

HEALTH & SAFETY STANDARD

HEALTH & SAFETY INCIDENT INVESTIGATION

MANAGEMENT STANDARD	Health & safety incident investigation		
PUBLICATION	July 2025	CURRENT VERSION	1 (Jul 25)
APPROVED BY	Director of Workplace Safety, Health & Wellbeing	NEXT REVIEW DUE	July 2028

1. Purpose & application

- 1.1. This health & safety management standard sets out the official management arrangements to comply with relevant UK health & safety legislation concerning health & safety incident investigation.
- 1.2. This management standard was brought into effect on **1st July 2025** and applies to the University of York as a legal entity with duties towards health & safety at work.
- 1.3. This management standard is a derivative of the primary overarching organisational policy (*Workplace Health, Safety, Fire & Welfare Policy*), and should be read in conjunction.

2. Key definitions

Phrase	Definition
Nominated persons	University staff or students who have been delegated specific health & safety duties and responsibilities.

3. Commitment to relevant legal duties

- 3.1. The Management of Health & Safety at Work Regulations 1999 places a duty on employers to implement effective and formal arrangements for monitoring & reviewing the performance of their health & safety measures. As part of these arrangements, a standard process is required to review health & safety incidents through follow up investigation which aims to uncover and put right any inadequacies.
- 3.2. As an employer with over 5 employees, the University of York recognises its legal duties toward health & safety investigation and commits to organising adequate & effective formal arrangements to meet the requirement. These arrangements are principally set out in sections 4 - 6 of this standard.

4. Organisational goals

- 4.1. To comply with the relevant legal duties, The University of York will aim to achieve the following overarching objectives.

Goal	Description
1	All health & safety incidents that happen in the undertaking of the University will be investigated to an appropriate degree.
2	<p>The key aims of any health & safety investigation will be to:</p> <p>a) identify causes and contributory factors to the incident, in particular any non-compliances with health & safety management arrangements both at organisational and local level.</p> <p>b) ensure that proportionate corrective actions are implemented wherever possible that aim to achieve sustained compliance with university health & safety management procedures.</p>
3	Health & safety investigations will be coordinated by nominated persons who have the appropriate information, instruction, supervision & training.
4	The findings of investigations will be recorded in writing, retained indefinitely and made readily accessible to stakeholders for review where necessary.
5	Where relevant, significant findings of investigations will be actively communicated across the organisation to raise awareness, share lessons learned and prevent similar incidents from being repeated.

5. Management procedure

- 5.1. A management procedure has been put in place to enable the University of York to achieve its organisational goals with a consistent approach. The management procedure consists of a standard operating process (information & instructions) to be completed by responsible persons of the University. The standard operating process is underpinned by supporting resources (guidance, standard templates & training provisions) as appropriate.
- 5.2. The management procedure shall be considered the formal system, used across the organisation, for managing health & safety incident investigation. Adherence of stakeholders to the management procedure will ensure that the management standard is upheld, which will ultimately ensure that the University of York is compliant with key legal duties.
- 5.3. The management procedure is published as an internal web page with the following URL:

<https://www.york.ac.uk/staff/essentials/health-and-safety/incident-investigation/>

6. Key duties & responsibilities

Group	Key Duties & Responsibilities
University central health & safety office	<ul style="list-style-type: none"> • Management & administration of the management standard, management procedure and supporting resources • Provision of associated information, instruction, supervision & training
Nominated persons (Investigation coordinators)	<ul style="list-style-type: none"> • Comply with the management procedure
University heads of departments / areas	<ul style="list-style-type: none"> • Ensure that nominated persons (investigation coordinators) are given the proper time and resources to be able to comply with the management procedure • Comply with the management procedure (e.g. ensure relevant information is disseminated through communication structures under their leadership)