UNIVERSITY OF AMSTERDAM

INCIDENT MANAGEMENT POLICY
SAFE AND HEALTHY STUDY AND WORK

Adopted by decision of the Executive Board no. 2022-141301 on 13 November 2022

Disclaimer: Every effort has been made to provide an accurate translation. However, the official text is in Dutch; any differences arising from the translation are not binding and have no legal effect.

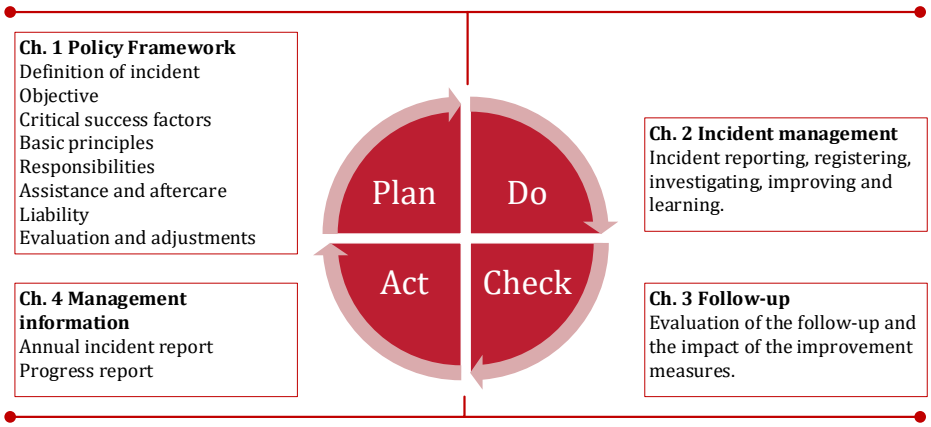
November 2022
Commissioned by: Jaap Weijermans, Safety and Security Coordinator
Author: Karin Walstra, Safety and Security Policy Officer

Table of contents

Introduction 3
1. Policy framework 5
1.1 What is an incident? 5
1.2 Purpose 5
1.3 Critical success factors 5
1.4 Basic principles 6
1.4.1 Legal framework 6
1.4.2 Prevention is better than cure 6
1.4.3 Responsible and professional conduct 6
1.4.4 Incident investigation 6
1.4.5 Administrative information 7
1.5 Responsibilities 7
1.6 Assistance and aftercare 8
1.6.1 Assistance and emergency response 8
1.6.2 Aftercare 8
1.7 Liability 8
1.8 Evaluation and adjustments 8
2. Incident management 9
2.1 Reporting an incident 9
2.1.1 Incident during a work placement or fieldwork in the Netherlands or abroad 10
2.1.2 Reporting an incident to the Netherlands Labour Authority 10
2.2 Registering an incident 10
2.3 Investigating an incident 10
2.4 Improving and learning 10
2.4.1 Identifying improvement measures 10
2.4.2 Enhancing learning effects 11
3. Follow-up of improvement measures 11
4. Management information 11
Appendix 1 What incident reports fall outside the scope of the policy? 12
Appendix 2 Scope of management information 13
Appendix 3 Reporting an incident to the Netherlands Labour Authority 14
Appendix 4 Incident investigation 16
Appendix 5 Risk assessment matrix 21
Appendix 6 Communication plan 22

Introduction

The University of Amsterdam (UvA) Incident Management Policy for safe and healthy study and work replaces the UvA-AUAS Incident Policy 2015[1]. The main difference is that upscaling and procedure in the event of crisis situations, impending or otherwise, is no longer part of the policy, but of the crisis indicator and that the policy exclusively applies to the UvA[2]. The focus of this policy lies on the reporting, registration and investigation of the underlying causes of incidents in order to learn from them, to improve safety and to reduce the risk of such incidents reoccurring. The 'plan-do-check-act' cycle forms the basis of the policy and is made up of four elements, namely the policy framework, incident management, follow-up of improvement measures and management information.



The policy is aimed at anyone who studies or works at the university and applies to incidents that may directly disrupt or harm the health and safety of students, employees and/or third parties[3]. This concerns:

- hazardous situations;
- accidents and near accidents;
- medical incidents;
- aggression and violence;
- fire.

Incidents can take place in the buildings, on the grounds, on the road, during the performance of fieldwork in the Netherlands and abroad, and while working from home.

[1] Adopted by decision of the Executive Board no. 2015cb0319 on 30 September 2015.

[2] Amsterdam University of Applied Sciences uses the same incident registration system. A similar work process applies to the follow-up of reports.

[3] People who work under the authority of the UvA or who lease or use UvA buildings or workspaces.

The policy does not cover the follow-up of reports in relation to:
- ICT security incidents;
- environmental and ionising radiation incidents[4];
- incidents that occur during large-scale construction projects;
- online intimidation and threats;
- potential exposure to asbestos and legionella;
- theft, burglary, vandalism and inconvenience such as flooding and noise disturbance, storm damage and graffiti;
- undesirable behaviour reported to a confidential adviser or to the ombudsman.

Undesirable behaviour (discrimination, mistreatment, bullying, sexual harassment and/or verbal aggression) can be reported to a confidential adviser. The ombudsman can be contacted as the need arises in a work or study situation for a listening ear, independent and impartial advice or mediation.

A specific work process applies to each of these incidents. *See Appendix 1* for a brief explanation of the procedures for reporting, recording and handling these incidents.

The policy does not cover the registration and follow-up of incident reports at the Academic Centre for Dentistry in Amsterdam (ACTA). The ACTA falls under the VU Amsterdam incident policy.

The policy also does not cover violations of the UvA Code of Conduct. The UvA-wide Framework for House Rules and the Code of Conduct details the action that will be taken in the event of various violations of the House Rules.

