



Guidance on Determining if an Accident/Injury is
Work Related and Satisfies the Criteria for
Reporting of

RIDDOR

Reporting of Injuries, Diseases and Dangerous Occurrences
Regulations 2013

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Introduction

The British Frozen Food Federation were asked to provide guidance on an efficient way to establish if certain events are reportable under RIDDOR or constituted a Loss Time Accident. Therefore, demonstrating a structured and consistent decision-making process.

This guidance provides details of a methodology that can be adopted by organisations to carry out assessments of workplace accidents and injuries to determine if they are classified as being work related and consequently require recording and reporting in accordance with Regulation 12 and Schedule 1 of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.

The scope of this guidance does not take account of incidents relating to occupational diseases and/or dangerous occurrences also covered by RIDDOR.

The guidance will assist organisations in meeting their obligations under the Regulations.

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Key Definitions

The Health and Safety Executive (HSE) provide the following guidance:

RIDDOR Reporting

The key criteria which trigger the need to report injuries is when:

- there has been an **accident** which caused the injury.
- the accident was **work-related**.
- the injury is of a type which is **reportable**.

What is an 'accident'?

In relation to RIDDOR, an accident is a separate, identifiable, unintended incident, which causes physical injury. This specifically includes acts of non-consensual violence to people at work.

Injuries themselves, e.g. 'feeling a sharp twinge', are not accidents. There must be an identifiable external event that causes the injury, e.g. a falling object striking someone.

Cumulative exposures to hazards, which eventually cause injury (e.g. repetitive lifting), are not classed as 'accidents' under RIDDOR.

What is meant by 'work-related'?

RIDDOR only requires you to report accidents if they happen 'out of or in connection with work'. The fact that there is an accident at work premises does not mean that the accident is work-related – the work activity itself must contribute to the accident. An accident is 'work-related' if any of the following played a significant role:

- the way the work was carried out
- any machinery, plant, substances or equipment used for the work or
- the condition of the site or premises where the accident happened

What are 'reportable' injuries?

The following injuries are reportable under RIDDOR when they result from a work-related accident:

- **The death of any person** (Regulation 6)
- **Specified Injuries** to workers (Regulation 4)
- Injuries to workers which result in their **incapacitation for more than 7 days** (Regulation 4)
- Injuries to non-workers which result in them **being taken directly to hospital for treatment**, or specified injuries to non-workers which occur on hospital premises. (Regulation 5)



- There are exclusions to accidents/injuries arising from the movement of vehicles on a road unless the person injured was:
 - a. injured or killed by an accident involving a train;
 - b. was injured or killed by exposure to a substance being conveyed by the vehicle;
 - c. was engaged in work connected with the loading or unloading of any article or substance onto or off the vehicle at the time of the accident, or was injured or killed by the activities of another person who was so engaged; or
 - d. was engaged in or was injured or killed by the activities of another person who was at the time of the accident engaged in, work on or alongside a road (Regulation 14).

Lost Time Accident – LTA

Certain categories of accident and injury require reporting under the requirements of RIDDOR (including those resulting in an absence of over seven days)

Over-three-day incapacitation

Accidents must be recorded, but not reported where they result in a worker being incapacitated for more than three consecutive days. If you are an employer, you must keep an accident book under the Social Security (Claims and Payments) Regulations 1979; that record will be enough.

For more information on types of RIDDOR, See Appendix 5



RIDDOR Determination /Assessment Process

Factors to consider here:

1. The Incident

As part of your investigation provide a summary of the accident/incident including the work activity being undertaken, any equipment being use, the environmental conditions and extent of the resultant injuries and absence from work

2. How to complete the LTA / RIDDOR checklist

Box A: Provide a description of the event with specific reference to identifying and documenting any separate, identifiable and/or unintended incident, which has caused physical injury

Box B: Provide details of the link between the incident/accident/injuries and the work-related activity.

