

# **ACCIDENT/INCIDENT REPORTING AND INVESTIGATION PROCEDURE**

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## **Introduction**

1. Accidents involving personal injuries, including staff, students and visitors etc. and/or property damage may occur on campus. Such accidents/incidents should be reported promptly to the 24-hour manned Campus Security Control Centre for assistance.
2. When serious injury occurs, the initial action taken is sometimes critical in determining the difference between further injury, or in some cases life or death. Appropriate action shall be taken by all concerned parties to ensure that the injured person can receive prompt medical attention and to prevent the situation from worsening.
3. From the viewpoint of prevention, the purpose of accident/incident reporting and investigation is to determine the causes and to recommend corrective action to prevent future recurrence.
4. This procedure outlines the actions to be taken in the event of an accident occurring and the accident/incident reporting and investigation procedures to be followed.

## **Terminology** (from Health and Safety Executive, UK)

**Accident** includes any undesired circumstances which give rise to ill health or injury; damage to property, plant, products or the environment; production losses, or increased liabilities. (Note: It results from contact with a substance or source of energy above the threshold limit of the body or structure.)

**Incident** includes all undesired circumstances and near misses which have the potential to cause accidents, or have a potentially significant environmental impact.

Note: Examples of events which may have significant environmental impacts are spillage of hazardous substances (such as chemicals, microbiological agents and radio-isotopes) into any drain or surface water, uncontrolled discharge of hazardous substances into the atmosphere, and inappropriate disposal of hazardous wastes.

**Ill health** includes acute and chronic ill health caused by physical, chemical or biological agents as well as adverse effects on mental health.

## **In case of accident**

1. When an accident occurs, assistance should be immediately summoned by calling the 24-hour manned **Campus Security Control Centre at P111 (Emergency Tel. No.: 2766 7999 or Ext. 7999 on the PABX system or emergency telephone located at strategic areas on campus).**
2. In case of fire, sound the fire alarm by activating the breakglass alarm switch in the corridor.

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3. If medical assistance is required during office hours, call the Campus Health Clinic (Tel. No.: 2766 5433 or Ext. 5433 on the PABX system) for advice. If the condition is serious, dial 999 for help at the same time to avoid delay in treatment.
  4. As a general guidance, when summoning assistance through telephone, the caller must keep calm, avoid panic and clearly state the following information :
    - Location of the accident
    - Nature and severity of the accident e.g. how many persons are injured, the seriousness of the injured, any fire or hazardous chemical spillage etc.
    - Nature of the injuries, e.g. bleeding, bone fracture etc.
    - Name, department, telephone number of the caller
  5. The injured person should not be moved unless his location exposes him to further risk of injury. The general approach to a seriously injured person is to render comfort, and only treatment that is necessary to preserve life until trained medical help arrives.
  6. The security staff on-duty at the Campus Security Control Centre will obtain details of the accident and at the same time despatch a team to the scene.
  7. The attending team, upon arrival at the scene, will decide on the actions required which may include calling of Police/Fire Services/Ambulance and/or assistance from other department such as the Health, Safety and Environment Office, clinic or evacuating personnel from the affected areas.
  8. Depending on the nature (e.g. spillage of hazardous chemicals, fire) and seriousness (e.g. fatalities or major injuries) of the accident, the security staff on-duty at the Campus Security Control Centre should also inform the Health, Safety and Environment Office immediately. In case of such accidents occurring after office hours, senior members of the Health, Safety and Environment Office may be contacted through a mobile phone or pagers.
  9. After the incident, details should be given to the attending security staff or the attending civil emergency services personnel in order to assist them for follow-up action. Relevant information should be logged by Security Staff.

## **Reporting of Accidents and Incidents**

All accidents and incidents must be reported and accident/incident investigations carried out to determine the causes and recommend corrective actions to prevent future recurrence.

1. After an incident, the supervisor of the injured person or the staff member responsible for the area in which the accident/incident took place should complete an Accident/Incident Report Form (HSE Form 2, a copy is attached in Appendix) and sent it to Health, Safety and Environment Office through their respective Head of Department within 72 hours of the accident/incident.

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***In case of work related accidents involving a PolyU staff***

2. The University is required under the Employee's Compensation Ordinance to notify the Commissioner for Labour of any accidents arising out of and in the course of an employee's employment, which results in death or incapacity, either permanent (i.e. disability) or temporary (i.e. sick leave). Heads of Department shall therefore ensure that the Director of Human Resources is informed of such cases immediately after such accidents by completing HR Form 67 and a copy of which should be sent to the Health, Safety and Environment Office. For more details on employee compensation, please refer relevant sections of the Staff Handbook or contact Human Resources Office.