[4] When an employee, student and/or third party is involved, this is reported in the incident registration system as an accident or near accident.

1. Policy framework

1.1 What is an incident?

An incident is an event at work or during working hours that has or could have direct negative consequences for the health and safety of employees, students and/or third parties[5].
This concerns:

Hazardous situation	An event that poses an actual or immediate danger to students, employees and/or third parties, but does not involve injury or material damage. A hazardous situation can lead to an accident or near accident.
Near accident	An event that has not resulted in any damage to the health of students, employees and/or third parties, but has, or may have, resulted in material damage.
Accident	An event at work or during working hours that immediately leads to damage to health.
Medical incident	A state of health or personal circumstance of the person involved that requires an emergency response or company emergency response, such as a panic attack, underlying condition, state of being unwell, allergic reaction or the application/replacement of dressings to a previously sustained injury.
Aggression and violence	An event involving physical violence with/without injury, psychological violence, verbal violence and/or destruction of property.
Fire	An event involving unwanted fire that results in damage and/or danger and can spread unimpeded.

1.2 Purpose

The purpose of the Incident Management Policy for safe and healthy study and work is to register incidents that may directly disrupt or harm the health and safety of students, employees and/or third parties and to investigate the underlying causes in order to learn from them, to improve safety and to reduce the risk of such incidents reoccurring.

1.3 Critical success factors

The success of incident management depends entirely on the willingness of employees and students to report. This starts with the commitment of the Executive Board and supervisors[6] . They want to offer students, employees and third parties a safe and healthy learning and working environment, which is why they are committed to a safe reporting process, effective incident registration and proper incident investigation. Safe reporting means that the person making the report need not fear that disciplinary measures will be taken against him/her based on the report. The investigation focuses on the underlying causes and never on who is to blame. Perceived job or other insecurity will reduce willingness to report.
Communication about the how and why of reporting incidents and about incident follow-up is important. This information and the reporting form can be accessed online. The reporting form is clear and easy to complete. The responsible parties inform new and current students, employees and third parties about the reporting process, encourage them to report incidents and maintain a focus on safe and healthy working practices.
This helps to raise awareness of safety and means that hazardous situations and near accidents can be identified more quickly.

[5] People who work under the authority of the UvA or who lease or use UvA buildings or workspaces.
[6] Dean, director, section head, programme director, department chair/head or programme/team leader.

Treating the report as confidential, carrying out a timely investigation, following up and evaluating the measures where necessary demonstrates to the person making the report that real action has been taken in response to the report. This helps to increase the willingness to report and confidence that health and safety are important to the UvA.

1.4 Basic principles

The Incident Management Policy for safe and healthy study and work is based on a number of basic principles related to the legal framework, prevention, responsible and professional conduct, the investigation of incidents and the availability of administrative information.

1.4.1 Legal framework

With regard to the reporting and registration of incidents, the policy follows the Working Conditions Act, specifically Article 9: *Reporting and registration of workplace accidents and occupational illnesses*.

- The employer shall report workplace accidents that result in death, permanent injury or hospital admission directly to the Netherlands Labour Authority.
- The employer shall maintain a list of workplace accidents reported to the Netherlands Labour Authority and of workplace accidents that result in absenteeism of more than three working days. The employer shall register the nature and date of workplace accidents.

1.4.2 Prevention is better than cure

The UvA is responsible for a safe and healthy learning and working environment. This means that employees receive information and training[7] , that they work with the right tools and that there is supervision.
Implementation is set out in the *Occupational Health and Safety Policy*. Incident prevention also takes place through the performance of decentralised Hazard Identification and Risk Assessments (HIRAs) and the follow-up of measures from the action plan. The HIRAs provide insight into health and safety risks and assess whether the measures are effective and the risks are prevented or managed. The HIRAs lead to a report and an action plan. The *Occupational Health and Safety Policy* describes the HIRA process.

1.4.3 Responsible and professional conduct

Employees and students are expected to conduct themselves in a responsible and professional manner.[8] This means that they must refrain from endangering their own safety or that of others, for example by following instructions and working with the correct tools. In addition, they are asked to report any observed health and safety risks to their direct supervisor[9] or (using the online reporting form) to the *occupational health and safety coordinator*. This directly helps to achieve a safe and healthy learning and working environment.

1.4.4 Incident investigation

All incidents that involve a hazardous situation, accident or near accident, medical incident, aggression, violence or fire will be investigated by the person handling the report[10] to determine the impact and underlying causes with the aim of learning from them, improving safety and reducing the risk of reoccurrence.

---

[7] Working Conditions Act, Article 8: Information and training.

[8] Code of Conduct of the University of Amsterdam and Working Conditions Act, Article 11: General obligation of employees.

[9] Students shall report hazardous situations to lecturers, practical supervisors or supervisors responsible for fieldwork.

[10] This can be an occupational health and safety coordinator, security manager or the safety and permits adviser.

The incident investigation will commence within five working days and will be completed within four to six weeks. The responsible parties[11] support the investigation and are prepared to follow up on the improvement measures recommended by the person handling the report.

1.4.5 Administrative information

The Executive Board is informed of incidents that took place in the previous year in the annual report on the registration and analysis of incidents at the UvA[12]. Occupational health and safety coordinators use decentralised occupational health and safety progress reports[13] to report annually to the director of operational management on incidents involving the faculty or unit.
The annual report and progress reports are shared and discussed via the organisational hierarchy and with the representative advisory bodies[14]. The annual report is a public document and can be accessed online.
Through this approach, the UvA demonstrates its commitment to safety, its desire to learn from incidents and to proactively improve in order to reduce the risk of similar incidents. See also Chapter 4 on management information.

