

ACCIDENT STATISTICS AND ENFORCEMENT RECORD

RECORD — ASSESSMENT FILE

Three years of figures, direct and subcontractor, the last two investigations, the HSE register check

KD-CAS-AS-003 Rev A0

The three-year accident record, the last two investigations and the five-year check of the HSE public registers — evidence for CAS v5 Q87 (and Q41 where an order is unresolved) and for element 8 of the SSIP Core Criteria. The question set asks large companies for the figures; the SSIP Core Criteria and Constructionline's Gold guide ask for a three-year accident record whatever the size of the business. The reporting arrangement is KD-HSA-AR-003, the annual review KD-HSA-PR-020, one investigation KD-SITE-IV-027 and one RIDDOR decision KD-SITE-RD-028. Written for Great Britain, where HSE keeps the registers searched in section 5; for work in Northern Ireland use the separate register on the HSE NI website.

The figures on this record must be the business's real records — the accident book, the incident and near-miss reports, the RIDDOR decisions and report references, the investigations. Never estimate. A year with nothing to report is entered as 0, not left blank, and a figure that cannot be traced to a record does not belong here.

1 THE BUSINESS AND THE PERIOD

LEGAL NAME	COMPANY NO.	COMPILED ON	COMPANY LOGO stamp, paste or print it here
FORMER AND TRADING NAMES — LAST FIVE YEARS			
PERIOD COVERED	YEARS ARE	COMPILED BY	DIRECT / SUBCONTRACT SPLIT BY
RECORDS THE FIGURES WERE TAKEN FROM			

2 THE CATEGORIES — AS RIDDOR 2013 DEFINES THEM, AND THE TWO THAT ARE THE BUSINESS'S OWN

Fatalities — the death of any person as a result of a work-related accident (RIDDOR 2013 reg 6(1)) or of occupational exposure to a biological agent (reg 6(2)); and the death of an employee within one year of the accident where an injury reportable under reg 4 is a cause of the death (reg 6(3)).

Specified injuries — the injuries listed in reg 4(1)(a) to (h): a fracture other than to a finger, thumb or toe; an amputation; an injury likely to cause permanent blinding or reduction in sight; a crush injury to the head or torso damaging the brain or internal organs; a burn meeting the conditions in reg 4(1)(e); scalping needing hospital treatment; loss of consciousness from a head injury or asphyxia; an injury from working in an enclosed space as reg 4(1)(h) describes.

Over-seven-day injuries — a person at work incapacitated for routine work for more than seven consecutive days, not counting the day of the accident (reg 4(2)).

Injuries to people not at work — a person not at work injured in a work-related accident and taken from the site to hospital for treatment, or who suffers a specified injury on hospital premises (reg 5). Optional in the table, but contractors working in occupied buildings may have them.

Reportable occupational diseases — diagnoses reportable under reg 8 (carpal tunnel syndrome, cramp in the hand or forearm, occupational dermatitis, hand arm vibration syndrome, occupational asthma, tendonitis or tenosynovitis in the hand or forearm — each only where the work conditions the regulation sets apply) and under reg 9 (cancers attributed to occupational exposure to a carcinogen or mutagen, and diseases attributed to occupational exposure to a biological agent).

Dangerous occurrences — the occurrences listed in Schedule 2 (reg 7), for example incidents involving lifting equipment, overhead electric lines or the collapse of scaffolding, whether or not anyone was hurt.

Lost-time injuries, not reportable — not a RIDDOR category: write the business's own definition below. RIDDOR 2013 reg 12 separately requires a record of injuries that incapacitate a person at work for more than three consecutive days, each entry kept for at least three years.

Near misses — not a RIDDOR category: an event that could have caused injury, ill health or damage and did not. Write the definition the business uses below.

Direct workforce — the business's own employees and the labour-only or agency workers it engages. Subcontractors — the people of the trade contractors it engages, for incidents on the business's work, so far as they are known.

LOST-TIME INJURY — OUR DEFINITION	NEAR MISS — OUR DEFINITION

3 THE FIGURES — THREE YEARS, DIRECT WORKFORCE AND SUBCONTRACTORS

YEAR 1 — FROM / TO

YEAR 2 — FROM / TO

YEAR 3 — FROM / TO

CATEGORY	Y1 DIRECT	Y1 SUBCON.	Y2 DIRECT	Y2 SUBCON.	Y3 DIRECT	Y3 SUBCON.
Fatalities RIDDOR 2013 reg 6						
Specified injuries reg 4(1)						
Over-seven-day injuries reg 4(2)						
Over-three-day injuries, not over seven recorded under reg 12						
Reportable occupational diseases regs 8 and 9						
Dangerous occurrences reg 7 and Schedule 2						
Injuries to people not at work (optional) reg 5						
Lost-time injuries, not reportable our definition, section 2						
Near misses recorded our definition, section 2						
Hours worked needed for rates — large companies						
Average headcount needed for rates — large companies						

TRADING LESS THAN THREE YEARS — PERIOD COVERED

NOTES ON THE FIGURES

Keep one set of figures: these yearly totals are the ones carried to KD-HSA-AR-003 section 3 and KD-HSA-PR-020 section 2.

