



Animal &  
Plant Health  
Agency

Animal and Plant Health Agency  
Access to Information Team  
Weybourne Building  
Ground Floor  
Woodham Lane  
New Haw  
Addlestone  
Surrey  
KT15 3NB

T 01932 341111  
F 01932 357608

[www.gov.uk/apha](http://www.gov.uk/apha)

[REDACTED]  
{By Email}

Our Ref: ATIC1086

30 May 2017

Dear [REDACTED]

## **PROVISION OF REQUESTED INFORMATION**

Thank you for your request for information about RIDDOR incidents, which we received on 6 May 2016. Your request has been handled under the Freedom of Information Act 2000.

The information you requested and our response is detailed below:

“How many incidents in the last financial years (16/17) did you record under the Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR)?

For each of these incidents please provide me with any reports your agency holds in relation to the incidents accepting that personal details will have to be redacted to comply with S.40.”

During the last financial year (2016/17) APHA reported six incidents to the HSE under RIDDOR Regulations.

Please see the attached Appendices, 1 to 15 which are the reports held in relation to these incidents.

Information has been redacted on the Appendices under Section 40(2) read in conjunction with 40(3)(a)(i) of the Freedom of Information Act (2000).

### **Section 40**

Some of the information contained within the requested documents has been withheld under section 40(2) read in conjunction with 40(3)(a)(i) (third party personal data) of the FOIA as the information constitutes personal data relating to a third party. Section 40(2) read in conjunction with 40(3)(a)(i) of the FOIA provides that personal data relating to third parties is exempt information if disclosure would breach the Data Protection Act 1998 (DPA).

The Animal and Plant Health Agency is an Executive Agency of the Department for Environment, Food and Rural Affairs working to safeguard animal and plant health for the benefit of people, the environment and the economy.

APHA consider that disclosure of this information is likely to breach the first data protection principle in Schedule 1 of the DPA, which relates to the fair and lawful processing of personal data, in two ways. First, disclosure would not constitute 'fair' processing of the personal data, second, disclosure would not satisfy any of the conditions for data processing set out in Schedule 2 to the DPA. Therefore, we have concluded that this information is exempt from disclosure under section 40(2) of the FOIA.

Information disclosed in response to this FOI request is releasable to the public. In keeping with the spirit and effect of the FOIA and the government's Transparency Agenda, this letter and the information disclosed to you may be placed on GOV.UK, together with any related information that will provide a key to its wider context. No information identifying you will be placed on the GOV.UK website.

I attach an Annex which explains the copyright that applies to the information being released to you and contact details should you be unhappy with the service you have received.

If you have any queries about this letter, please contact the Access to Information Team at the email address below or postal address at the top of this letter.

Yours sincerely

**ACCESS TO INFORMATION TEAM**

Email: [enquiries@apha.gsi.gov.uk](mailto:enquiries@apha.gsi.gov.uk)

## **Annex**

### **Copyright**

The information supplied to you is Crown copyright, unless otherwise stated, and is protected by the Copyright, Designs and Patents Act 1988. You are free to use it for your own purposes, and for the purposes of news reporting. You can find details on the arrangements for re-using Crown copyright information at:

<http://www.nationalarchives.gov.uk/doc/open-government-licence/open-government-licence.htm>

Information you receive which is **not** subject to Crown Copyright continues to be protected by the copyright of the person, or organisation, from which the information originated. You must ensure that you gain their permission before reproducing any third party (non Crown Copyright) information.

### **Complaints**

If you are unhappy with the result of your request for information you may request an internal review within 40 working days of the date of this letter.

If you wish to request an internal review, please contact: The Access to Information Team at [enquiries@apha.gsi.gov.uk](mailto:enquiries@apha.gsi.gov.uk) or at the postal address at the top of this letter, who will arrange for an internal review of your case.

If you are not content with the outcome of the internal review, you have the right to apply directly to the Information Commissioner for a decision. Please note that generally the Information Commissioner cannot make a decision unless you have first exhausted APHA's own complaints procedure. The Information Commissioner can be contacted at:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

## Report of an injury

Notification No	[REDACTED]	Date Submitted	28/04/2016 10:50:03
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	[REDACTED]		
Job title	Health & Safety Advisor		
Organisation name	Animal & Plant Health Agency		
Address	Woodham Lane New Haw ADDLESTONE Surrey KT15 3NB		
Phone no	0208 [REDACTED]	Fax Number	
Email Address	[REDACTED]@apha.gsi.gov.uk		

## Where did the incident happen

The incident happened at the above address

## About the incident

Incident Date	07/04/2016	Incident Time	10:30
In which local authority did the incident occur (Country, Geographical Area and Local Authority)?			
England, Surrey, Runnymede			
In which department or where on the premises did the incident happen?			
Animal Sciences Unit			
What type of work was being carried out (generally the main business activity of the site)?			
Agriculture, Forestry, Fishing, Veterinary - Veterinary activities - Veterinary activities			

The enforcing authority for the address where the incident happened is HSE

## About the kind of accident

Kind of accident	Another kind of accident
Work process involved	Other process not listed above
Main factor involved	Other cause not listed
What happened	The IP was on a driving work place assessment with the Occupational Physician and suffered back pain. A second qualified driver will attend driving assessments in future.

## About the injured person

Injured persons name	[REDACTED]
Injured persons address	[REDACTED]

<b>Phone no</b>		<b>What was their occupation or job title?</b>	Deputy high containment building officer
<b>Gender</b>		<b>Age</b>	
<b>Work Status</b>	The injured person was one of my employees.		

**About the injured person's injuries**

<b>Severity of the injury</b>	Injury preventing the injured person from working for more than 7 days		
<b>Injuries</b>	Strains/sprains	<b>Part of the body affected</b>	Back

# Incident Report

Area: Scientific Services - SSSD (ASU, Quality, Bio Tech, Scientific Services Unit)

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Injury
- 

Who is reporting

Full Name: [REDACTED]

Occupation: High Security Building Officer

Contact number: 01932 [REDACTED]

Contact email address: [REDACTED]@apha.gsi.gov.uk

---

About the incident

Date: 07 April 2016

Time: 00:00

[REDACTED]

---

Person harmed

Type	Employee	Home address
Full name	[REDACTED]	

Occupation	Deputy high containment building officer
Contact telephone number	██████████
Activity being carried out	Travel - Work related

---

### Incident area

Scientific Services - SSSD (ASU, Quality, Bio Tech, Scientific Services Unit)

---

### Location - Where did the incident occur?

Field

---

### Line manager

Please select the appropriate line manager (eg of the person affected)

██████████

---

### Type of Injury

Type of Incident Injury: Vehicle incident / Road Traffic Collision

Subtype of incident: Other

Type of injury (please select at least one)

- Muscle strain

---

### Injured body parts



FRONT VIEW

- Mid to lower back

---

### Face injuries

None selected

---

### Hand injuries

None selected

---

### Foot injuries

None selected

---

### Type of Occupational ill-health / Stress incident

None selected

---

### Type of disease

N/A

---

### Treatment category

GP Visit

---



Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

Medium

---

Investigation team

Lead Investigator:

██████████

Investigation Team:

None selected

---

Location of incident

Manor Farm (APHA Weybridge) to Old Woking

---

Summary of incident

AP hurt back when driving 3 1/2 ton Lorry.

---

Incident investigation



### Related actions

None

---

### Recommendations

1. AP should not drive either 3.5 or 7.5 ton lorries until [REDACTED] s report has been received and discussed by management.
  2. Any future driving assessments should include a qualified driver who can take over if necessary.
  3. Future workplace assessments should be carried out in the presence of the manager/supervisor.
  4. The SHaW health team will ensure that individuals will get the opportunity to see the OHA/OHP privately before an assessment.
  5. On a case by case basis managers and supervisors will be given the opportunity to attend the practical assessment.
- 

### Witness statements

There are currently no witness statements for this incident.