1.5 Responsibilities

The UvA is responsible for delivering high-quality teaching and research at all times. A safe and healthy learning and working environment is a key precondition to which students, employees and third parties all contribute.
The responsible parties inform new and current students, employees and third parties about the reporting process, encourage them to report incidents and maintain a focus on safe and healthy working practices. The occupational health and safety coordinators can provide information and training in this area where desired.

As a general rule, responsibility for providing assistance, following up the incident and aftercare lies with the unit where the incident took place, in accordance with the Occupational Health and Safety Policy, the Standard Operational Management Mandate, the Space Utilisation Regulations and the Company Emergency Response Policy[15] .

Facility Services is responsible for operational management of the incident registration system. The operational manager and incident registration key user are the connecting link between the users and the system. The operational manager ensures that the system continues to function properly. He is also responsible for implementing improvements and change requests in the system. The key user responds to user queries, is responsible for training the people who handle reports, communication to users, updating instructions and providing access to data for management information.

---

[11] Responsibility for following up the incident lies with the unit where the incident took place, in accordance with the Occupational Health and Safety Policy, the Standard Operational Management Mandate, the Space Utilisation Regulations and the Company Emergency Response Policy.

[12] The annual report is drawn up by the Occupational Health and Safety Service on behalf of the safety and security coordinator.

[13] This is in accordance with the Occupational Health and Safety Policy. The progress reports also provide insight into the planning of the HIRAs and implementation of the action plans.

[14] The central representative advisory bodies (Central Works Council and Central Student Council) receive the annual report from the director. The decentralised representative advisory bodies (Joint Works Council for the Shared Service Units, Faculty Works Council and Student Council) receive the annual report and progress reports from the director of operational management.

[15] No online version available. The policy was adopted by decision of the Executive Board no. 2015cb0316 on 30 September 2015.

1.6 Assistance and aftercare

1.6.1 Assistance and emergency response

The Company Emergency Response team[16] provides initial assistance and/or emergency response in the event of an accident or medical incident, until the professional emergency services take over. This has been laid down in the Company Emergency Response policy and is in accordance with the implementation of the Working Conditions Act, specifically Article 15: *Expert assistance in the area of company emergency response*.

1.6.2 Aftercare

Anyone who finds themselves in an unsafe situation, who has been involved in an incident or who experiences undesirable behaviour can contact a number of people, such as their supervisor, the occupational physician, welfare staff, the student doctor, a confidential adviser or the ombudsman. The guides to social safety for employees and students, which can be found on the UvA website, provide a good overview of points of contact.

1.7 Liability

The employer must provide its employees with a safe and healthy workplace and must make every effort to ensure that they do not fall ill or suffer an accident. The extent to which the employer is able to do this depends on what can reasonably be required. The corporate risk and insurance manager assesses in consultation with Legal Affairs whether the UvA is liable for the damages arising from the incident.

If the incident took place as a result of failure by the UvA to observe its duty of care, the UvA can usually be held liable for damages. The employee(s) concerned must be able to demonstrate that damages have been sustained as a result of the incident. The UvA is not usually liable if the UvA has complied with its duty of care or if the damages were not caused by the workplace accident. Employees are only liable for damages in the event of intent or deliberate recklessness. The burden of proof lies with the employer.

The employer's responsibilities and potential for monitoring working conditions in the home office are more limited. The employer will therefore be less likely to be held liable. For example, the employer cannot be held to account for a fall in the home office during the performance of work. If an employee is out of circulation for a long period or even becomes unfit for work due to a fall down stairs, the Sickness Benefits Act and the invalidity benefit schemes apply.

1.8 Evaluation and adjustments

The Incident Management Policy for safe and healthy study and work is evaluated and adjusted where necessary based on the outcomes of the Decentralised Occupational Health and Safety Policy HIRA. This HIRA provides insight into whether, or the extent to which, applicable occupational health and safety policy is effectively implemented by decentralised units such as faculties, units and Executive Staff. Based on the Workspace and Working Environment HIRA and the Psychosocial Workload HIRA, investigations are carried out within the faculty or unit to determine whether the improvement measures are effective in the prevention or management of health and safety risks[17]. Every year, the people who handle reports consult with the safety and security policy officer to evaluate the incident management work process based on the policy frameworks. The evaluation is a

[16] The Company Emergency Response team is made up of company emergency response officers, first aiders, CER team leaders and specialised CER officers, such as breathing apparatus operators at Amsterdam Science Park.

[17] See the Occupational Health and Safety Policy for the implementation and update criteria for HIRAs.

tool to evaluate the effectiveness of the work process and the quality of implementation and to make adjustments where necessary.
The annual report on the registration and analysis of incidents at the UvA and decentralised occupational health and safety progress reports may also give rise to adjustments to the incident management policy and/or work process where necessary.

2. Incident management

Incident management is a work process made up of the following steps: incident reporting, registration, investigation, improving and learning. The person making the report, the person handling the report and the initial investigator are the users of this system.

The UvA uses a digital incident registration system to support the work process. This system has a reporting, registration and dashboard function. The system ensures that incidents can be reported online and that reports are registered and investigated in accordance with a uniform process. A dashboard provides the people handling the complaints with an up-to-date and graphical overview of the reports, the types of incidents and the report handling status.

2.1 Reporting an incident

Students and employees can submit a report on their own behalf or for another person using the online incident reporting form. The person making the report can track the status of the report via My FS reports. The personal data of the person making the report and the party or parties involved will only be used for the purpose of handling the report and will not be circulated or used for other purposes[18]. For online reports there is a choice of several forms, as shown in the table below. This form is automatically forwarded to the person handling the report by the incident registration system. The person handling the report sees the reporting form by means of an authorisation and accepts the report for processing. The person handling the report can assign an investigator (for example the Occupational Health and Safety Service, the head of the Emergency Response team or the occupational health and safety coordinator) who will investigate the incident further on behalf of the person handling the report. The persons handling reports can stand in for each other in case of absence.