Box C: Describe how the way the work was carried out and how this played a significant role in the accident. Consider the way the work was organised, carried out or supervised. Provide a descriptive answer and not "NONE"

Box D: Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident. Provide a descriptive answer and not "NONE"

Box E: Describe the conditions of the site or premises and how this played a significant role in how the accident happened e.g. wet floor, poor lighting etc. Provide a descriptive answer and not "NONE"

When completing sections, A-E, if any of the three boxes C, D or E are contributing factors to the accident then it will be RIDDOR reportable or LTA. See Appendix 1 – RIDDOR Checklist

3. Justification

Document the reasons and any justification on why a decision has been made. This is important in the event that the decision-making process is challenged by the Enforcing Authority or other auditing organisation (e.g. your insurance broker).

4. Reporting / Recording

Where the assessment indicates that the incident is a work-related injury, the details should be either reported to the Enforcing Authority under RIDDOR or recorded as a Loss Time Accident dependent on the extent of the injury.

For completed worked examples of the RIDDOR Checklist See Appendix 2, 3 & 4



Lost Time Accident/RIDDOR

(Complete Boxes A-E)

Describe the accident event. This must be a separate, identifiable, unintended incident, which has caused physical injury.



A. Details of the accident event:

Describe the physical injury?



B. Details of the physical injury received:

When completing sections A-E, if any of the three boxes C, D or E are completed the accident will be LTA or RIDDOR reportable.

IF YES

IF NO



C. Describe the way the work was carried out and how this played a significant role in the accident?

D. Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident?

E. Describe how the conditions of the site or premises played a significant role in the accident?

YES

The accident is a recordable LTA or reportable

RIDDOR

NO

The accident is not a recordable LTA or reportable

RIDDOR

YES/NO - Describe Justification for decision here:



Appendix 2 – Completed – RIDDOR Determination /Assessment Checklist

(Complete Boxes A-E)

Describe the accident event. This must be a separate, identifiable, unintended incident, which has caused physical injury.



A. Details of the accident event:

While at work an employee felt a twinge in their back, at the time they were carrying out routine handling of light boxes.

Describe the physical injury.



B. Details of the physical injury received:

The operator was off work for 14 days with lower lumbar (strain) type injuries.

When completing sections A-E, if any of the three boxes C, D or E are completed the accident will be RIDDOR reportable.

IF YES

IF NO



C. Describe the way the work was carried out and how this played a significant role in the accident?

NONE

D. Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident?

NONE

E. Describe how the conditions of the site or premises played a significant role in the accident?

NONE

NO

The accident is not a recordable LTA or reportable RIDDOR

YES

The accident is a recordable LTA or reportable RIDDOR

~~YES~~/**NO** - Describe Justification for decision here:

The employee was trained in manual handling, the equipment being moved was less than 5Kg, ergonomics relating to the task were good. The employee twinge was present before the activity and non-work related.

The accident was **not RIDDOR reportable** as the criteria mentioned in boxes C, D & E did not play a significant role in defining this as an accident



Appendix 3 – Completed RIDDOR Determination /Assessment Checklist

(Complete Boxes A-E)

Describe the accident event. This must be a separate, identifiable, unintended incident, which has caused physical injury.



A. Details of the accident event:
While at work an employee felt a pain in their back, at the time they were carrying out routine handling of bags of potatoes.

Describe the physical injury.



B. Details of the physical injury recieved:
The operator was off work for 14 days with lower lumbar (strain) type injuries.

When completing sections A-E, if any of the three boxes C, D or E are completed the accident will be RIDDOR reportable.

IF YES	IF NO
--------	-------



NO
The accident is not a recordable LTA or reportable RIDDOR



YES
The accident is a recordable LTA or reportable RIDDOR

C. Describe the way the work was carried out and how this played a significant role in the accident?
It was thought that employee may have adopting poor manual handling technique

D. Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident?
None

E. Describe how the conditions of the site or premises played a significant role in the accident?
None

YES/NO– Describe Justification for decision here:

The employee was trained in manual handling, it was thought the employee may have momentarily adopting poor manual handling technique.

The accident was **RIDDOR reportable** as the criteria mentioned in boxes C, D & E did play a significant role in defining this as an accident.



Appendix 4 – RIDDOR Determination /Assessment Checklist

(Complete Boxes A-E)

Describe the accident event. This must be a separate, identifiable, unintended incident, which has caused physical injury.



