karbon group

Providing a strong foundation for life.

# Mandatory Occurrence Reporting Policy

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|---|---|
| Responsible Officer | Building Safety Manager |
| This policy is applicable to | Karbon Group |
| Policy version | 2 |
| Date this version implemented | 1st October 2026 |
| Date of next review | 30th September 2029 |

## Policy statement

One of our key strategic aims is to keep our customers safe, this includes meeting all of our duties and responsibilities under building safety legislation including the implementation of a mandatory occurrence reporting system for all of our high-rise residential buildings (buildings over 18 meters in height or buildings 7 or more stories in height) to meet the requirements of the new regulatory framework overseen by the Building Safety Regulator.

## Risk the policy is designed to control

Principle Risk: 1. Health and Safety

Description: Risk of failure by the Group to take all reasonable health and safety measures leading to serious injury or loss of life

Failure to comply with all regulatory and legislative duties and responsibilities of building safety legislation plus ensuring the continued safety of customers and others who live and visit our high-rise residential buildings.

## Key performance measures

We will review the effectiveness of the policy following any reportable incident (or safety occurrence) as defined within paragraph 3.6 of this policy.

## Definitions

An '**Accountable Person**' is an organisation or individual who owns or has legal obligation to repair any common parts of a building such as the structure of a building, corridors, lobbies and staircases. This is a role with legal duties defined by The Building Safety Act 2022 to manage the fire and structural safety risks of a high-rise residential building.

A '**Principal Accountable Person**' is a role which must be one clearly identifiable accountable person for each high-rise residential building, if there is just one Accountable Person for a building, then the Accountable Person is also the Principal Accountable Person.

A '**High-Rise Residential Building**' is a building which is over 18 metres in height or has 7 or more storeys and contains at least two residential units. This can include blocks which fall below these height thresholds but are connected to a building which

is considered to be high-rise in a specified way. A list of HRRB's can be found later in this document.

A '**Higher-Risk Building**' is a building which meets the definition of a high-rise residential building or is a care home or a hospital which meets the same height threshold.

A '**Relevant Complaint**' is an issue which specifically relates to a '**building safety risk**' concerning structural failure and/or spread of fire or relates to the performance of an Accountable Person in connection with a specified high-rise residential building.

The '**Building Safety Regulator**' is the regulator for high-rise residential buildings in England and part of the Health and Safety Executive, they oversee the safe design, construction and occupation of high-risk residential buildings so that residents are safe and feel safe.

A '**Building Assessment Certificate**' is a certificate which is issued by the Building Safety Regulator following application once they are satisfied that the relevant duties of the Building Safety Act 2022 in relation to any occupied higher-risk building are being complied with.

A '**Competent Person Scheme**' is a self-certification scheme that allows individuals and enterprises to self-certify that their work complies with the building regulations as an alternative to submitting a building notice or using an approved inspector to apply for building regulations approval. The scheme allows tradespeople to prove their ability to carry out certain work to required standards.

A '**Change Control Application**' is an application that is required where there is a change to what is being constructed compared to what was approved through a building control application.

A '**Mandatory Occurrence Report**' is a report intended for reporting building safety incidents and risks in an occupied higher-risk building which must contain prescribed information which must then, in prescribed circumstances be given to the Regulator within a prescribed timescale and in a specified way.

## Abbreviations

AP – Accountable Person
PAP – Principal Accountable Person
BAC – Building Assessment Certificate
BSA – Building Safety Act
BSR – Building Safety Regulator
HRRB – High-Rise Residential Building
MOR – Mandatory Occurrence Reporting
The Group – Karbon Homes and all Subsidiaries

## 1.0 Purpose of policy

1.1 The purpose of this policy is to set out how The Group will operate a system for mandatory occurrence reporting in respect of building safety.

1.2 Under new Building Safety law, certain incidents or risks are required to be reported to the Building Safety Regulator. These are known as mandatory occurrence notices and reports (MOR).