---

### Lost time

First day of absence	Return to work	Calculated number of lost days
08 April 2016	18 April 2016	6*

Total lost days: 6\*

\* Calculated to date: 08 May 2017

---

### Modified duties

This incident has not resulted in modified duties

---

### Lessons learnt issues

Was there any lessons learnt issued?                      No

---

### Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

### Related documents - Please ensure all related documents are attached

Filename	Date uploaded
----------	---------------

---

Accident Investigation Report - [REDACTED] - final.doc	29 April 2016
[REDACTED] - RIDDOR report.pdf	03 May 2016

---

Investigation approver

[REDACTED]

---

Workflow status

Date/Time	User	Status
18 April 2016 09:47	[REDACTED]	Draft
11 May 2016 10:32	[REDACTED]	Investigation waiting for approval
22 April 2017 06:02	[REDACTED]	Approved

---

Related incidents

Are there any related incidents?            No

---



1.8 ██████ asked ██████ (Transport manager) to be available on the day to the assessment.

## 2.0 Incident details

2.1 The work place assessment was carried out by ██████ at 10.00 on 7th April 2016

██████, ██████ and ██████ met at Manor farm (transport area) and it was made clear that ██████ would be expected to drive during the assessment.

2.2 ██████ showed ██████ the range of vehicles and offered to come out on the drive but was told it was not necessary. ██████ chose a 3.5 lorry that ██████ thought would be the most comfortable.

2.3 ██████ informed me that the 'red' lorry that ██████ choose is used for collecting dangerous goods and live animals and is in fact a 5.3 ton vehicle. ██████ did not discuss the vehicle types with ██████

2.4 ██████ discussed ██████ previous history before they set off for the drive.

2.5 They left site via the main gates and went onto Woodham Lane turning right at the traffic lights and headed towards Old Woking for approximately 15 minutes. At this stage ██████ asked ██████ how ██████ back felt. ██████ replied that it hurt and this was noted by ██████

2.6 ██████ drove for another 10 mins and at this stage ██████ told ██████ that ██████ needed to return to site as ██████ was in pain. They arrived back at approximately 11.00 am.

2.7 On return to site ██████ dropped ██████ at the Weybourne building and then parked the lorry back at Manor farm and informed the Transport manager that the lorry had been returned.

2.8 ██████ then got into ██████ own car and drove back to building 265. ██████ took some painkillers and made a hot water bottle to put on ██████ back and carried out admin duties for the rest of the day.

2.9 ██████ did not come to work on the 8<sup>th</sup> April. ██████ ██████ then saw ██████ GP in the evening who signed ██████ off for a week (11- 15 April 2016).

## 3.0 Conclusions

*Include the immediate, underlying and root causes identified by the investigation*

3.1 This incident resulted in 6 days sick absence but due to the requirement of weekends to be counted this incident is classed as an 'Over-seven-day incapacitation of a worker' under RIDDOR and will be reported to the HSE.

3.2 It would have been useful to have ██████ (or another qualified driver) to go out on the assessment as ██████ could have taken over the driving when ██████ first felt back pain.

## 4.0 Recommendations

4.1 ██████ should not drive either 3.5 or 7.5 ton lorries or until ██████ report has been received and discussed by management.

4.2 Any future driving assessments should include a qualified driver who can take over if necessary.

4.3 Future workplace assessments should be carried out in the presence of the manager/supervisor.

**5.0 Action taken**

5.1 SHaW health team will ensure that individuals will get the opportunity to see the OHA/OHP privately before an assessment. On a case by case basis managers and supervisors will be given the opportunity to attend the practical assessment.

5.2 This incident was reported to the HSE on 28 April 2016.

[REDACTED]  
H&S Adviser (SHaW)  
29 April 2016

CC:

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]



## Report of an injury

Notification No	██████████	Date Submitted	20/04/2016 14:49:41
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	██████████		
Job title	Health and Safety Manager		
Organisation name	Animal & Plant Health Agency		
Address	Woodham Lane New Haw ADDLESTONE Surrey KT15 3NB		
Phone no	01932 ██████████	Fax Number	
Email Address	██████████@apha.gsi.gov.uk		

## Where did the incident happen

Incident location	The incident happened elsewhere in my organisation
Organisation Name	APHA
Address	Worcester County Council County Hall Spetchley Road WORCESTER Worcestershire WR5 2NP
Incident location details	APHA area of the facilities provided by Worcester County Council (Landlord)

## About the incident

Incident Date	12/04/2016	Incident Time	00:00
In which local authority did the incident occur (Country, Geographical Area and Local Authority)?			
England, Worcestershire, Worcester			
In which department or where on the premises did the incident happen?			
APHA - stairwell that provides access to the basement storage area			
What type of work was being carried out (generally the main business activity of the site)?			
Government administrative functions, Education, Health - Central/Local Gov. administration - General public administration			

The enforcing authority for the address where the incident happened is HSE

## About the kind of accident

Kind of accident	Fall from height	Height of fall (in metres)	0



<b>Work process involved</b>	Other process not listed above
<b>Main factor involved</b>	Slip, stumble or fall
<b>What happened</b>	The Affected Person (AP) was walking down a flight of stairs carrying an item to the storage area in the basement of the building. The AP slipped and fell from the second from bottom step on to the middle landing.

#### About the injured person

<b>Injured persons name</b>	[REDACTED]		
<b>Injured persons address</b>	[REDACTED]		
<b>Phone no</b>	[REDACTED]	<b>What was their occupation or job title?</b>	Animal Health Officer
<b>Gender</b>	[REDACTED]	<b>Age</b>	[REDACTED]
<b>Work Status</b>	The injured person was one of my employees.		

#### About the injured person's injuries

<b>Severity of the injury</b>	Injury preventing the injured person from working for more than 7 days		
<b>Injuries</b>	Contusions and bruising	<b>Part of the body affected</b>	Ankle

# Incident Report

Area: Service Delivery - Operations - North

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Injury
- 

Who is reporting

Full Name: [REDACTED]

Occupation: EMI

Contact number: [REDACTED]

Contact email address: [REDACTED]@apha.gsi.gov.uk

---

About the incident

Date: 12 April 2016

Time: 00:00

---

Person harmed

Type	Employee	Home address
Full name	[REDACTED]	Unknown at this stage

Occupation Egg Marketing Inspector  
Contact telephone number [REDACTED]  
Activity being carried out Office/Admin

---

### Incident area

Service Delivery - Operations - North

---

### Location - Where did the incident occur?

Office

---

### Line manager

Please select the appropriate line manager (eg of the person affected)

[REDACTED]

---

### Type of Injury

Type of Incident Injury: Slip, trip and fall on level

Subtype of incident: Trip – uneven surface

Type of injury (please select at least one)

- Bruise

- Muscle strain
- Other

---

Injured body parts



FRONT VIEW

- Right ankle

---

Face injuries

None selected

---

Hand injuries

None selected

---

Foot injuries

None selected

---

Type of Occupational ill-health / Stress incident

None selected

---

Type of disease

NOT a disease an injury

---

Treatment category

Hospital - A&E

---

Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

Medium

---

Investigation team

Lead Investigator:

████████████████████

Investigation Team:

None selected

---

Location of incident

L1 County Hall Worcester on stairs to basement

---

Summary of incident

AP... Line managers [REDACTED] and [REDACTED] Incident occurred dated 12/04/16 on L1, Worcester Office, stairs to the basement. AP tripped and fell from the last but one step on the stairs to the basement [REDACTED] was carrying a box and the stairs are not in good condition [REDACTED] was taken to A&E with an injury to [REDACTED] ankle. [REDACTED] has been advised not to walk on it until the weekend.

UPDATE From Grade 7, LM by Email to [REDACTED].

I have spoken to AP this morning and the extract below is from an email [REDACTED] sent me following that conversation.

The doctor has signed me off for two weeks from yesterday (18/04/16), the date my sick note runs to is 02/05/16 (bank holiday Monday) so I am currently due back at work on 3rd May.

As agreed with other LM, I'll post my sick note addressed to you both at Worcester, I'll just get a copy of it first. I'll complete the self certify form once received by email from [REDACTED] and then return it via email. If you need a signed copy you'll have to let me know, or pop one in the post and I can complete it and send it back.

The doctor said I should still be resting my ankle this second week, as it's still quite painful where the ligament was damaged. Hopefully by next week I'll be able to start walking a bit on it.

