

Incident Investigation Checklist

Evotix Number:

**NB: Only fill in the sections which apply. Not all sections will apply to each incident!**

Documentation required for ALL RIDDOR and SoPS incidents

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| **Incident Classification** - (Injuries, Diseases, or Dangerous Occurrence/s) – highlight which best applies.  **Note**: If an injury occurs and is reportable (under Reg 3) the dangerous occurrence should not be reported separately. If the injury is not reportable (under Reg 3) then the dangerous occurrence must be reported. |

Section 1 – Incidents and Diseases – Mandatory. All sections must be filled out

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| Type | Exists  (Yes/No/NA) | Attached on Evotix  (Insert tick)) | Comments |
| Accident Record |  |  |  |
| First Aider Report |  |  |  |
| Line Managers Accident Report |  |  |  |
| Incident Investigation (inc Why Why Analysis) |  |  |  |
| Pictures/CCTV images |  |  |  |
| Witness Statements (i.e Primary, Secondary, Tertiary, Expert (RIDDOR ONLY) |  |  |  |
| F2508 (RIDDOR) Report been added to the RIDDOR folder on the [SHE Drive](file:///J:/SHE%20Incidents) |  |  |  |
| Any regulatory correspondence |  |  |  |
| Minutes of any meetings where the incident was discussed. |  |  |  |
| Any previous accidents/incident in similar circumstances including countermeasure/s proposed and implemented. |  |  |  |
| Documented safe system of work (Working Instruction, Guidance, signage etc) |  |  |  |
| Pre-incident Risk Assessment as required by the specific legislation ( MHSWR 1999, COSHH 2002, DSEAR 2002, MHOR1992 etc) |  |  |  |
| Post-incident Risk Assessment as required by ( (MHSWR 1999 COSHH 2002, DSEAR 2002, MHOR1992 etc) |  |  |  |
| Incident Investigation Report prepared in implementing requirements of MHSWR 1999 (Regs 4, 6 and 9) – SOP’s |  |  |  |
| Health Surveillance Records in appropriate cases as required by MHSWR 1999 (Reg 5) - |  | Held by OH |  |
| Information relevant provided to Employees as required by MHSWR 1999 (Reg 8) |  |  |  |
| Documented relevant Training Records as required by MHSWR 1999 (Reg 11) |  |  |  |

Section 2 – Dangerous Occurrences - Mandatory. All sections must be filled out.

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| Type | Exists  (Yes/No/NA) | Attached on Evotix  (Insert tick) | Comments |
| Accident report |  |  |  |
| Define type of Dangerous Occurrence  (Schedule 2 of L73 – RIDDOR 1995) |  |  |  |
| Incident Investigation (inc Why Why Analysis) |  |  |  |
| Pictures/CCTV images |  |  |  |
| Witness Statements (i.e Primary, Secondary, Tertiary, Expert (RIDDOR ONLY) |  |  |  |
| F2508 (RIDDOR) Report been added to the folder on the J:Drive |  |  |  |
| Any regulatory correspondence |  |  |  |
| Minutes of any meetings where the incident was discussed. |  |  |  |
| Inspection and Testing information/Certificates |  |  |  |
| Any previous accidents/incident in similar circumstances including countermeasure/s proposed and implemented. |  |  |  |
| Documented safe system of work (Working Instruction, Guidance, Signage etc) |  |  |  |
| Pre-incident Risk Assessment as required by MHSWR 1999 (Reg 3), DSEAR 2002 (Reg 5) etc |  |  |  |
| Post-incident Risk Assessment as required by MHSWR 1999 (Reg 3), DSEAR 2002 (Reg 5) etc |  |  |  |
| Incident Investigation Report prepared in implementing requirements of MHSWR 1999 (Regs 4, 6 and 9) – SOP’s |  |  |  |

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| Confirmation | Approved (Yes/No/NA) | Date Approved |
| Before submitting the RIDDOR form to the HSE, the content will be approved by a senior safety advisor. |  |  |

**Note: Only fill out the sections that applies to the incident.**

Workplace (Health, Safety & Welfare) Regulation 1992

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| --- | --- | --- | --- |
| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Documented Repairs and Maintenance Records as required by WHSWR 1992 (Reg 5) |  |  |  |
| Housekeeping (safety tours) Records as required by WHSWR 1992 (Regs 9 and 12) |  |  |  |
| Hazard warning signs or notices as required by WHSWR 1992 (Reg 17) |  |  |  |