## 2.0 Objectives

2.1 Establish and operate a system for mandatory occurrence reporting in relation to any occupied high-rise residential building or the construction of any new higher-risk building.

2.2 To ensure that all legislative duties and responsibilities under The Building Safety Act 2022 as the Accountable Person and as Principal Accountable Person are met.

## 3.0 Policy detail

3.1 The system for mandatory occurrence reporting will relate to specific reportable building safety incidents defined by The Building Safety Act 2022.

3.2 The system will enable the reporting and recording of incidents and situations by individuals to the AP along with the recording of incidents and situations identified by the AP.

3.3 The system must be accessible and enable prompt reporting by any of the following:

- Any resident of a high-rise residential building
- Other Accountable Persons (where applicable)
- Others who may use a high-rise residential building

3.4 The system will also enable the timely assessment of reports or records of incidents and situations to determine whether they constitute a safety occurrence which will require the subsequent notification and reporting to the Building Safety Regulator within the required periods.

3.5 We will share information about how the mandatory occurrence reporting system works all of those detailed in paragraph 3.3 along with the BSR when requested to do and as part of applying for a Building Assessment Certificate.

**Definition of a Reportable Incident (or Safety Occurrence)**

3.6 A building safety incident is considered to be reportable if it has caused, or if not remedied is likely to cause:

- The death of a significant number of people
- Serious injury to a significant number of people

A building safety incident must also involve at least one of the following:

- Structural failure of the building
- The spread of fire in the building

3.7 Karbon Homes Limited as individual AP must report any incident that meet these criteria to the BSR as a safety occurrence. A safety occurrence is something which if not remedied, could cause serious harm to people when the building is in use.

3.8 Examples of safety occurrences in relation to our occupied high-rise residential buildings that could meet the criteria of what must be reported to the BSR, include:

- The spread of fire beyond the compartment of origin
- Total or partial collapse of a building
- Defective building work
- Unexpected failure or the degradation of construction materials
- The discovery of structural defects
- Failure of a critical fire safety measure, such as an automatic opening vent, smoke extraction or fire doors

If, in the event that a safety occurrence is remedied immediately, it must still be reported.

**Making a Report on the MOR System**

3.9 Details will be placed on display in each lobby of each HRRB by way of a poster providing an overview of the MOR system, this will include details of the following:

- What should be reported.
- The different channels that may be used for raising a report including how to submit photo or video evidence.
- Details of how and when the report will be dealt with.
- When those making a report should expect a response.
- What to do if they need information in a different language or in an alternative format.

It will be the responsibility of the Building Safety Manager to ensure that this information is displayed, this will include a bite-size document of key information to ensure the Policy is accessible to residents.

**Assessing Reports made on the MOR System**

3.10 Karbon Homes as an AP or PAP will promptly assess any reports submitted via the MOR system taking into account the following factors:

- The factors that make up the report
- If a mandatory occurrence notice and report must be submitted to the BSR
- If the incident has already been investigated
- If the report contains additional information relating to a previously raised incident

It will be the responsibility of the Building Safety Manager to assess such reports in accordance with this policy including to determine whether these meet the criteria of a safety occurrence.

**Building Safety Complaints**

3.11 If a concern is raised with Karbon Group as a building safety complaint and is considered to be a relevant complaint and this also meets the definition of a reportable incident or safety occurrence, it must be identified as soon as possible and reported to the BSR as set out below.

**Recording of Safety Occurrences**

3.12 All relevant information in relation to any safety occurrences identified by the AP must be recorded.

**Reporting an Incident to the Building Safety Regulator**

3.13 When a safety occurrence happens or is identified that meets the criteria or definition as a reportable incident, Karbon Homes as an AP or PAP must submit a:

- Notice as soon as we can
- Report within 10 days of the safety occurrence being identified

This can be done online via the link provided below:

Submitting mandatory occurrence notices and reports - GOV.UK

Alternatively, the BSR can be contacted on 0300 790 6787

Monday to Friday, 8:30am to 5pm (except Wednesdays which are 10:00am to 5pm) and public holidays when they are closed.