I still can't drive or stand for long periods (hence being signed off when I described my job!)

Not sure what action you now need to take, but AP is happy for you to ring [REDACTED] on [REDACTED] work mobile to discuss if needs be.

---

## Incident investigation

I spoke to Grade 7 FTL on 13/4 as AP was off work and immediate LM is on a return to work following 3 months SL. It would appear that the AP was carrying some items whilst walking down the stairs to the basement where the Field stores are held. This flight of stairs is split in two at right angles and it was the second to bottom step of the FIRST flight where [REDACTED] slipped. Two vet colleagues were coming up the second part from the basement but were not close enough to catch [REDACTED]. [REDACTED] was attended by a First Aider and because of the speed of swelling to the ankle an ambulance was called. At A&E it was confirmed [REDACTED] had torn a blood vessel within the ligament which caused the fast and vast swelling.

UPDATE from Grade 7 and AP see above. I have not spoken to AP as on SL..

As this has now exceeded 7 days it has become a RIDDOR.

INTERVIEW With AP following RIDDOR Incident ID [REDACTED].

Investigator [REDACTED].

Interviewed AP at County Hall Worcester on 10th June 2016 at 13:00 hrs.

AP was carrying a large rectangular cardboard box with approximately 20 small invoice books of a notebook type. They had been collected on farm and taken up from the basement to be photocopied. The AP did not think to remove them into a smaller container or plastic bag. When I asked AP why [REDACTED] had not used the lift [REDACTED] said it hadn't crossed [REDACTED] mind and was probably habit, it was a long way to the lift and equally a long way back when you got to the basement.

AP felt [REDACTED] would have been unable to hold the bannister AND carry the box as there would have been too much strain on [REDACTED] wrist.

When walking down the stairs both hands were in the grip hold at either end of the box, so was not holding the hand rail. When walking down [REDACTED] feet were partly visible.

Whilst walking down the stairs as [REDACTED] remembers seeing [REDACTED] VO and [REDACTED] SVI at the bottom of the stairs, and [REDACTED] remembers thinking [REDACTED] would have to stop at the stair corner in order to let them pass. This was just before [REDACTED] fell.

AP was wearing trainers which [REDACTED] described as being in medium condition. One foot slipped and then [REDACTED] landed on [REDACTED] bottom with [REDACTED] right foot and leg underneath [REDACTED]. [REDACTED] had slipped on the bottom step of the top flight. With the box on the floor intact.

At that point [REDACTED] remembers it hurt, [REDACTED] couldn't move and [REDACTED] ankle was in pain.

2 people [REDACTED] unknown to AP, went for First Aiders [REDACTED] and [REDACTED].

[REDACTED] was helped down the stairs and placed in a red chair in the stairwell to rest. The first Aiders then asked [REDACTED] if [REDACTED] wanted an ambulance which as the ankle was swelling badly at this point [REDACTED] said YES, the paramedics arrived within 15-20 mins.

---

## RIDDOR Reporting



This is now being passed to [REDACTED] and [REDACTED] to notify HSE.

[REDACTED] highlighting the dangers of carrying items on staircases with no free hand for rail and limited vision ( especially when a lift is available)

Further possible actions following AP's return to work currently scheduled for 3rd May.  
Awaiting sick notes etc for attachment.

Please see notes from Interview held with AP on 10th June. I will discuss damage on step with [REDACTED] facilities although both witnesses and AP did not feel this was a contributory factor ( see photo's) [REDACTED] to be issued.

---

### Witness statements

Name	Date added
[REDACTED]	08 June 2016 - 16:39
[REDACTED]	31 May 2016 - 11:49

---

### Lost time

First day of absence	Return to work	Calculated number of lost days
13 April 2016	31 May 2016	34*

Total lost days: 34\*

\* Calculated to date: 08 May 2017

---

### Modified duties

This incident has not resulted in modified duties

---

### Lessons learnt issues

Was there any lessons learnt issued?                      No

---

### Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

### Related documents - Please ensure all related documents are attached

Filename	Date uploaded
2016.04.19 ma2-self-certificate-hr (2).docx	20 April 2016



2016.04.19 defra.doc	20 April 2016
██████████ - Riddor.pdf	20 April 2016
Image (2) Fit note.pdf	27 April 2016
Fit note 24-05.pdf	25 May 2016
stairs 1.jpg	21 June 2016
Stairs 2.jpg	21 June 2016
stairs 3.jpg	21 June 2016
INTERVIEW AP RIDDOR.doc	24 June 2016

Investigation approver

██████████

Workflow status

Date/Time	User	Status
20 April 2016 09:19	██████████	Draft
24 June 2016 11:47	██████████	Investigation waiting for approval
24 June 2016 12:59	██████████	Rejected

Related incidents

Are there any related incidents?

None selected

## Report of an injury

Notification No	[REDACTED]	Date Submitted	14/06/2016 16:49:35
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	[REDACTED]		
Job title	Health and Safety Manager		
Organisation name	Animal & Plant Health Agency		
Address	Woodham Lane New Haw ADDLESTONE Surrey KT15 3NB		
Phone no	01932 [REDACTED]	Fax Number	
Email Address	[REDACTED]@apha.gsi.gov.uk		

## Where did the incident happen

The incident happened at the above address

## About the incident

Incident Date	03/06/2016	Incident Time	09:45
In which local authority did the incident occur (Country, Geographical Area and Local Authority)?			
England, Surrey, Runnymede			
In which department or where on the premises did the incident happen?			
Animal Services Unit			
What type of work was being carried out (generally the main business activity of the site)?			
Agriculture, Forestry, Fishing, Veterinary - Veterinary activities - Veterinary activities			

The enforcing authority for the address where the incident happened is HSE

## About the kind of accident

Kind of accident	Slip, trip, fall same level
Work process involved	Agricultural work, forestry, horticulture, fishing, work with animals
Main factor involved	Slip, stumble or fall
What happened	The AP slipped whilst trying to restrain a pig which aggravated an old injury to their left knee. AP taken to A&E and discharged the same day.

## About the injured person

Injured persons name	[REDACTED]
Injured persons address	[REDACTED]

<b>Phone no</b>		<b>What was their occupation or job title?</b>	Animal Technician
<b>Gender</b>		<b>Age</b>	
<b>Work Status</b>	The injured person was one of my employees.		

**About the injured person's injuries**

<b>Severity of the injury</b>	Injury preventing the injured person from working for more than 7 days		
<b>Injuries</b>	Strains/sprains	<b>Part of the body affected</b>	Lower limb

# Incident Report

Area: Scientific Services - SSSD (ASU, Quality, Bio Tech, Scientific Services Unit)

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Injury
- 

Who is reporting

Full Name: [REDACTED]

Occupation: Farm Manager (Animal Tech) VLA F.

Contact number: 01932 [REDACTED]

Contact email address: [REDACTED]@apha.gsi.gov.uk

---

About the incident

Date: 03 June 2016

Time: 09:45

---

Person harmed

Type	Employee	Home address
		[REDACTED]
		[REDACTED]

Full name [REDACTED]  
Occupation Senior Animal Technician  
Contact telephone number [REDACTED]  
Activity being carried out Laboratories/Scientific

---

### Incident area

Scientific Services - SSSD (ASU, Quality, Bio Tech, Scientific Services Unit)

---

### Location - Where did the incident occur?

Field

---

### Line manager

Please select the appropriate line manager (eg of the person affected)

[REDACTED]

---

### Type of Injury

Type of Incident Injury: Animal

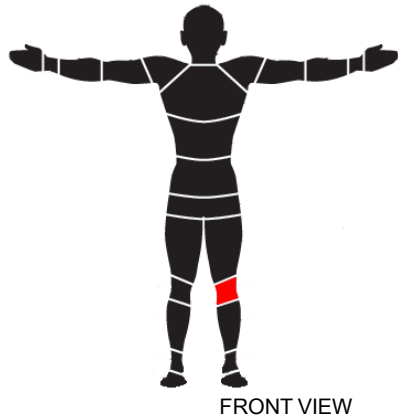
Subtype of incident: Crush

Type of injury (please select at least one)

- Other

---

Injured body parts



- Left knee

---

Face injuries

None selected

---

Hand injuries

None selected

---

Foot injuries

None selected

---

Type of Occupational ill-health / Stress incident

None selected

---

Type of disease

---

Treatment category

Hospital - A&E

---

Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

High

---

Investigation team

Lead Investigator:

██████████

Investigation Team:

None selected

---

Location of incident

Building 417

---

Summary of

Trying to restrain a pig.