Provision and Use of Work Equipment Regulations 1998

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| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Manufacturers’ specifications and instructions in respect of relevant work equipment establishing suitability as required by PUWER 1998 (Reg 5) |  |  |  |
| Maintenance Records as required by PUWER 1998 (Reg 6) (Note: May also require copy of maintenance manual) |  |  |  |
| Documented information and instruction provided to Employees as required by PUWER 1998 (Reg 8) |  |  |  |
| Documented Training Records as required by PUWER 1998 (Reg 9) |  |  |  |
| Any signage, notices or documentation relied upon as a defence to alleged breaches of PUWER 1998 (Regs 14 to 18) dealing with controls and control systems |  |  |  |
| Documented Instruction and Training Records issued as required by PUWER 1998 (Reg 22) insofar as it deals with maintenance operations where the machinery is not de-energised (e.g. inching, and running unguarded machinery) |  |  |  |
| Copies of Markings as required by PUWER 1998 (Reg 23) eg …. |  |  | Take photos and attach |
| Copies of Warnings as required by PUWER 1998 (Reg 24) |  |  |  |

Manual Handling Operations Regulations 1992

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| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Documented information provided to Employees giving general indications related to the load and precise indications on the weight of the load and the heaviest side of the load if the centre of gravity was not positioned centrally as required by MHOR 1992 (Reg 4(1)(b)(iii)) |  |  |  |
| Documented Training Records in respect of manual handling operations |  |  |  |

Personal Protective Equipment Regulations 1992

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| --- | --- | --- | --- |
| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Is free issue PPE made available to employees? |  |  |  |
| Documented information relating to the assessment of Personal Protective Equipment as required by PPER 1992 (Reg 6) |  |  |  |
| Documented information relating to the maintenance and replacement of Personal Protective Equipment as required by PPER 1992 (Reg 7) |  |  |  |
| Records of maintenance procedures for Personal Protective Equipment as required by PPER 1992 (Reg 7) |  |  |  |
| Records of tests and examinations of Personal Protective Equipment as required by PPER 1992 (Reg 7) |  |  |  |
| Documented information evidencing information, instruction and training to Employees in relation to specific Personal Protective Equipment as required by PPER 1992 (Reg 9) |  |  |  |
| Documented instructions for the use of Personal Protective Equipment which includes the manufacturers’ instructions as required by PPER 1992 (Reg 10) |  |  |  |

Work at Height Regulations 2005

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| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Documented information demonstrating work at height was properly planned and appropriately supervised as required by WAHR 2005 (Reg 4) |  |  |  |
| Documented information relating to an assessment of the selection of work equipment for work at height as required by WAHR 2005 (reg 7) |  |  |  |
| Records relating to inspection and certification of equipment used for work at height as required by WAHR 2005 (Reg 12) |  |  |  |

Lifting Operations & Lifting Equipment Regulations 1998

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| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| Documented information demonstrating the lifting operation was properly planned by a competent person and appropriately supervised as required by LOLER 1998 (Reg 8) |  |  |  |
| Records of thorough examination and certification for lifting equipment as required by LOLER 1998 (Reg 9) |  |  |  |

Control of Substances Hazardous to Health 2002

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| Type | Exists  (Yes/No/NA) | Attached  (Yes/No/NA) | Comments |
| COSHH Assessment as required by COSHH 2002 (Reg 6) |  |  |  |
| Documented information demonstrating that all reasonably practicable steps have been taken to not use a hazardous substance, or substitute it for a less hazardous substances as required by COSHH 2002 (Reg 7) |  |  |  |
| Records of tests and examinations of Local Exhaust Ventilation (LEV) systems at least every 14 months by a competent person as required by COSHH 2002 (Reg 9) |  |  |  |
| Documented records evidencing face fit testing has taken place. COSHH 2002 (Reg 7) |  |  |  |
| Documented information relating to environmental/exposure monitoring as required by COSHH 2002 (Reg 10) |  |  |  |
| Health Surveillance Records in appropriate cases as required by COSHH 2002 (Reg 11) |  |  |  |
| Documented information evidencing information, instruction and training to Employees in relation to specific activities involving hazardous substances as required by COSHH 2002 (Reg 12) |  |  |  |