Reporting form	Person handling the report
Incidents, accident and near accidents; also for the reporting of fire and hazardous situations	Occupational health and safety coordinator
Theft, burglary (criminal offences), violence, aggression or vandalism	Security manager
Incident during a work placement or fieldwork in the Netherlands or abroad	Security manager
Inconvenience, such as flooding and noise disturbance, storm damage and graffiti	Safety and permits adviser

[18] Any personal data will be stored in accordance with the statutory periods, which can be up to thirty years, however the usual time limit in relation to personal legal action is ten years. These records fall under the Public Records Act and will be retained/destroyed in accordance with this Act.

2.1.1 Incident during a work placement or fieldwork in the Netherlands or abroad

In the event of an incident during a work placement or fieldwork in the Netherlands or abroad, the student or employee concerned should contact the faculty contact person and report the incident online through the UvA student website. See also the *Regulations governing teaching and research activities conducted outside UvA buildings and grounds (fieldwork)*. In urgent cases, the UvA Central Control Room can be contacted 24/7 by telephone on +31 (0)20-525 2222. In these cases, the Central Control Room will follow the crisis protocol.

2.1.2 Reporting an incident to the Netherlands Labour Authority

Under the Working Conditions Act, employers are required to report workplace accidents that result in death, permanent injury or hospital admission directly to the Netherlands Labour Authority. If a hospital admission or permanent injury can later be linked to the workplace accident, the employer must also immediately report the accident in question. This animation explains the working method of the Netherlands Labour Authority in the event of a workplace accident that must be reported. Reports are submitted to the Netherlands Labour Authority by the safety and security policy officer. See Appendix 3 for information on the procedure for reporting incidents to the Netherlands Labour Authority.

2.2 Registering an incident

The person handling the report uses the incident registration system to record additional information about the report, including:

- the results of the incident investigation
- the underlying causes
- the improvement measures
- the evaluation interview.

The person handling the report concludes the report in the incident registration system. The person making the report receives a notification that the report has been concluded, with feedback of the results.

2.3 Investigating an incident

When an incident is reported in the incident registration system, the person handling the report initiates the investigation process. The investigation process involves gathering all the facts necessary to understand the incident and to form an accurate picture of the impact[19] of the incident and to establish the underlying causes, referred to as the basic risk factors. See Appendix 4 for more a description of the investigation methodology.

2.4 Improving and learning

2.4.1 Identifying improvement measures

The incident investigation reveals the improvement measures needed to eliminate the underlying causes and to reduce the risk of such incidents reoccurring. The person handling the report presents the improvement measures to the relevant person in charge.
The measures follow the Occupational Safety Strategy[20] and take the form of measurable action points with a clear indication of who does what and by when.

---

[19] Including the nature of the injury and the direct consequences of the incident (absenteeism, material damage).

[20] Measures according to the Occupational Safety Strategy: 1. source-oriented approach; 2. collective measures; 3. individual measures; 4. personal protective equipment. A level can only be reduced where there is good reason to do so.

2.4.2 Enhancing learning effects

To maximise the benefits of the learning effects from an incident investigation, relevant findings and conclusions are discussed with the security manager during the occupational health and safety coordinators' consultation to ensure that similar incidents can be avoided in other faculties and/or units. The occupational health and safety coordinators discuss incidents within their own faculty or unit on a regular basis. The annual report on the registration and analysis of incidents at the UvA and the decentralised occupational health and safety progress reports enable the faculty, unit and university as a whole to learn from incidents.

3. Follow-up of improvement measures

In the case of a high-impact incident[21] it is important to hold an evaluation interview once the incident investigation has been concluded. The person handling the report initiates this evaluation within two weeks of conclusion of the incident investigation. The purpose of the interview is to evaluate the follow-up of the report and the impact of the improvement measures and to make adjustments where necessary.

4. Management information

The data from the incident registration system[22] is used as management information, whereby this data cannot be traced back to individual persons and a comparison is made with the previous years. Trends are identified by means of statistical analysis; see Appendix 2 for the scope. Insight into trends enhances the learning effect of incident reports by establishing links between individual incidents and the underlying causes. This enables faculties, units and the university as a whole to learn, to improve safety, and to reduce the risk of such incidents reoccurring.
Management information focuses on incidents that can directly disrupt or harm the health and safety of students, employees and/or third parties. This concerns:

- hazardous situations;
- accidents and near accidents;
- medical incidents;
- aggression and violence;
- fire.

Incidents can take place in the buildings, on the grounds, on the road, and during the performance of fieldwork in the Netherlands and abroad.
The annual report on the registration and analysis of incidents at the UvA for the Executive Board makes a comparison between the faculties and units. In the decentralised Occupational Health and Safety progress reports, the HIRAs and management information are linked to facilitate the detection and improvement of weaknesses in the overall security system.

In both the annual report and the decentralised progress reports, the recommendations made in previous documents are assessed and the author advises on new and existing improvement measures in relation to risk management[23], incident management, policy and/or whether additional research is needed in areas such as critical success factors; see section 1.3.

---

[21] Level of impact is determined by the impact of the damages or injury; see the risk assessment matrix; see Appendix 5.

[22] Supplemented with data from the incident registration system and TOPdesk for reports of hazardous situations.

[23] In other words, are the current measures sufficient to keep the health and safety risks under control?

Appendix 1 What incident reports fall outside the scope of the policy?

ICT security incidents

Information, ICT security incidents and data breaches are reported through the ICT Service Desk or directly to the Computer Emergency Response Team (CERT). Data breaches can also be reported directly to the data protection officer. Incidents are registered in the appropriate systems.