---

## Incident investigation

---

## RIDDOR Reporting

Check this box if the incident is reportable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)?: Yes

Type of RIDDOR

Accident + 7 days

---

## Root cause / contributory factors

Immediate cause:

The process/procedures

Root cause(s) - Please do not select more than three:

- Animal Behaviour
  - Inadequate / ineffective training
  - Inadequate design, layout, space
- 

## Error or Violation



Error or Violation: Violation  
Violation: Situational

---

### Related actions

None

---

### Recommendations

Interview AP and Line Manager today 24/08/2016;

1. Agree Line Managers programme of a graduated return to ASU farm duties,- Halls farm Hatchery, soon to move to NEC and eventually onto calves and large cattle.
2. AP returned to work on 08/08/2016.
3. Refresher training in Cattle Handling for the future would not go a miss. Course to be Held at Weybridge 2016.
4. Keep away from pig work if at all possible. (If required AP should attend Pig Handling Course).
5. Attend a Dynamic Risk Assessment Course - to be held at Weybridge 2016 delivered by [REDACTED]
6. AP happy for the incident to be closed, Medical team very happy with the rehabilitation process/progress, AP more confident as well and is strictly mainting to a strict rehab programme.
7. Consider working with smaller pigs
8. Train pigs before trial commences, liaise [REDACTED] for best practice [REDACTED] pigs are quiet and easy to handle)
9. Although some root causes have been identified wider questions should be asked, we must not just focus on worker commitment, actions and worker blame but on the management ownership of risk and a determination to manage it effectively. E.g. managers to monitor (and record) their staff more regularly, review training needs, think of H&S issues in the planning stages of trial work whats needed to prevent injuries/reoccurrence, the limitations of the buildings etc.

---

### Witness statements

There are currently no witness statements for this incident.

---

### Lost time

First day of absence	Return to work	Calculated number of lost days
03 June 2016	08 August 2016	46*

Total lost days: 46\*

\* Calculated to date: 08 May 2017

---

### Modified duties

This incident has not resulted in modified duties

---

### Lessons learnt issues

Was there any lessons learnt issued? No

---

## Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

## Related documents - Please ensure all related documents are attached

Filename	Date uploaded
An action has been allocated to you [REDACTED].msg	03 June 2016
Official-Sensitive Incident [REDACTED]appt.msg	03 June 2016
PLEASE NOTE Update on incident you are investigating.msg	14 June 2016
RE PLEASE NOTE Update on incident you are investigating [REDACTED].msg	14 June 2016
Appt Copy [REDACTED].msg	14 June 2016
Official -Sensitive Incident [REDACTED] Clarification.msg	14 June 2016
[REDACTED].pdf	15 June 2016
RE HSE - F2508 - Report of an injury - electronic acknowledgement.msg	15 June 2016
Re RiDDOR reported to HSEAE [REDACTED].msg	15 June 2016
Official- Sensitive [REDACTED].msg	16 June 2016
ASU RIDDOR Incident [REDACTED].msg	16 June 2016
RA-ASU0003_-_Working_with_large_animals.pdf	16 June 2016
ASU062_-_Feeding_and_rearing_of_pigs.pdf	16 June 2016
RE Official- Sensitive [REDACTED]0reply.msg	16 June 2016
Extract from Principles of Safe [REDACTED].doc	17 June 2016
[REDACTED] SofE.pdf	27 June 2016
RE [REDACTED] incidentNWupdate1.msg	27 June 2016
Official - Sensitive	28 June 2016
Official-Sensitive Incident [REDACTED] ASU RIDDOR damaged left knee update.msg	28 June 2016
RE Official-Sensitive Incident [REDACTED] ASU RIDDOR damaged left knee updateYS.msg	29 June 2016
About dyslexia and dyspraxia [REDACTED].doc	29 June 2016
RE Official-Sensitive Incident [REDACTED] ASU RIDDOR damaged left knee updateYS.msg	29 June 2016
RE Official - Sensitive	30 June 2016
FW Request for information linked to incident [REDACTED] eply.msg	08 July 2016
[REDACTED] SofE.docx	12 July 2016
Re Official - Sensitive	18 July 2016
Re Official - Sensitive	18 July 2016
Pig accident reportTCSofE.docx	18 July 2016
Pig Report2.msg	18 July 2016
Incident [REDACTED] bullet points from various telephone reports.doc	18 July 2016

ASUF 252TG pigsPrestartmeeting.doc	21 July 2016
RE Official -SensitiveRE Request for information linked to incident [REDACTED] update.msg	21 July 2016
SiteInvitation [REDACTED].pdf	21 July 2016
Daybook [REDACTED].pdf	21 July 2016
Scanned doc [REDACTED].msg	21 July 2016
Interview with [REDACTED] on 20.doc	22 July 2016
Incident [REDACTED] bullet points from various telephone reports.doc	28 September 2016
Incident [REDACTED] bullet points from various telephone reports.doc	03 October 2016

### Investigation approver

[REDACTED]

### Workflow status

Date/Time	User	Status
03 June 2016 14:32	[REDACTED]	Draft
26 September 2016 14:18	[REDACTED]	Investigation waiting for approval
03 October 2016 16:53	[REDACTED]	Approved

### Related incidents

Are there any related incidents?                      No

## Report of an injury

Notification No	[REDACTED]	Date Submitted	13/09/2016 12:59:18
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	[REDACTED]		
Job title	Safety Health and Wellbeing Advisor		
Organisation name	Animal and health plant agency		
Address	66 Ty Glas Road Llanishen CARDIFF CF14 5ZB		
Phone no	[REDACTED]	Fax Number	
Email Address	[REDACTED]@apha.gsi.gov.uk		

## Where did the incident happen

Incident location	The incident happened at someone else's premises
Organisation Name	
Address	[REDACTED]

## About the incident

Incident Date	29/08/2016	Incident Time	13:00
In which local authority did the incident occur (Country, Geographical Area and Local Authority)?			
Wales, Wales, Bridgend			
In which department or where on the premises did the incident happen?			
Rear garden path			
What type of work was being carried out (generally the main business activity of the site)?			
Government administrative functions, Education, Health - Central/Local Gov. administration - Health care, education etc			

The enforcing authority for the address where the incident happened is HSE

## About the kind of accident

Kind of accident	Slip, trip, fall same level
Work process involved	Monitoring/inspection
Main factor involved	Slip, stumble or fall
	KTu Telephone Report
	IP is a bee inspector. was doing a routine

inspection of a bee hive.

**What happened**

finished the job, walking back up a garden path which did have two holes in it, quite narrow.

Both covered with raised concrete slabs, the IP managed to trip on one of them, fell onto the stone path and fractured [REDACTED] left forearm.

**About the injured person**

<b>Injured persons name</b>	[REDACTED]		
<b>Injured persons address</b>	[REDACTED]		
<b>Phone no</b>	[REDACTED]	<b>What was their occupation or job title?</b>	Seasonal bee inspector
<b>Gender</b>	[REDACTED]	<b>Age</b>	[REDACTED]
<b>Work Status</b>	The injured person was one of my employees.		