Incidence rates — large companies. The question set asks a large company (Q15) for simple statistics showing incidence rates of fatalities, specified injuries, over-seven-day injuries, reportable ill health and dangerous occurrences for the last three years, including subcontractors. It does not fix the base: state the base used and how the rate was worked out. The rate is the business's own calculation from the figures above, not a figure from anywhere else.

BASE USED

HOW THE RATE IS WORKED OUT

INCIDENCE RATE — DIRECT AND SUBCONTRACTOR	YEAR 1 RATE	YEAR 2 RATE	YEAR 3 RATE
Fatalities			
Specified injuries			
Over-seven-day injuries			
Reportable occupational diseases			
Dangerous occurrences			

4 THE LAST TWO INVESTIGATIONS — AND WHAT CHANGED

The two most recent accidents or incidents that were investigated, with what the investigation found and what the business changed because of it. The full record of each is KD-SITE-IV-027. Leave a block blank rather than fill it with something that was not investigated.

Fewer than two accidents or incidents were investigated in the period — the number held is entered alongside

NUMBER INVESTIGATED IN THE PERIOD

Investigation 1

DATE OF THE EVENT	PROJECT / SITE	CATEGORY	KD-SITE-IV-027 REF
WHAT HAPPENED			
WHAT THE INVESTIGATION FOUND			
RECOMMENDATIONS MADE			
WHAT CHANGED AS A RESULT			
HOW THE CHANGE WAS COMMUNICATED	CHECKED IT WORKED — DATE AND BY	RIDDOR REF OR "NOT REPORTABLE"	

Investigation 2

DATE OF THE EVENT	PROJECT / SITE	CATEGORY	KD-SITE-IV-027 REF
WHAT HAPPENED			
WHAT THE INVESTIGATION FOUND			
RECOMMENDATIONS MADE			
WHAT CHANGED AS A RESULT			
HOW THE CHANGE WAS COMMUNICATED	CHECKED IT WORKED — DATE AND BY	RIDDOR REF OR "NOT REPORTABLE"	

RECORD — ASSESSMENT FILE

KD-CAS-AS-003 Rev A0

HSE publishes improvement and prohibition notices on its public register of enforcement notices ([notices.hse.gov.uk](https://www.hse.gov.uk/registers/enforcement-notice/)) five weeks after they are served, and keeps them there for five years. While HSE updates that register, some notices are published instead on a temporary register — a spreadsheet linked from the same HSE page — and HSE says both may need checking. Convictions are published on its register of convictions ([convictions.hse.gov.uk](https://www.hse.gov.uk/registers/convictions/)) nine weeks after conviction, and convictions of organisations stay there for ten years. (HSE web pages, read 13 September 2026 — the temporary register is an interim arrangement, so check the page again each time.) A notice served in the last five weeks, or a conviction in the last nine, must come from the business's own records. Search every register under the legal name, every trading name and every former name in section 1, and keep a dated screenshot or print of each result with this record.

[illegible]

☐ No enforcement notice, prosecution or other enforcement action in the last five years under any name in section 1 — confirmed by the searches in section 5 and by the business's own records.

SERVED	REGULATOR	TYPE	REFERENCE	WHAT IT REQUIRED	ACTION TAKEN	CLOSED	PROOF

The figures in section 3 are taken from the records named in section 1 and include subcontractors so far as their incidents are known; the investigations are summarised from their records; the registers were searched under every name on the dates shown, and there has been no enforcement action other than that listed in section 6.

DIRECTOR — PRINTED NAME		POSITION	SIGNATURE	DATE	NEXT REVIEW DUE
RESPONSIBLE DAY TO DAY		YOUR REVISION	WHAT CHANGED AT THIS REVISION		

R REVISION HISTORY

Every revision of this document, and every review that found nothing to change. The revision on the front of this sheet is the one you are holding — check kubitdocs.com for the current one before use.

Rev	Date	Class	What changed	Authorised by
D0	2026-09-13	first-issue	First issue.	— not yet approved —
A0	2026-09-13	review	Approved for issue by the author. Content unchanged from the reviewed draft; the draft status strip is removed. No independent third-party review has been carried out.	Author — director, UK principal contractor, SMSTS. Not an independent review.

Class: first-issue · material (the law, a control, a field or the scope changed — past buyers are notified) · editorial (wording or layout only) · review (checked, nothing changed) · withdrawal. Revision prefix D = draft, not approved and not for sale; A = approved for issue by the person named, on the date shown.