***In case of an accident that may involve an insurance claim of damage/loss to property and/or equipment***

3. For an accident that may involve insurance claim of damage/loss to property and/or equipment, the Finance Office should be contacted immediately at extension 5263 for insurance claim processing with the University's insurer.

Staff and students are encouraged to report near-miss incidents so that potential hazards can be identified and eliminated before a more serious accident occurs.

## **Accident Investigation**

The purpose of an accident investigation is to determine the causes and recommend corrective action(s) to eliminate or minimize such events. An accident investigation should be thorough and attempt to identify underlying/basic causes. Placing the blame on an employee's "carelessness" should be avoided. It should be aimed at identifying the problem area(s) and recommending remedial action rather than finding faults or allocating individual blame.

An accident investigation shall be initiated by the Head of Department of the site of the accident. The Health, Safety and Environment Office shall provide all necessary assistance to the respective department in conducting accident investigations. Investigation reports shall be forwarded to the Health, Safety and Environment Office for appropriate follow-up action. In case of fire incidents, investigation reports shall also be forwarded to Facilities Management Office.

Accidents which result in, or which have the potential to inflict serious injuries or death require a formal investigation. In such cases, the Head of Department shall appoint an impartial member(s) to carry out a joint investigation with member of the Health, Safety and Environment Office to establish the causes and recommend corrective actions for prevention of future accidents.

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Depending on the nature of the accident and the circumstances, the Health, Safety and Environment Office may initiate an investigation of an accident or a working group may be appointed by the President, or his designated delegate, or the Chairman of the Health, Safety and Environmental Committee, to conduct the investigation. A copy of the investigation report shall be forwarded to the relevant Head(s) of Department for reference and appropriate follow-up action.

Where possible, the investigator should be free of the operational control of the supervisor(s) concerned, in order that he/she may be objective. Personally interview everyone involved, i.e. the injured person(s), nearby employees, and other personnel who may provide clues to the causes of the accident.

With the basic causes being identified, remedial action can be recommended accordingly. Some actions reduce the likelihood of the incident occurring. Others reduce the potential severity of the injury or damage.

## **Causes of Accident**

### **1. Immediate Causes**

The “immediate causes” of accidents are the circumstances that immediately precede the event. They usually can be seen or sensed. Frequently they are called “unsafe acts” (behaviours which could permit the occurrence of an accident) and “unsafe conditions” (circumstances which could permit the occurrence of an accident).

Unsafe acts (also known as substandard practices) are usually seen in one or more of the following forms:

- Operating equipment without authority
- Failure to warn
- Failure to secure
- Operating at improper speed
- Making safety device inoperable
- Removing safety devices
- Using defective equipment
- Using equipment improperly
- Failing to use personal protective equipment properly
- Improper loading
- Improper placement
- Improper lifting
- Improper position for task

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- Servicing equipment in operation
  - Horseplay
  - Under influence of alcohol and/or other drugs

Unsafe conditions (also known as substandard conditions) are usually seen in one or more of the following forms:

- Inadequate guards or barriers
- Inadequate or improper protective equipment
- Defective tools, equipment or materials
- Congestion or restricted action
- Inadequate warning systems
- Fire and explosion hazards
- Poor housekeeping; disorderly workplace
- Hazardous environmental conditions; gases, dusts, smokes, fumes, vapours
- Noise exposures
- Radiation exposures
- High or low temperature exposures
- Inadequate or excessive illumination
- Inadequate ventilation

## 2. Basic causes

“Basic causes” are the real causes behind the symptoms; the reasons why the unsafe acts and conditions occurred; the factors that, when identified, permit meaningful management control. Often, these are referred to as root causes, real causes, indirect causes, underlying or contributing causes. Basic causes help explain why people perform substandard practices. They also help explain why substandard conditions exist. Just as it is helpful to consider two major categories of immediate causes, so is it helpful to think of basic causes in two major categories :

### *Personal factors*

- Inadequate capability (Physical/Physiological & Mental/Psychological)
- Lack of knowledge
- Lack of skill
- Stress (Physical/Physiological & Mental/Psychological)
- Improper motivation

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*Job factors (Work environment)*

- Inadequate leadership and/or supervision
- Inadequate engineering
- Inadequate purchasing
- Inadequate maintenance
- Inadequate tools, equipment, materials
- Inadequate work standards
- Wear and tear
- Abuse or misuse

### **Recommended remedial action**

According to the causes being identified, some remedial action for preventing recurrence can be suggested. The most commonly recommended remedial action can be one or a combination of the following:

1. Replacing/Repairing the unsafe condition
2. Focused observations and/or planned inspections to identify potential hazards
3. Designing or engineering a new process to prevent recurrence
4. Training/Re-training of employees
5. Transferring the injured worker to a type of work that is commensurate with his/her ability to perform the work
6. Drafting a new safety procedure
7. Coaching and/or undertaking disciplinary action, if necessary

An action plan for implementing the recommended actions with priorities should be indicated. The completed report form should be sent to the Health, Safety and Environment Office through their respective Head of Department. Management must assure that recommended remedial actions are implemented and the Health, Safety and Environment Office should monitor the progress.