**About the injured person's injuries**

<b>Severity of the injury</b>	Specified Injury		
<b>Injuries</b>	Bone fracture	<b>Part of the body affected</b>	Upper limb

# Incident Report

Area: Service Delivery - Operations - Wales

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Injury
- 

Who is reporting

Full Name: [REDACTED]

Occupation: Regional Bee Inspector

Contact number:

Contact email address: [REDACTED]@defra.gsi.gov.uk

---

About the incident

Date: 29 August 2016

Time: 13:00

---

Person harmed

Type	Employee	Home address
		[REDACTED]
Full name	[REDACTED]	

Occupation Bee Inspector  
Contact telephone number [REDACTED]  
Activity being carried out Field activities inc Inspectorates

---

### Incident area

Service Delivery - Operations - Wales

---

### Location - Where did the incident occur?

Field

---

### Line manager

Please select the appropriate line manager (eg of the person affected)

[REDACTED]

---

### Type of Injury

Type of Incident Injury: Slip, trip and fall on level

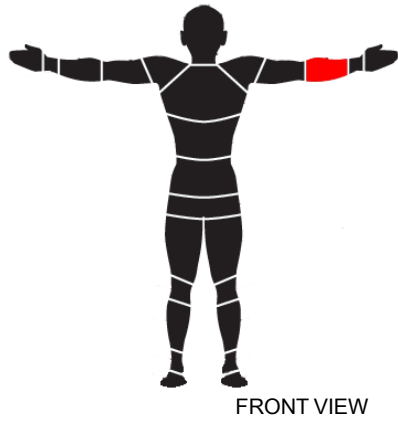
Subtype of incident: Trip - obstacle

Type of injury (please select at least one)

- Fracture

---

Injured body parts



- Left fore arm

---

Face injuries

None selected

---

Hand injuries

None selected

---

Foot injuries

None selected

---

Type of Occupational ill-health / Stress incident

None selected

---

Type of disease

---

Treatment category

Hospitalisation - over 24 hours

---



Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

Medium

---

Investigation team

Lead Investigator:

██████████

Investigation Team:

None selected

---

Location of incident

██████████

---

Summary of incident



## Error or Violation

Error or Violation: None selected

---

## Related actions

None

---

## Recommendations

---

## Witness statements

There are currently no witness statements for this incident.

---

## Lost time

First day of absence	Return to work	Calculated number of lost days
30 August 2016	Not set	179*

Total lost days: 179\*

\* Calculated to date: 08 May 2017

---

## Modified duties

This incident has not resulted in modified duties

---

## Lessons learnt issues

Was there any lessons learnt issued? None selected

---

## Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

Related documents - Please ensure all related documents are attached

Filename	Date uploaded
██████████.pdf	13 September 2016

---

Investigation approver

██████████

---

Workflow status

Date/Time	User	Status
12 September 2016 13:26	██████████	Draft

---

Related incidents

Are there any related incidents?                      No

---

## Report of an occupational disease

Notification No	[REDACTED]	Date Submitted	24/02/2017 11:35:22
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	[REDACTED]		
Job title	Corporate H&S Advisor		
Organisation name	Animal and Plant Health Agency		
Address	Weybourne Building Woodham Lane New Haw ADDLESTONE Surrey KT153NB		
Phone no	[REDACTED]	Fax Number	
Email Address	[REDACTED]@apha.gsi.gov.uk		

## Where does the affected person usually work?

The affected person usually works at the above address

## Affected person details

## About the local authority and work activity where the affected person usually works

In which local authority does the affected person usually work? (Country, Geographical Area and Local Authority)?
England, Surrey, Runnymede
What type of work was being carried out (generally the main business activity of the site)?
Agriculture, Forestry, Fishing, Veterinary - Veterinary activities - Veterinary activities

The enforcing authority for the address where the affected person usually works is HSE

## About the affected person

Affected persons name	[REDACTED]		
Gender	[REDACTED]	Age	[REDACTED]
What was the person's occupation or job title?	Farm worker		
Work Status	The affected person was one of my employees.		

Date the disease was diagnosed / confirmed	17/02/2017
Where was the disease contracted?	Onshore
Disease category diagnosed	Biological Agents
Specify the diagnosed disease	
Ringworm	

**Details of the work activity that led to the disease**

Working with cattle

# Incident Report

Area: Scientific Services - Pathology

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Occupational ill-health / Stress
- 

Who is reporting

Full Name: [REDACTED]

Occupation:

Contact number:

Contact email address: [REDACTED]@apha.gsi.gov.uk

---

About the incident

Date: 07 February 2017

Time: 00:00

---

Person harmed

Type	Employee	Home address
Full name	[REDACTED]	

Occupation

Contact telephone number

Activity being carried out

Laboratories/Scientific

---

**Incident area**

Scientific Services - Pathology

---

**Location - Where did the incident occur?**

Laboratory

---

**Line manager**

Please select the appropriate line manager (eg of the person affected)

██████████

---

**Type of Injury**

Type of injury (please select at least one)

None selected



---

Injured body parts



FRONT VIEW

- Right wrist

---

Face injuries

None selected

---

Hand injuries

None selected

---

Foot injuries

None selected

---

Type of Occupational ill-health / Stress incident

Occupational disease

---

Type of disease

Ringworm infection.

---

Treatment category

None selected

---

Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

Medium

---

Investigation team

Lead Investigator:

██████████

Investigation Team:

None selected

---

Location of incident

Coombelands- Weybridge

---

Summary of incident

AP has reported area of ringworm on lower right arm. AP works in Coombelands animal units.

---

Incident investigation

Full report attached to related documents.

---

## RIDDOR Reporting

Check this box if the incident is reportable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)? Yes

Type of RIDDOR  Disease

---

## Root cause / contributory factors

Immediate cause:  The place/premises/environmental conditions

Root cause(s) - Please do not select more than three:

- Inadequate / ineffective risk control measures in place
  - Inadequate supervision (person)
  - Inadequate commitment to health and safety
- 

## Error or Violation

Error or Violation:  None selected

---

### Related actions

Action ID	Title	Owner	Allocated to user	Scheduled Date	Status
	Toolbox talk			30 March 2017	Overdue
	Review of hand washing facilities			07 April 2017	Overdue
	PPE re-fresher training			28 April 2017	Overdue
	Decontamination procedures			21 April 2017	Overdue
	PPE requirements			21 April 2017	Overdue
	supervision and monitoring programme			14 April 2017	Overdue
	Lessons Learnt actions			21 April 2017	Overdue

---

### Recommendations

- Toolbox talk on workplace acquired infections to be delivered again to all staff working with live animals.
- Review hand washing facilities in other areas where live animal stocks are handled to identify whether improvements are required.
- Provide re-fresher training on use of PPE. Record training on form SHWF038.
- Describe cleaning and decontamination requirement in written procedure. Decontamination to be documented on form SAF23.
- Specify in the SOP the PPE requirement in the premises where ringworm or other zoonotic (e.g. Orf) pathogens are present. Add instruction not fill bins more than 3/4 full and not to press rubbish down with ungloved hand.
- Implement supervision and monitoring programme including the completion of actions.
- Implement system that allows completion of actions from Lessons learnt to be recorded. Where applicable this should include evidence of completion.

All recommendations have been raised as actions.

---

### Witness statements

There are currently no witness statements for this incident.

---

### Lost time

This incident is not an LTI

---

### Modified duties

This incident has not resulted in modified duties

---

### Lessons learnt issues

Was there any lessons learnt issued?                      No

---

## Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

## Related documents - Please ensure all related documents are attached

Filename	Date uploaded
RE Alterations required following RIDDOR investigation.msg	10 March 2017
RE OFFICIAL- SENSITIVE PERSONAL incident investigation.msg	30 March 2017
Protect staff - [REDACTED].msg	31 March 2017
FW RIDDOR.msg	31 March 2017
RIDDOR's on J drive.msg	31 March 2017
Hand washing facilities and use of anti-microbial soaps.msg	31 March 2017
FW FMD Cattle - Ringworm.msg	31 March 2017
SHWF028 - Safeguard - Incident Investigation Report v2 [REDACTED].doc	19 April 2017
Ringworm - Appendix 1.pdf	19 April 2017
Ringworm - Appendix 2.doc	19 April 2017
Ringworm - Appendix 3.pdf	19 April 2017
Ringworm- Appendix 4.pdf	19 April 2017
Ringworm - Appendix 5.doc	19 April 2017
Ringworm - Appendix 6.pdf	19 April 2017
Ringworm - Appendix 7.pdf	19 April 2017
Ringworm - appendix 8.doc	19 April 2017

---

## Investigation approver

[REDACTED]

---

## Approval / rejection notes

---

## Workflow status

Date/Time	User	Status
08 February 2017 10:55	[REDACTED]	Draft

19 April 2017 15:26

[REDACTED]