Environmental and ionising radiation incidents

Due to the specific laws and regulations, there is a separate work process for the reporting and follow-up of environmental and ionising radiation incidents. The UvA uses the expertise of the environmental and radiation experts within the Occupational Health and Safety Service for such incidents.

Incidents during large-scale construction projects

As the employer, the main contractor is responsible for following up the incident.

Potential and actual exposure to asbestos and legionella

Potential and actual exposure to asbestos can be reported by calling the number of the UvA Central Control Room: +31 (0)20-525 2222. The Central Control Room can be contacted 24/7. Potential exposure to legionella can be reported by telephone or by email to the safety and permits adviser. The safety and permits adviser will accept the report for processing and register it in the incident registration system.

Undesirable behaviour

Undesirable behaviour (discrimination, mistreatment, bullying, sexual harassment and/or verbal aggression) can be reported to a confidential adviser. The confidential advisers help students and employees to find a solution and to register the report anonymously. They can also support and assist students and employees in filing a formal complaint with the Complaints Committee. The ombudsman can be contacted as the need arises in a work or study situation for a listening ear, independent and impartial advice or mediation.

Online intimidation and threats

Reports of intimidation and threats in response to unsolicited emails, telephone calls or intimidating comments on social media can be made to a supervisor, the UvA Press Office and in urgent cases to the UvA Central Control Room. The Central Control Room can be contacted 24/7 on +31 (0)20-525 2222.
An expert team is available to support public appearances to filing a report with the police.

Theft, burglary, vandalism and inconvenience

Theft, burglary, vandalism and inconvenience such as flooding and noise disturbance, storm damage and graffiti can be reported by contacting security by telephone and using the online incident reporting form. Reports of theft, burglary and vandalism are handled by the security manager. Theft of personal property is reported to the police by the individual themselves. Theft of UvA property is reported to the police by the faculty, security manager or corporate risk and insurance manager. Reports relating to inconvenience are handled by the Facility Services safety and permits adviser.

Appendix 2 Scope of management information

The data from the incident registration system is used as management information, whereby this data cannot be traced back to individual persons and a comparison is made with the previous years. Trends are identified by means of statistical analysis, which includes the following as a minimum:

- Total number of reports;
- Type of incidents:
  - Hazardous situation including risk assessment[24];
  - Accident or near accident;
  - Medical incident;
  - Aggression and violence;
  - Fire.
- Location: buildings, grounds, on the road, during a work placement or fieldwork in the Netherlands or abroad;
- Reporting parties: students, employees, third parties;
- Underlying causes ('basic risk factors') plus the category 'Health and personal circumstances';
- Breakdown of the frequently occurring basic risk factors using 'cause codes'[25];
- Nature of the injury:
  - No injury; no damages;
  - Mild injury (sprain, small graze);
  - Moderate injury (bruising, ,mild concussion);
  - Serious injury (fracture, larger open wound).
- Direct consequences of the incident (absenteeism, material damage);
  - Absenteeism for longer than three days;
  - Minor damages (< €1,000);
  - Moderate damages (€1,000 < €10,000);
  - Considerable damages (> €10,000).
- Incident handling status: reported, in progress, pending follow-up actions, concluded[26];
- Reports to the Netherlands Labour Authority;
- Trends in improvement measures taken ('learning effect');
- Number of evaluations.

Reports relating to theft, burglary, vandalism, inconvenience, actual or potential exposure to asbestos, legionella, undesirable behaviour, intimidation, threats and ICT security, environmental and ionising radiation incidents fall outside the scope of the analysis. This information also features in other reports, such as the decentralised occupational health and safety progress reports, the risk section of the UvA annual report, the annual reports of the confidential advisers, the ombudsman's annual report, the Complaints Committee's annual report and the Faculty of Science's annual report on radiation protection and the environment.

Linking these reports makes it possible to distil learning effects from individual incidents and to detect and improve weaknesses in the overall security system. The result is a UvA-wide management report for the Executive Board.

---

[24] Where a hazardous situation has been reported, it is important to determine the risk of reoccurrence and the actual and potential severity of the consequences. A risk score is calculated by estimating the likelihood and the impact of the incident. The risk assessment matrix is used to determine the risk score; see Appendix 5.

[25] Cause codes are used in the incident registration system to identify and specify the basic risk factors.

[26] This is shown in the incident registration system as 'logged' (no follow-up actions required) or administratively settled (follow-up actions set out and ready).

Appendix 3 Reporting an incident to the Netherlands Labour Authority

Under the Working Conditions Act, employers are required to report workplace accidents that result in death, permanent injury or hospital admission directly to the Netherlands Labour Authority. If a hospital admission or permanent injury can later be linked to the workplace accident, the employer must also immediately report the accident in question. This *animation* explains the working method of the Netherlands Labour Authority in the event of a workplace accident that must be reported. Failure to report a workplace accident can be viewed as an offence and is punishable by a ticket or a judicially imposed penalty, or can result in a criminal investigation.

When must a workplace accident be reported?

According to the Working Conditions Act, a workplace accident is an event at work or during working hours that immediately leads to damage to health. It can be an accident at a business, at an institution, on a construction or other type of site or while working on the road. In short: anywhere people are working, whether at a permanent, temporary or mobile workplace.

- Road accidents that occur during official travel or during a commute are also workplace accidents. Commuting accidents are only classed as a 'workplace accident' if they involve vehicles belonging to the employer. In principle, road accidents are investigated by the police.
- For students, an incident is classed as a workplace accident to the extent that they are performing tasks similar to those conducted in the professional field.
- Accidents involving third parties working under the authority of the UvA, such as temporary workers, self-employed contractors and trainees, are considered workplace accidents if the incident is a result of work activities.
- Workplace accidents outside the Netherlands are subject to local legislation and do not need to be reported to the Netherlands Labour Authority.

