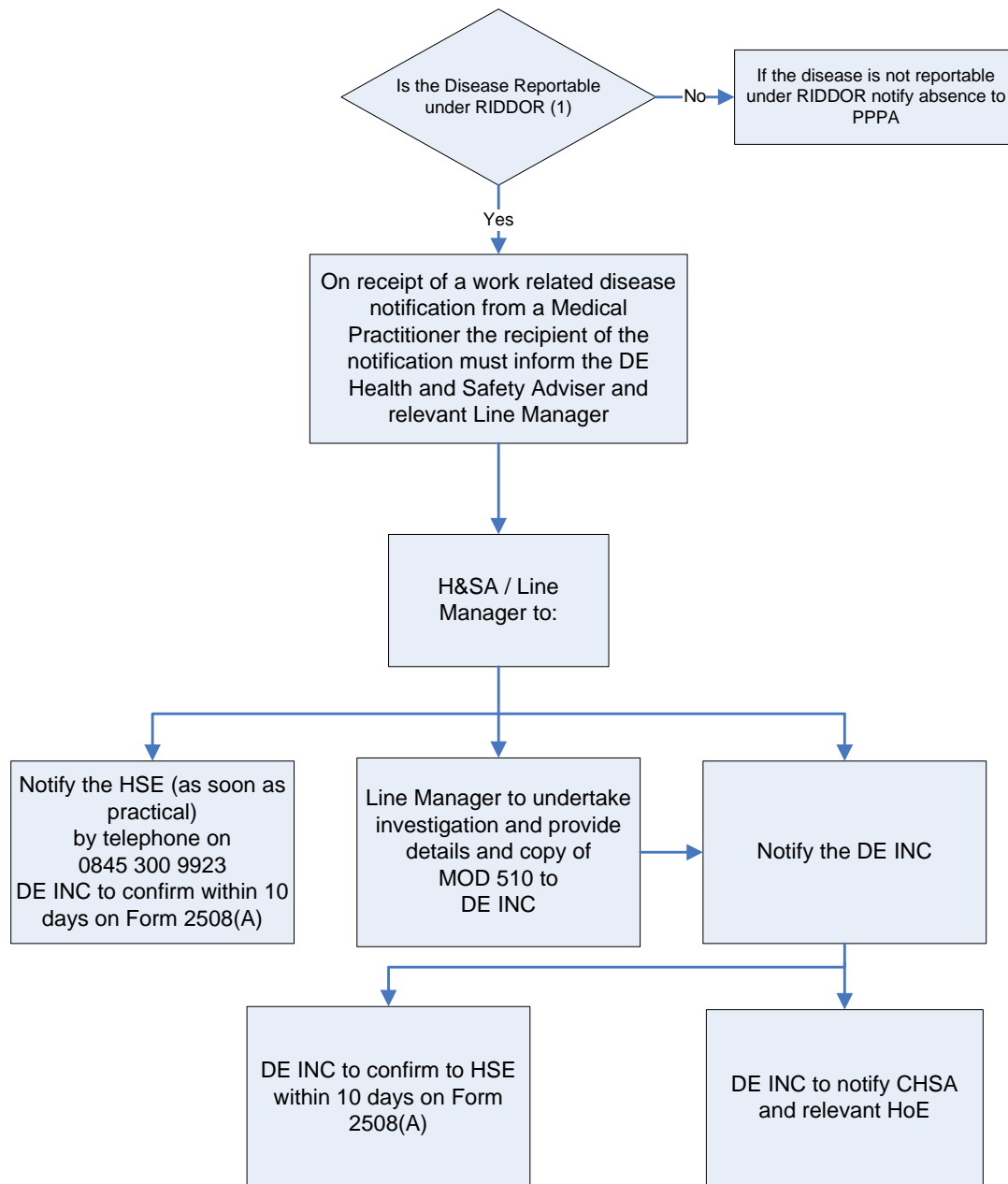
- collapse, overturning or failure of load-bearing parts of lifts and lifting equipment;
- explosion, collapse or bursting of any closed vessel or associated pipework;
- failure of any freight container in any of its load-bearing parts;
- plant or equipment coming into contact with overhead power lines;
- electrical short circuit or overload causing fire or explosion;
- any unintentional explosion, misfire, failure of demolition to cause the intended collapse, projection of material beyond a site boundary, injury caused by an explosion;

- Accidental release of a biological agent likely to cause severe human illness;
- failure of industrial radiography or irradiation equipment to de-energise or return to its safe position after the intended exposure period;
- malfunction of breathing apparatus while in use or during testing immediately before use;
- failure or endangering of diving equipment, the trapping of a diver, an explosion near a diver, or an uncontrolled ascent;
- collapse or partial collapse of a scaffold over five metres high, or erected near water where there could be a risk of drowning after a fall;
- unintended collision of a train with any vehicle;
- dangerous occurrence at a well (other than a water well);
- dangerous occurrence at a pipeline;
- failure of any load-bearing fairground equipment, or derailment or unintended collision of cars or trains;
- a road tanker carrying a dangerous substance overturns, suffers serious damage, catches fire or the substance is released;
- a dangerous substance being conveyed by road is involved in a fire or released;

The following dangerous occurrences are reportable except in relation to offshore workplaces:

- unintended collapse of: any building or structure under construction, alteration or demolition where over five tonnes of material falls; a wall or floor in a place of work; any false-work;
- explosion or fire causing suspension of normal work for over 24 hours;
- sudden, uncontrolled release in a building of: 100 kg or more of flammable liquid; 10 kg of flammable liquid above its boiling point; 10 kg or more of flammable gas; or of 500 kg of these substances if the release is in the open air;
- The accidental release or escape of any substance in a quantity sufficient to cause the death, major injury or any other damage to the health of any person (this includes asbestos).

## Work Related Diseases Reporting Procedure for Defence Estates



### (1) Reportable diseases

As a work related disease is only reportable if the employer is notified by a medical practitioner a full list of work related diseases has not been reproduced, the following is an example of work related diseases.

- certain poisonings;
- some skin diseases such as occupational dermatitis, skin cancer, chrome ulcer, oil folliculitis/acne;
- lung diseases including: occupational asthma, farmer's lung, pneumoconiosis, asbestosis, mesothelioma;
- infections such as: leptospirosis; hepatitis; tuberculosis; anthrax; legionellosis and tetanus;
- other conditions such as: occupational cancer; certain musculoskeletal disorders; decompression illness and hand-arm vibration syndrome.