Investigation waiting for approval

---

### Related incidents

Are there any related incidents?  Yes

Please provide the related incident ID(s): [REDACTED]

---

**INCIDENT INVESTIGATION REPORT**

<b>Department:</b>	Pathology (ASU)
<b>Incident no:</b>	██████████ and ██████████ (Safeguard)
<b>RIDDOR ref:</b>	██████████ and ██████████ (notification numbers)
<b>Lead Investigator:</b>	████████████████████
<b>Incident location:</b>	APHA Weybridge
<b>Date of Incident:</b>	Reported on 6 <sup>th</sup> February 2017
<b>Date of Report:</b>	16 <sup>th</sup> February 2017

Complete only the relevant boxes

<b>1.0</b>	<b>Summary</b> <i>Include the procedure being carried out and by whom</i>
1.1	On 6 <sup>th</sup> February 2017 two APHA employees ██████████-AP1 and ██████████- AP2) were referred to occupational health with suspected ringworm infections.
1.2	Both employees are based on a unit that has had naturally occurring ringworm in cattle either recently or in recent months.
<b>2.0</b>	<b>Background</b>
2.1	Ringworm is a fungal skin disease on human and animals. It is one of the most common infectious skin diseases in cattle which is primarily caused by a spore forming fungus called <i>Trichophyton verrucosum</i> .
2.2	Ringworm is highly infectious and can be transmitted to humans either: <ul style="list-style-type: none"> <li>• through direct contact with infected animals or person or</li> <li>• via indirect contact with contaminated equipment or environment, e.g. contaminated bedding</li> </ul> <p>The incubation period is usually 1-3 weeks. The fungal spores can remain infectious and survive for several months in the environment.</p>
2.3	Both ringworm cases have been reported on individuals working on Coombelands at the APHA Weybridge site. This unit consists of a number of animal buildings that are used for housing cattle (Appendix 1). All cattle go through health checks on arrival to the farm.
<b>3.0</b>	<b>Infection</b>
3.1	AP1 has a lesion on right wrist/lower forearm (Appendix 2). AP has reported being unwell during Christmas and New Year period which might have made ██████ more susceptible for Ringworm infection.

3.2	AP2 has two lesions; one on right wrist and another on left forearm. AP has not been unwell in recent weeks prior to infection.
3.3.	Infections have been confirmed as Ringworm by occupational health advisors.
3.4	Infections are being treated with antifungal cream.
3.5	Investigation has not identified any evidence of external source of infection.
<b>3.0</b>	<b>Incident details and findings</b>
3.1	Each affected person (AP) has predominantly been working in different buildings within Coombelands.
3.1	AP1 has been working in Coombelands 1&4 which consist of buildings 413, 414, 415, 416 and 416A. These buildings are used as a holding facility for newly arrived cattle.  AP2 has been working in Coombelands 2 in B417 which currently houses cattle used in a BCG study.
<b>3.3</b>	<b>Coombelands 1 &amp; 4 (413, 414, 415, 416 &amp; 416A)</b>
3.3.1	This area has seen 600-700 cattle in the buildings over the last year with a high incidence of Ringworm.
3.3.2	Prior to confirmation of the infection, premises have been empty for a few weeks. However, the usual steam cleaning has not taken place between the cattle occupancy and reported infection.
3.3.3	PPE required for this area is disposable boiler suit, nitrile gloves (EN374) and wellies. Gloves have been discarded after every use, but there have been occasions where disposable boiler suits have been re-used.
3.3.4	Gloves are taped to the boiler suite, but this has not been practised at all times. Additionally some emergency procedures during lambing have been undertaken without wearing gloves when building houses sheep.
3.3.5	The dirty change area has an adequate hand washing area. The taps can be operated by elbows although this is slightly restricted by cupboard above the sink. The building has a sign indicating the PPE requirements as cattle may have Ringworm.
3.3.6	Coombelands 1 (413, 414, 415 and 416) are the oldest of the buildings and have wooden doors on animal pens which affects the



	quality of steam cleaning.
<b>3.4</b>	<b>Coombelands 2 B417</b>
3.4.1	B417 is currently housing cattle which have both active and healed Ringworm lesions.
3.4.2	PPE required for B417 is disposable boiler suit, nitrile gloves (EN374), neoprene trousers and wellies. All disposable PPE is discarded after single use. Nitrile gloves have not been taped to the boiler suite (except during GM phase of a study).
3.4.3.	B417 is always cleaned out and decontaminated between studies. The current cattle study started in January 2017. Prior to the current study, premises were occupied by goats and subsequently cleaned with Chlorox.
3.4.4	The change area of the building has a sign indicating the PPE requirements as cattle may have Ringworm.
3.4.5	Dirty changing area does not have proper hand washing facilities. The only hand washing facility is a small hygiene sink in the toilet. Clean changing area has a bigger sink available.
<b>4.0</b>	<b>Training, Competence and Supervision</b>
4.1	Both APs have been signed up to RA325 (Risk of catching disease from farm and laboratory animals (zoonoses) (appendix 3).
4.2	Toolbox talk on workplace acquired infections was delivered in summer 2015 (Appendix 4). Both APs have attended this.
4.3	Both employees have been trained in safe removal of gloves, but there is no evidence of this in their training records.
4.4	There is no detailed SOP for entry/exit from any of these facilities. There is a general SOP (ASU 150E) which only indicates that staff enter the farms through the staff facilities where changing rooms are available and put on dedicated farm clothing before entering farm animal buildings and that the requirements for protective clothing are identified for each experiment on the ASUF251 – Bio-security, health and safety instructions.
4.5	No evidence of supervision and monitoring visits have been seen from these animal units (SHW-S-016).
<b>5.0</b>	<b>Causation</b>
5.1	Immediate cause: Contact with naturally infected animals and/or contaminated environment and equipment.

5.2	<p>Root and Contributory Factors:</p> <p>Incorrect use of PPE.</p> <p>Occasional exposed skin between boiler suits and disposable gloves.</p> <p>Poor personal hygiene following working with livestock/in the animal housing.</p> <p>Inadequate cleaning/disinfection of equipment and animal housing.</p> <p>Inadequate hand washing facilities in animal housing.</p> <p>Lack of supervision and monitoring.</p>
5.3	<p>Given the nature of activities which have been on going in the Coombelands units, it is highly likely that AP1's infection has been acquired from environment (e.g. contaminated equipment or buildings) instead of through direct contact with infected cattle.</p> <p>AP2 has recently had direct contact with infected cattle, but also indirect contact through handling animal bedding and equipment.</p>
<b>6.0</b>	<b>Post incident actions</b>
6.1	All staff working with cattle known to have ringworm have been instructed to tape their gloves to the boiler suits to avoid exposed skin.
6.2	Series of fluorescence workshops on correct glove removal and hand washing have been set up and delivered. Report included in Appendix 5.
6.3	Longer cuff nitrile gloves have been trialled on the units.
6.4	<p>Walk through around premises has identified the following:</p> <ul style="list-style-type: none"> <li>- areas where improvements can be made to facilities (e.g. change wooden doors with metal ones) and hand washing facilities. Work orders have been raised (W563503, W563506, W563511 and W563513).</li> <li>- some poor practises such as full bins. On occasions contents of the bins (mainly used PPE) has been pushed down with ungloved hands to make more room.</li> </ul>
6.5	The incidents have been reported to HSE as an exposure to a biological agent under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) (Appendix 6 & 7).
<b>7.0</b>	<b>Recommendations</b>
7.1	Toolbox talk on workplace acquired infections to be delivered again to all staff working with live animals (Safeguard actions ref 2569404).
7.2	Review hand washing facilities in other areas where live animal stocks are handled to identify where improvements are required (safeguard action ref 2569410).