A workplace accident must be reported if someone sustains a permanent injury, is admitted to hospital or dies as the result of an accident during work. 'Permanent injury' includes: amputation, full or partial blindness or chronic physical or psychological symptoms. 'Hospital admission' is understood to mean that a victim is admitted to a hospital. This also includes day-patient admission. Outpatient treatment is therefore not considered hospital admission.

Workplace accidents that must be reported that involve employees of third parties (contractors, suppliers and service providers) who perform work on behalf, but not under the authority, of the UvA must be reported by the employer in question.

Scenario 1: it is clear that a workplace accident must be reported

1. Once the Company Emergency Response organisation (company emergency response officer, first aider, head team leader or team leader) has established that a workplace accident must be reported, the incident is immediately reported to the UvA Central Control Room. The Central Control Room can be contacted 24/7 on +31 (0)20-525 2222.
2. The Central Control Room contacts the corporate risk and insurance manager by telephone.
3. Where necessary, the corporate risk and insurance manager asks security to secure the accident scene for investigation by the Netherlands Labour Authority, before taking the following action:
   a. He contacts the relevant dean/director or director of operational management by telephone, in order of availability, in order to notify parties including the victim's family. Where a death has occurred, the faculties or units follow *protocol in the event of a death*. In the case of an employee of a third party, Facility Services contact the relevant employer so that the employer can notify the family and report the incident to the Netherlands Labour Authority.

   b. He contacts the safety and security policy officer by telephone about the workplace accident (including: name of the person concerned, date, time, location, nature of the injury, hospital and witness details) for the purpose of reporting the incident to the Netherlands Labour Authority.
4. The Company Emergency Response organisation (company emergency response officer, first aider, head team leader or team leader) registers the accident using the online incident reporting form.

Scenario 2: it does not become clear until a later stage that a workplace accident must be reported

If hospital admission due to a workplace accident takes place at a later stage, the obligation to notify still applies. Examples include delayed recovery surgery or if full recovery proves impossible.
If it later emerges that an accident must be reported, which can be established by the employee in question, their supervisor, HRM adviser or the occupational health and safety coordinator, this person must inform the safety and security policy officer for the purpose of reporting the workplace accident to the Netherlands Labour Authority.
Working procedure: reporting an incident to the Netherlands Labour Authority
The safety and security policy officer is responsible for managing and implementing the report to the Netherlands Labour Authority. This officer can be contacted by calling: 020. - [27]

1. In the event of a fatal workplace accident, the safety and security policy officer reports the incident by telephone to the control room of the Netherlands Labour Authority. This control room can be contacted 24/7 on 0800-5151.
2. Non-fatal workplace accidents that must be reported are reported in writing using the Netherlands Labour Authority's *online* reporting form.
3. The safety and security policy officer liaises with the Netherlands Labour Authority regarding the handling of the report. The Netherlands Labour Authority will usually launch an investigation as soon as possible after receiving a report.
4. The safety and security policy officer facilitates visits by the Netherlands Labour Authority.
5. Once the workplace accident has been reported, the safety and security policy officer informs the corporate risk and insurance manager (scenario 2) and the relevant occupational health and safety coordinator (scenarios 1 and 2).

[27] The application for this phone number is ongoing. The purpose of this telephone number is to guarantee implementation and accessibility of the Safety and Security department in the absence of the safety and security policy officer.

Appendix 4 Incident investigation

When an incident is reported in the incident registration system, the person handling the report initiates the investigation process[28]. All incidents involving the following are investigated:

- hazardous situation;
- accident or near accident;
- medical incident;
- aggression and violence;
- fire.

Incidents can take place in the buildings, on the grounds, on the road, and during the performance of fieldwork in the Netherlands and abroad.
An incident can result in serious injury, illness or damage, but may also have only minor consequences. Lessons can be learned from all incidents to reduce the risk of reoccurrence. Even if incidents have minor consequences, the potential scale can be large. Investigation of these incidents can yield just as much information as investigation of cases resulting in serious injury.

Purpose of the incident investigation

The investigation process involves gathering all the facts necessary to understand the incident and to form an accurate picture of the impact of the incident and to establish the underlying causes, referred to as the basic risk factors.

Timeline

- The incident investigation will commence within five working days and will be completed within four to six weeks. The quality of evidence can rapidly deteriorate and investigations carried out at a later stage are not usually as convincing as investigations carried out immediately after an incident.
- In the case of a high-impact incident[29] it is important to hold an evaluation interview once the incident investigation has been concluded. The person handling the report initiates this evaluation within two weeks of conclusion of the incident investigation.

Investigation method

The investigation method consists of:

1. gathering information;
2. inspecting the location;
3. talking to those involved;
4. checking documents, procedures and information;
5. establishing the order of events.

The person handling the report records the investigation results in the incident registration system.

[28] The person handling the report can assign an investigator (for example the Occupational Health and Safety Service, the head of the Emergency Response team or the occupational health and safety coordinator) who will investigate the incident further on behalf of the person handling the report.

[29] Level of impact is determined by the impact of the damages or injury; see the risk assessment matrix; see Appendix 5.

1. Gathering information

The aim of this part of the investigation is to gather as many facts as possible, which can provide a better insight into the incident and the circumstances surrounding it. What, how and why questions are asked to ensure that all facts are uncovered.