A. Details of the accident event:
While loading produce into a machine an employee twisted awkwardly and felt a twinge in their back.

Describe the physical injury.



B. Details of the physical injury recieved:
The operator was off work for 14 days with lower lumbar (strain) type injuries.

When completing sections A-E, if any of the three boxes C, D or E are completed the accident will be RIDDOR reportable.

IF YES	IF NO
--------	-------



NO
The accident is not a recordable LTA or reportable RIDDOR



YES
The accident is a recordable LTA or reportable RIDDOR

C. Describe the way the work was carried out and how this played a significant role in the accident?
Employee was adopting poor manual handling technique

D. Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident?
Machinery loading point higher than employee

E. Describe how the conditions of the site or premises played a significant role in the accident?
Wet floor surfaces

YES/NO- Describe Justification for decision here:

The employee was trained in manual handling, the employee was adopting poor manual handling technique, the loading area offered poor ergonomics with wet floor conditions being a contributing factor.

The accident was **RIDDOR reportable** as the criteria mentioned in boxes C, D & E did play a significant role in defining this as an accident.



Appendix 5 – RIDDOR Determination /Assessment Checklist (Involving members of the public)

(Complete Boxes A-E)

Describe the accident event. This must be a separate, identifiable, unintended incident, which has caused physical injury.



A. Details of the accident event:

A member of the public tripped while visiting a retail outlet.

Describe the physical injury.



B. Details of the physical injury received:

The person received cuts and bruises and was treated by the first aider/manager of the outlet.

When completing sections A-E, if any of the three boxes C, D or E are completed the accident will be RIDDOR reportable.

IF YES

IF NO



NO

The accident is not a recordable LTA or reportable RIDDOR



YES

The accident is a recordable LTA or reportable RIDDOR

C. Describe the way the work was carried out and how this played a significant role in the accident?

The work carried out did not play a significant role.

D. Describe how any machinery, plant, substances and equipment used for the work played a significant role in the accident?

Machinery at the retail outlet did not play a significant role.

E. Describe how the conditions of the site or premises played a significant role in the accident?

Following the accident the floor surfaces were checked and free from defect.

~~YES/NO~~ - Describe Justification for decision here:

The accident was not work related and did not involve plant, equipment, machinery or substances nor did the environment play any part. This is not RIDDOR reportable.



Appendix 6

How to make a RIDDOR Report

Who should report?

Only 'responsible persons' including employers, the self-employed and people in control of work premises should submit reports under RIDDOR.

Reporting online

Responsible persons should complete the appropriate online form by visiting <http://www.hse.gov.uk/riddor/report.htm>. The form will then be submitted directly to the RIDDOR database. You will receive a copy for your records.

Telephone

All incidents can be reported online but a telephone service is also provided for reporting fatal/specified, and major incidents **only** – call the Incident Contact Centre on 0345 300 9923 (opening hours Monday to Friday 8.30 am to 5 pm).

Reporting out of hours

The HSE and local authority enforcement officers **are not an emergency service**. If you want to report less serious incidents out of normal working hours, you can always complete an online form.

When a member of the public, as a result of a work-related accident, suffers–

The test to be applied to decide whether that incident is reportable under RIDDOR or not is as follows:

1. Was the incident 'work related'? i.e. were any of the following a contributory factor;
 - a. a failure of plant, equipment, machinery or substances used for the work (for example, a failure in the springs of a trampoline)
 - b. a failure of a system of work including supervision and/or actions of an operator.
 - c. the condition of the site or premises where the accident happened.

AND

2. did the injury result in them being taken directly from the scene to hospital for treatment?

If the answer to both these questions is 'yes' then the accident must be reported under RIDDOR. If the business is unable to confirm steps 1 and 2, they will not report the incident.



If you require further information on this advice and guidance, please contact the Primary Authority via the Primary Authority Register or email bffprimaryauthority@wakefield.gov.uk

THE PRIMARY AUTHORITY WOULD NOT BE PREPARED TO SUPPORT ENFORCEMENT ACTIONS WHICH CHALLENGE THE ADEQUACY OF THIS POLICY.

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