THE HONG KONG POLYTECHNIC UNIVERSITY  
Health, Safety and Environment Office

香港理工大學 - 健康安全及環境事務處

HSE Form 2 (11/04)

For HSEO Use  
Case No.

**Accident/Incident Report Form**  
**意外/事故報告表**

Note: This report form should be completed and sent to the Health, Safety and Environment Office in sealed envelop through the Head of Department within 72 hours of the accident/incident. Please refer to Accident/Incident Reporting and Investigation Procedure (Section A400, Health and Safety Guide). The information provided herein will be used for investigation and compiling accident statistics.

In case of work-related accident to employee of the University which results in death or partial incapacity, the concerned department should complete HR Form 67 instead of this form. The HR Form 67 should be filed with the Human Resources Office immediately after such an accident is known and a copy of the form be sent to the Health, Safety and Environment Office.

注意: 此表格須經部門主管於意外/事故發生後七十二小時內批注, 以密封函件轉交健康安全及環境事務處。本表格內容只供意外調查及統計之用。請參考理工大學安全健康指引中A400 號文件: 事故及意外之報告及調查程序。若為僱員因工遭遇意外而致死亡或喪失部份工作能力, 有關部門應填寫人力資源處表格HR Form 67, 並將副本呈送健康安全環境事務處。

1. General Information of Accident: 意外資料

Date 日期: \_\_\_\_\_ Time 時間: \_\_\_\_\_  
Location of Incident/Accident 事發地點: \_\_\_\_\_ Department in charge of the location 事發地點所屬部門: \_\_\_\_\_

2. Nature of Incident: 事故性質

- i. Personal injury 個人損傷  ii. Damage to property/equipment 財物損失  
 iii. Spillage of chemicals 化學品洩漏  iv. Fire 火警  
 v. Incident of significant environmental impact 嚴重環境影響的事故  vi. Others (Please specify) 其他 (請詳述之)  
\_\_\_\_\_

3. Personal Data (Complete this section for each injured reporting person): 個人資料 (各傷者需個別填寫此格)

Name 姓名: \_\_\_\_\_ ( \_\_\_\_\_ ) Sex 性別: \_\_\_\_\_ Age 年齡: \_\_\_\_\_  
English (Surname first) 英文 Chinese 中文

Dept/Company 部門/公司: \_\_\_\_\_ \* Student / Staff / Visitor / Contractor  
\* 學生 / 職員 / 訪客 / 承建商  
Contact Telephone: \_\_\_\_\_ \* Staff / Student No.  
聯絡電話 \_\_\_\_\_ \* 職員 / 學生編號 \_\_\_\_\_

Nature of injury: \* Amputation / burn / contusion / fracture / laceration / sprain/ others (please specify)  
受傷性質 \* 切斷 / 燒傷 / 撞傷 / 折骨 / 割傷 / 扭傷 / 其他 (請詳述之)

Part of body injured: \* Hand / leg / head / eye / others (please specify)  
受傷部位 \* 手 / 腳 / 頭 / 眼 / 其他 部位 (請詳述之)

Name of hospital/clinic where injured person received medical treatment :  
就醫醫院/診所名稱

University Clinic (UHS)  Others \_\_\_\_\_ (Date 日期: \_\_\_\_\_ )  
大學診所 其他

(to be cont'd 續下頁)

Sick leave recommended : \_\_\_\_\_ days ( from \_\_\_\_\_ to \_\_\_\_\_ )  
建議病假 日 由 至

4. Details on how the accident/damage occurred. Sketch on separate sheet, if applicable.  
事故發生的詳細內容，如有需要請附圖例。

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5. Causes of accident/incident  
事故發生原因

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6. Recommendation for prevention of recurrence  
建議預防措施

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Reported by : \_\_\_\_\_ Endorsed by HoD : \_\_\_\_\_  
報告者 ( ) 部門主管批注 ( )  
Date 日期 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

**For HSEO Use**

Separate investigation report required  No  Yes report no. \_\_\_\_\_

\* Please delete as appropriate 請刪除不適用