

Health, Safety and Security

Accident Investigation Categories

It is University Policy that all work related accidents (injury related), incidents (damage related), ill health and near miss incidents are investigated. There is both a legal requirement to do so and a moral requirement to prevent recurrence. This approach is not to apportion blame, but to encourage continuous improvement.

All accidents and incidents therefore require a level of investigation and for the purpose of determining the facts surrounding the circumstances leading to the occurrence, root cause and importantly to identify any remedial control measures.

The level of investigation should be proportionate to the severity of the accident, incident or near miss, or its most probable potential severity. Not all investigations require the same level of time, resource and effort.

Investigations are generally the responsibility of the manager who has control of the activity or area, or line manager of the injured party. However, the more significant and serious the accident, the involvement of the Health, Safety and Security Department (HSSD) will provide appropriate support as required.

A guide to the level of investigation for a range of occurrences is categorised below:

1. **Category 1 - Accident/Incident Investigation**

This level of investigation will be led by HSSD, supported by the department manager who has primary responsibility for managing the activity, area or injured person. HSSD will issue a report of the investigation findings with agreed recommendations for the department(s) concerned to consider. The aim of this approach in providing a bespoke Action Plan and recommendations are to improve local arrangements.

This type of investigation will typically cover occurrences involving RIDDOR specified injuries, e.g. death, fractures, permanent injuries. It will also cover occurrences caused by significant management failings resulting in lost-time working, dangerous occurrences of a nature which has significant consequences or considerable disruption, e.g. the ceasing of operations for over 24 hrs.

2. Category 2 Accident/Incident Investigation

This type of investigation will be led by the departmental manager who has primary responsibility for managing the activity, area or injured person. This will be in close liaison and with guidance and support from HSSD. The manager will issue a report of the investigation findings to identify any root cause(s) and provide detailed remedial actions for the department to implement if necessary to achieve local arrangements and conditions.

This type of investigation will typically cover occurrences involving serious injuries, which would affect an injured person's ability to perform all their normal work duties e.g. lacerations, strains and sprains. It will also cover occurrences caused by management failings that can be simply corrected but has resulted in lost-time working, and/or minor disruption to local operations.

3. Category 3 Accident/Incident Investigation

This type of investigation will be conducted by a competent person, as directed by the departmental manager, with the primary responsibility for managing the activity, area or injured person. The manager will ensure a report of the investigation findings is issued. The report will identify root causes and provide actions for the department to implement using the standard investigation form action plan.

These investigations will typically cover occurrences involving minor injuries, e.g. small cuts and bruises with no loss of any lost-time working.

Additional guidance and information is available at:

http://www.york.ac.uk/admin/hsas/safetynet/contact_us.htm