7.3	Provide re-fresher training on use of PPE. Record training on form SHWF038 (Safeguard action ref 2569420).
7.4	Detailed cleaning and decontamination of facilities to be undertaken on completion of a study by pressure washing and use of Virkon S or the prescribed disinfectant for the agent under investigation. Record decontamination on form SAF23 (Safeguard action ref 2569432).
7.5	Waste bins used to discard PPE should only be filled to $\frac{3}{4}$ of their volume before the bag is removed for incineration in order to reduce the risk of the ungloved hand coming into contact with potentially contaminated PPE
7.6	Specify in the SOP the PPE requirement in the premises where ringworm or other zoonotic (e.g. Orf) pathogens are present (Safeguard ref for 7.5 and 7.6 2569439).
7.7	Implement supervision and monitoring programme including the completion of actions according to Agency standards SHW-S-016 (Safeguard action ref 2569563).
7.8	Implement system that allows completion of actions from Lessons learnt to be recorded. Where applicable this should include evidence of completion (Safeguard action ref 2569571).
<b>8.0</b>	<b>Other relevant information on this investigation</b>
8.1	The Orf exposure to an employee was reported under RIDDOR in autumn 2014.
8.2.	Lessons Learnt document was issued in November 2014 on exposure to a biological agent from handling livestock (Appendix 8 ). Number of actions was identified. It has become evident in this investigation that not all actions have been completed. No written evidence of completion of these actions has been seen.
<b>9.0</b>	Annexes: <ol style="list-style-type: none"> <li>1. Map of Coombelands</li> <li>2. Photos of infections</li> <li>3. Training records</li> <li>4. Attendance list of ASU tool box talk 2015</li> <li>5. Glove removal and hand washing workshop report</li> <li>6. RIDDOR notification</li> <li>7. RIDDOR notification</li> <li>8. Lessons Learnt 2014</li> </ol>
<b>9.0</b>	Documentation <ul style="list-style-type: none"> <li>• ASU 150E - Animal Sciences Unit bio security procedures –</li> </ul>

	<p>Appstree, Rectory, Halls, Grange and Coombelands farm units</p> <ul style="list-style-type: none"><li>• ASUF251 – Bio-security, health and safety instructions.</li><li>• RA325 - Risk of catching disease from farm and laboratory animals (zoonoses)</li><li>• SHWF038 PPE Training record</li><li>• SHW-S-016 Supervision and Monitoring of Employees</li></ul>
--	---

## Report of an occupational disease

Notification No	[REDACTED]	Date Submitted	24/02/2017 11:40:22
-----------------	------------	----------------	---------------------

## About you and your organisation

Notifier name	[REDACTED]		
Job title	Corporate H&S Advisor		
Organisation name	Animal and Plant Health Agency		
Address	Weybourne Building Woodham Lane New Haw ADDLESTONE Surrey KT153NB		
Phone no	[REDACTED]	Fax Number	
Email Address	[REDACTED]@apha.gsi.gov.uk		

## Where does the affected person usually work?

The affected person usually works at the above address

## Affected person details

## About the local authority and work activity where the affected person usually works

In which local authority does the affected person usually work? (Country, Geographical Area and Local Authority)?
England, Surrey, Runnymede
What type of work was being carried out (generally the main business activity of the site)?
Agriculture, Forestry, Fishing, Veterinary - Veterinary activities - Veterinary activities

## The enforcing authority for the address where the affected person usually works is HSE

## About the affected person

Affected persons name	[REDACTED]		
Gender	[REDACTED]	Age	[REDACTED]
What was the person's occupation or job title?	Animal Care		
Work Status	The affected person was one of my employees.		

Date the disease was diagnosed / confirmed	17/02/2017
Where was the disease contracted?	Onshore
Disease category diagnosed	Biological Agents
Specify the diagnosed disease	Ringworm

**Details of the work activity that led to the disease**

Cattle handling

# Incident Report

Area: Scientific Services - Pathology

Incident ID: [REDACTED]

---

Incident number

[REDACTED]

---

What is being investigated?

What is being reported?

- Occupational ill-health / Stress
- 

Who is reporting

Full Name: [REDACTED]

Occupation:

Contact number:

Contact email address: [REDACTED]@apha.gsi.gov.uk

---

About the incident

Date: 07 February 2017

Time: 00:00

---

Person harmed

Type	Employee	Home address
Full name	[REDACTED]	

Occupation

Contact telephone number

Activity being carried out

Laboratories/Scientific

---

**Incident area**

Scientific Services - Pathology

---

**Location - Where did the incident occur?**

Field

---

**Line manager**

Please select the appropriate line manager (eg of the person affected)

██████████

---

**Type of Injury**

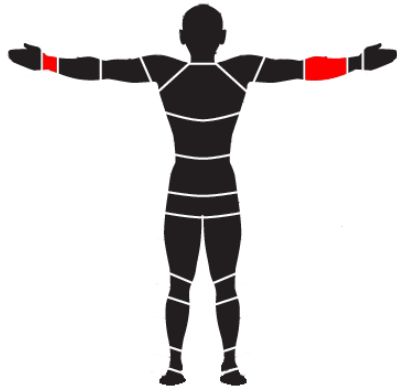
Type of injury (please select at least one)

None selected



---

Injured body parts



FRONT VIEW

- Right wrist
- Left fore arm

---

Face injuries

None selected

---

Hand injuries

None selected

---

Foot injuries

None selected

---

Type of Occupational ill-health / Stress incident

Occupational disease

---

Type of disease

Ringworm infection

---

Treatment category

None selected

---

Type of Incident / Near Miss

---

Type of Hazard observation / improvement incident

---

Investigation level

Medium

---

Investigation team

Lead Investigator:

██████████

Investigation Team:

None selected

---

Location of incident

B417

---

Summary of incident

AP has ringworm infection which ██████ has caught from the cattle in B417.

---

Incident investigation



---

### Related actions

None

---

### Recommendations

---

### Witness statements

There are currently no witness statements for this incident.

---

### Lost time

This incident is not an LTI

---

### Modified duties

This incident has not resulted in modified duties

---

### Lessons learnt issues

Was there any lessons learnt issued?                      No

---

### Incident sharing

The person(s) involved in the incident has/have given their permission to share with the Trade Union: No

---

### Related documents - Please ensure all related documents are attached

None uploaded

---

### Investigation approver

██████████

---

Approval / rejection notes

---

Workflow status

Date/Time	User	Status
08 February 2017 11:41	██████████	Draft
19 April 2017 15:28	██████████	Investigation waiting for approval

---

Related incidents

Are there any related incidents?  Yes

Please provide the related incident ID(s): ██████████

---

## INCIDENT INVESTIGATION REPORT

<b>Department:</b>	Pathology (ASU)
<b>Incident no:</b>	██████████ and ██████████ (Safeguard)
<b>RIDDOR ref:</b>	██████████ and ██████████ (notification numbers)
<b>Lead Investigator:</b>	████████████████████
<b>Incident location:</b>	APHA Weybridge
<b>Date of Incident:</b>	Reported on 6 <sup>th</sup> February 2017
<b>Date of Report:</b>	16 <sup>th</sup> February 2017

Complete only the relevant boxes

<b>1.0</b>	<b>Summary</b> <i>Include the procedure being carried out and by whom</i>
1.1	On 6 <sup>th</sup> February 2017 two APHA employees (██████████-AP1 and ██████████ AP2) were referred to occupational health with suspected ringworm infections.
1.2	Both employees are based on a unit that has had naturally occurring ringworm in cattle either recently or in recent months.
<b>2.0</b>	<b>Background</b>
2.1	Ringworm is a fungal skin disease on human and animals. It is one of the most common infectious skin diseases in cattle which is primarily caused by a spore forming fungus called <i>Trichophyton verrucosum</i> .
2.2	Ringworm is highly infectious and can be transmitted to humans either: <ul style="list-style-type: none"> <li>• through direct contact with infected animals or person or</li> <li>• via indirect contact with contaminated equipment or environment, e.g. contaminated bedding</li> </ul> <p>The incubation period is usually 1-3 weeks. The fungal spores can remain infectious and survive for several months in the environment.</p>
2.3	Both ringworm cases have been reported on individuals working on Coombelands at the APHA Weybridge site. This unit consists of a number of animal buildings that are used for housing cattle (Appendix 1). All cattle go through health checks on arrival to the farm.
<b>3.0</b>	<b>Infection</b>
3.1	AP1 has a lesion on right wrist/lower forearm (Appendix 2). AP has reported being unwell during Christmas and New Year period which might have made ██████ more susceptible for Ringworm infection.