- How did the injury occur? – Injury phase
- Why did the incident occur? – Incident phase
- What went wrong? – Direct causes[30]
- What caused the circumstances? – Indirect causes[31]
- Why is it organised in this way? – Underlying causes[32]

2. Inspecting the location

On-site observations can yield important evidence. Statements from witnesses and others are usually also easier to place and to verify when discussed on site. The person handling the report checks whether there are conditions in the immediate vicinity that could have contributed to the incident.

3. Talking to those involved

The person or people involved are asked to give a step-by-step description of what happened before, during and after the incident. The person or people involved are also asked what can be improved and what measures are appropriate. At the end, the person handling the report summarises and records the conversation in writing. The report is discussed with the person or people involved to verify that the conversation has been accurately recorded.

4. Checking documents, procedures and information

The aim of the investigation is to establish the extent to which procedures and instructions were understood and followed, because this can be an indication of the efficiency of training and supervision. The investigation also assesses the extent to which procedures are relevant and were correctly applied.

5. Establishing the order of events

As the investigation progresses, it is important to establish the order of events in order to determine the underlying causes. This means that backward reasoning is applied to the initial discoveries to identify the underlying causes.

[30] For example falling, trapping, cutting, spilling, slipping.

[31] Unusual situations or actions. For example no visibility, slippery floor, failure to pay attention, failure to follow instructions.

[32] Always present, for example an uneven step, stiff door or machinery maintenance.

Identifying the basic risk factors

The Tripod method groups the underlying causes into 11 basic risk factors (BRF). The person handling the report records the BRFs in the incident registration system using 'cause codes'. 'Health and personal circumstances' has been added as an additional category for medical incidents in the incident registration system. One or more basic risk factors can be defined for each incident.

Basic risk factors	Description
Organisation	The quality of the organisational structure and organisational measures in relation to responsibilities and authorities. **Cause codes** Org 1 Insufficient supervision Org 2 No or insufficient training time Org 3 Unclear tasks, responsibilities and/or competences (TRC)
Conflicting objectives	The way in which health and safety objectives are protected against other (conflicting) objectives, such as time pressure, production and budget control. **Cause codes** S_D 1 Safety versus economic interest S_D 2 Safety versus planning S_D 3 Aesthetics versus functionality S_D 4 Individual versus business interest
Communication	The quality, availability and effectiveness of communication lines between different sites, departments or individuals. **Cause codes** Com 1 No information Com 2 Wrong information Com 3 Incomprehensible information Com 4 Wrong interpretation
Procedures	The quality and effectiveness of operational and other business procedures (guidelines, procedures, instructions and manuals) that are also actually known and used, in terms of usability, availability and comprehensibility. **Cause codes** Proc 1 Protocols/manuals missing, incorrect or incomplete Proc 2 Laws and regulations; non-compliance Proc 3 Failure to observe warning symbols Proc 4 Failure to follow procedures
Training and instruction	Quality of the training, instruction and/or information provided to the people who actually need this (professional and technical training) **Cause codes** TO 1 Insufficient training TO 2 No instruction
Design	The quality of the design of the entire installation, installation components, set-up of equipment, materials, resources and/or tools. **Cause codes** Ontw 1 Design error Ontw 2 Construction error building and research set-up

Basic risk factors	Description
Materials and resources	The condition, expected lifespan and availability of materials, tools, equipment, resources and components. This BRF does not include: • failure due to poorly designed installations = design BRF • failure due to poor maintenance = maintenance BRF **Cause codes** MatM 1 Incorrect assembly MatM 2 Incorrect use MatM 3 Obsolete materials
Maintenance	The quality and effectiveness of maintenance procedures (guidelines, procedures, instructions and manuals) that are also actually known and used, in relation to planning, availability of maintenance personnel and maintenance method. This BRF is a combination of factors that also occur in other BRFs. It is considered a separate topic, however, due to the important role that maintenance plays in many accident scenarios. Topics relevant to the implementation aspects of maintenance are considered in the following BRFs: Environmental factors, Procedures, Design, Materials and resources, and Communication. **Cause codes** ONDH 1 Non-approved materials and resources ONDH 2 Maintenance performed incorrectly ONDH 3 Insufficient maintenance performed
Order and tidiness	Order and tidiness of the working environment. The availability of facilities for housekeeping and cleaning and for the removal of waste, tools and materials. **Cause codes** ON 1 Poor housekeeping practices ON 2 Poor cleaning practices ON 3 Failure to remove waste ON 4 Insufficient cable management
Environmental factors	External conditions at the workplace that increase the risk of making mistakes but also motivation and work pressure/stress. **Cause codes** OMGF 1 Deliberate unsafe behaviour OMGF 2 Physically poor climate conditions: noise, heat, cold, odour, darkness, gas leaks, blockages OMGF 3 Psychological conditions
Protective equipment and protection method	The quality and effectiveness of equipment and protection measures and systems that are used/taken to manage the causes and/or effects of operational disruptions and system errors, as well as personal awareness and the use of personal and other protective equipment, alarm systems, emergency stop procedures, damage-limiting measures and procedures. **Cause codes** P_BM 1 No protective equipment P_BM 2 Incorrect use P_BM 3 No barrier equipment/warning equipment

Health and personal circumstances	These are medical incidents that relate to a state of health or personal circumstances of the person involved, requiring emergency response or company emergency response, such as a panic attack, underlying condition, state of being unwell, allergic reaction or the application/replacement of dressings to a previously sustained injury. **Cause codes** GZ 1 Illnesses GZ 2 Conditions GZ 3 Medication use GZ 4 State of being unwell

Appendix 5 Risk assessment matrix

Risk = Likelihood x Impact

What is the likelihood that the hazardous situation will result in damage or loss?

A. Very likely
B. Possible
C. Unlikely

What is the **impact** of the damage or injury?