3.2	AP2 has two lesions; one on right wrist and another on left forearm. AP has not been unwell in recent weeks prior to infection.
3.3.	Infections have been confirmed as Ringworm by occupational health advisors.
3.4	Infections are being treated with antifungal cream.
3.5	Investigation has not identified any evidence of external source of infection.
<b>3.0 Incident details and findings</b>	
3.1	Each affected person (AP) has predominantly been working in different buildings within Coombelands.
3.1	AP1 has been working in Coombelands 1&4 which consist of buildings 413, 414, 415, 416 and 416A. These buildings are used as a holding facility for newly arrived cattle.  AP2 has been working in Coombelands 2 in B417 which currently houses cattle used in a BCG study.
<b>3.3 Coombelands 1 &amp; 4 (413, 414, 415, 416 &amp; 416A)</b>	
3.3.1	This area has seen 600-700 cattle in the buildings over the last year with a high incidence of Ringworm.
3.3.2	Prior to confirmation of the infection, premises have been empty for a few weeks. However, the usual steam cleaning has not taken place between the cattle occupancy and reported infection.
3.3.3	PPE required for this area is disposable boiler suit, nitrile gloves (EN374) and wellies. Gloves have been discarded after every use, but there have been occasions where disposable boiler suits have been re-used.
3.3.4	Gloves are taped to the boiler suite, but this has not been practised at all times. Additionally some emergency procedures during lambing have been undertaken without wearing gloves when building houses sheep.
3.3.5	The dirty change area has an adequate hand washing area. The taps can be operated by elbows although this is slightly restricted by cupboard above the sink. The building has a sign indicating the PPE requirements as cattle may have Ringworm.
3.3.6	Coombelands 1 (413, 414, 415 and 416) are the oldest of the buildings and have wooden doors on animal pens which affects the

	quality of steam cleaning.
<b>3.4</b>	<b>Coombelands 2 B417</b>
3.4.1	B417 is currently housing cattle which have both active and healed Ringworm lesions.
3.4.2	PPE required for B417 is disposable boiler suit, nitrile gloves (EN374), neoprene trousers and wellies. All disposable PPE is discarded after single use. Nitrile gloves have not been taped to the boiler suite (except during GM phase of a study).
3.4.3.	B417 is always cleaned out and decontaminated between studies. The current cattle study started in January 2017. Prior to the current study, premises were occupied by goats and subsequently cleaned with Chlorox.
3.4.4	The change area of the building has a sign indicating the PPE requirements as cattle may have Ringworm.
3.4.5	Dirty changing area does not have proper hand washing facilities. The only hand washing facility is a small hygiene sink in the toilet. Clean changing area has a bigger sink available.
<b>4.0</b>	<b>Training, Competence and Supervision</b>
4.1	Both APs have been signed up to RA325 (Risk of catching disease from farm and laboratory animals (zoonoses) (appendix 3).
4.2	Toolbox talk on workplace acquired infections was delivered in summer 2015 (Appendix 4). Both APs have attended this.
4.3	Both employees have been trained in safe removal of gloves, but there is no evidence of this in their training records.
4.4	There is no detailed SOP for entry/exit from any of these facilities. There is a general SOP (ASU 150E) which only indicates that staff enter the farms through the staff facilities where changing rooms are available and put on dedicated farm clothing before entering farm animal buildings and that the requirements for protective clothing are identified for each experiment on the ASUF251 – Bio-security, health and safety instructions.
4.5	No evidence of supervision and monitoring visits have been seen from these animal units (SHW-S-016).
<b>5.0</b>	<b>Causation</b>
5.1	Immediate cause: Contact with naturally infected animals and/or contaminated environment and equipment.



5.2	<p>Root and Contributory Factors:</p> <p>Incorrect use of PPE.</p> <p>Occasional exposed skin between boiler suits and disposable gloves.</p> <p>Poor personal hygiene following working with livestock/in the animal housing.</p> <p>Inadequate cleaning/disinfection of equipment and animal housing.</p> <p>Inadequate hand washing facilities in animal housing.</p> <p>Lack of supervision and monitoring.</p>
5.3	<p>Given the nature of activities which have been on going in the Coombelands units, it is highly likely that AP1's infection has been acquired from environment (e.g. contaminated equipment or buildings) instead of through direct contact with infected cattle.</p> <p>AP2 has recently had direct contact with infected cattle, but also indirect contact through handling animal bedding and equipment.</p>
<b>6.0</b>	<b>Post incident actions</b>
6.1	All staff working with cattle known to have ringworm have been instructed to tape their gloves to the boiler suits to avoid exposed skin.
6.2	Series of fluorescence workshops on correct glove removal and hand washing have been set up and delivered. Report included in Appendix 5.
6.3	Longer cuff nitrile gloves have been trialled on the units.
6.4	<p>Walk through around premises has identified the following:</p> <ul style="list-style-type: none"> <li>- areas where improvements can be made to facilities (e.g. change wooden doors with metal ones) and hand washing facilities. Work orders have been raised (W563503, W563506, W563511 and W563513).</li> <li>- some poor practises such as full bins. On occasions contents of the bins (mainly used PPE) has been pushed down with ungloved hands to make more room.</li> </ul>
6.5	The incidents have been reported to HSE as an exposure to a biological agent under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) (Appendix 6 & 7).
<b>7.0</b>	<b>Recommendations</b>
7.1	Toolbox talk on workplace acquired infections to be delivered again to all staff working with live animals (Safeguard actions ref 2569404).
7.2	Review hand washing facilities in other areas where live animal stocks are handled to identify where improvements are required (safeguard action ref 2569410).

7.3	Provide re-fresher training on use of PPE. Record training on form SHWF038 (Safeguard action ref 2569420).
7.4	Detailed cleaning and decontamination of facilities to be undertaken on completion of a study by pressure washing and use of Virkon S or the prescribed disinfectant for the agent under investigation. Record decontamination on form SAF23 (Safeguard action ref 2569432).
7.5	Waste bins used to discard PPE should only be filled to $\frac{3}{4}$ of their volume before the bag is removed for incineration in order to reduce the risk of the ungloved hand coming into contact with potentially contaminated PPE
7.6	Specify in the SOP the PPE requirement in the premises where ringworm or other zoonotic (e.g. Orf) pathogens are present (Safeguard ref for 7.5 and 7.6 2569439).
7.7	Implement supervision and monitoring programme including the completion of actions according to Agency standards SHW-S-016 (Safeguard action ref 2569563).
7.8	Implement system that allows completion of actions from Lessons learnt to be recorded. Where applicable this should include evidence of completion (Safeguard action ref 2569571).
<b>8.0</b>	<b>Other relevant information on this investigation</b>
8.1	The Orf exposure to an employee was reported under RIDDOR in autumn 2014.
8.2.	Lessons Learnt document was issued in November 2014 on exposure to a biological agent from handling livestock (Appendix 8 ). Number of actions was identified. It has become evident in this investigation that not all actions have been completed. No written evidence of completion of these actions has been seen.
<b>9.0</b>	Annexes: <ol style="list-style-type: none"> <li>1. Map of Coombelands</li> <li>2. Photos of infections</li> <li>3. Training records</li> <li>4. Attendance list of ASU tool box talk 2015</li> <li>5. Glove removal and hand washing workshop report</li> <li>6. RIDDOR notification</li> <li>7. RIDDOR notification</li> <li>8. Lessons Learnt 2014</li> </ol>
<b>9.0</b>	Documentation <ul style="list-style-type: none"> <li>• ASU 150E - Animal Sciences Unit bio security procedures –</li> </ul>

	<p>Appstree, Rectory, Halls, Grange and Coombelands farm units</p> <ul style="list-style-type: none"><li>• ASUF251 – Bio-security, health and safety instructions.</li><li>• RA325 - Risk of catching disease from farm and laboratory animals (zoonoses)</li><li>• SHWF038 PPE Training record</li><li>• SHW-S-016 Supervision and Monitoring of Employees</li></ul>
--	---