A. Irreversible damage (disability, death) or long-term absenteeism for at least 1 person or major stagnation of the business operations due to hazards that are very possible and likely.
B. Recoverable damage such as injury and limited absenteeism for at least 1 person or limited business interruption loss due to hazards that regularly occur or that involve a breach of the statutory minimum requirements or professional requirements or failure to follow UvA policy.
C. Genuine possibility of limited damage such as inconvenience, injury without absenteeism or mild disruption to the business operations due to common hazards.

The risk can then be determined as follows by the risk model.

		KANS		
		onwaarschijnlijk	mogelijk	zeer waarschijnlijk
EFFECT	Onomkeerbare schade	midden risico	hoog risico	hoog risico
	Herstelbare schade	laag risico	midden risico	hoog risico
	Beperkte schade	laag risico	laag risico	midden risico

Appendix 6 Communication plan

Introduction

The University of Amsterdam (UvA) Incident Management Policy for safe and healthy study and work replaces the UvA-AUAS Incident Policy 2015[33] . The main difference is that upscaling and procedure in the event of crisis situations, impending or otherwise, is no longer described in this policy, but is instead part of the crisis indicator and that the policy exclusively applies to the UvA. The focus of the policy lies on the reporting, recording and investigating the underlying causes of incidents in order to learn from them, to improve safety, and to reduce the risk of such incidents reoccurring.

The policy is aimed at anyone who studies or works at the university and applies to incidents that may directly disrupt or harm the health and safety of students, employees and/or third parties. This concerns:

- hazardous situations;
- accidents and near accidents;
- medical incidents;
- aggression and violence;
- fire.

Incidents can take place in the buildings, on the grounds, on the road, or during the performance of fieldwork in the Netherlands and abroad.
The policy has been shaped and discussed with the occupational health and safety coordinators, the senior safety expert within the Amsterdam UMC Occupational Health and Safety Service, Facility Services, Legal Affairs, security managers and the CRIM. The policy has been discussed with other stakeholders such as the heads of CER, the Social Safety working group, the FS Security team, the Directors of Operational Management and the Heads of P&O.

Target audiences

Once the Executive Board has adopted the policy with the approval of the Central Works Council and the Central Student Council, it is important that the following target groups are informed and encouraged to contribute to the implementation of the policy, willingness to report and awareness of reporting options and their usefulness.

- Supervisors[34]
- New and current employees
- New and current students
- Security and the Company Emergency Response team
- HRM
- Facility Services
- Student Services
- Occupational Health and Safety Service

[33] Adopted by decision of the Executive Board no. 2015cb0319 on 30 September 2015.
[34] Dean, director, section head, programme director, department chair/head or programme/team leader.

Communication strategy

Focus on the policy at three points in time
In order to inform and motivate new and current employees and students, we are developing a coherent mix of resources that will be deployed at three points in time. Through repetition, we ensure ongoing attention to/awareness of a safe working and learning environment.

Ensuring awareness and information on induction
The importance of reporting incidents must also be brought to the attention of employees and students through various channels and resources. Supervisors, student services and occupational health and safety coordinators are key ambassadors. In addition, communication to new employees and students can be ensured by including information in induction programmes and the START magazine.

Ambitions in knowledge, attitude and behaviour

Knowledge
The target groups know:
- That they can report unsafe situations, accidents and near accidents online.
- What kind of incidents and unsafe situations they can report.
- Why central reporting/registration is important – usefulness and necessity.
- That by reporting incidents they are helping to improve the safety of the working and learning environment.
- What happens to their report and how this benefits them and others.
- That the UvA is firmly committed to a safe work and study environment and wants to make improvements.

Supervisors and occupational health and safety coordinators are aware of their role as ambassadors: to encourage reporting and feedback.

Attitude
Employees and students recognise the usefulness/necessity/added value of being alert and centralised reporting.

Behaviour
Employees and students are alert to unsafe situations and report these situations more frequently than before.

Strategy

The communication strategy focuses on: informing, raising awareness of safety and motivating.

Information and visual resources based on real-life stories
- The Communications Office recommends developing a mix of resources which makes extensive use of imagery (photo and video) and personal real-life stories from the working and learning environment in order to make the message tangible, personal and recognisable.
- The tone of the campaign and communication is warm/empathic/helpful and encouraging, thought (and action) provoking, and is not patronising.
- The message is clearly recognisable in word and image.

Basic principles

- In communications we do not refer to 'incident registration' but instead to the reporting of accidents, incidents and hazardous situations. The term incident is too abstract for employees and students and has different interpretations. Most people do not understand incidents to mean hazardous situations, whereas we do want them to report them.
- The use of communications resources will be agreed with communications colleagues in faculties and units.
- Coordination with HRM and Student Services for inclusion in employee and student induction programmes.
- All (online) information will be offered in two languages: Dutch and English.

Organisation of communication

The communications resources will be developed by a communications adviser at the UvA's Communications Office in close collaboration with the people handling the reports and the safety and security policy officer.

Collaborative partners

The communications adviser will ensure the placement and findability of the forms in consultation with the Communications web editors. The line management and heads of Communications will be asked to roll out the communications resources and campaigns within their faculties and departments.

Overview of communications resources

In the communications process we will use various existing communications resources plus a number of new communications resources and campaigns to be developed for this topic.
Resources/channels to be deployed

- Reports for employee and student newsletters;
- A2 and A3 posters;
- Slides for displays;
- Specific resources yet to be developed, such as film;
- Social media.

The induction or provision of information to new employees and new students is primarily done by the faculties and departments. They do not do this in a uniform way.

Budget/cost estimate

All amounts are exclusive of VAT and inclusive of Communications Office hours	
Development of draft mix of resources	€3,000
Posters/digital displays	€5,000
Film and other resources	€5,000
Translations	€1,000