3.14 Failure to report an incident is considered an offence and enforcement action could be taken including prosecution.

3.15 If a MOR has already been submitted to the BSR, a further report does not need to be submitted for the same safety occurrence.

**Submitting a Notice to the Building Safety Regulator**

3.16 To submit a notice, the following will need to be provided:

- The name, address, telephone number and email address of the AP submitting the notice
- The address of the building where the incident or risk has been identified
- The date the incident, safety occurrence or risk was identified
- A brief description of the nature of the incident or risk
- Details of any immediate actions taken to keep people safe

When a notice is submitted, the BSR will provide a reference number which can then be used to submit a MOR.

### Submitting a Report to the Building Safety Regulator

3.17 After submitting a notice and no later than 10 days after the safety occurrence being identified, a report must be submitted to the BSR, the following will need to be provided:

- The mandatory occurrence notice reference number
- The date and time of the safety occurrence
- The date and time the safety occurrence was first notified to the BSR
- The date of submission of the report to the BSR
- The address of the building where the incident, safety occurrence or risk has been identified or took place
- The name, address, telephone number and email address of the AP making the report
- The name of our organisation and its involvement in the building
- Details of the incident, safety occurrence or risk that is being reported including:
- How the safety occurrence was discovered
- Whether any persons were injured or killed as a result of the safety occurrence
- Details of any recent building work
- Details of what has happened or has the potential of happening
- Who is involved and the effect on them
- What you have done and plan to do to keep people safe
- Details of any wider impact or other considerations
- Any supporting information, such as documents, videos or photos

If it is intended to gather more information after submitting the report, we must also tell the BSR when we expect to have it. The BSR may also contact us if they need any extra information.

### After Submitting a Report

3.18 The BSR will review the report and determine the severity of the safety occurrence, they will also review any safety measures that are in place, and if they are sufficient to manage the risk.

We will be contacted by the BSR if:

- The BSR need any further information
- The BSR decide the incident or risk did not need to be reported
- The BSR decide an investigation needs to be started

During any investigation, the BSR will review the findings and decide if any action is needed.

### Building Safety Regulator Costs and Charges

3.19 It is noted that, there are no charges for making a MOR notice and report however investigations do incur cost recovery charges from the BSR, further details can be found at the following:

Charging scheme - Building safety - HSE

**Building Safety Cases**

3.20 All building safety occurrences must be included in the relative building safety case and appropriately considered as part of that case.

**Other Mandatory Occurrence Notices and Reports**

3.21 In the event of any of the following scenarios, Karbon Group in accordance with legislative duties will ensure that any appointed Principal Designers and Principial Contractors establish and operate a MOR system in accordance with sections 32 to 37 of The Building (Higher-Risk Buildings Procedures) (England) Regulations 2023, during:

- Construction of a new higher-risk building
- Work on an existing higher-risk building unless the work consists only of exempt work or emergency repairs
- Work on an existing building that causes it to stop being a higher-risk building
- Work on an existing building that will make it a higher-risk building

3.22 The MOR system must be established and operated before construction or building work begins and must be maintained and operated throughout the project. Principal Designers and Principal Contractors can operate the same, or separate MOR systems.

3.23 Details of how the MOR system works must be shared with the following:

- Designers, contractors and others working on the project, before they begin any work
- Anyone who enters the work site, as soon as possible
- The BSR, when requested

3.24 Details that should be provided will be the following:

- What they need to report
- How they make a report
- How and when the report will be dealt with
- When they should expect a response about a report they have made
- How information will be collected and stored in line with United Kingdom General Data Protection Regulation (GDPR)

3.25 Any MOR system must enable prompt reporting of safety occurrences by designers and contractors working on the project and also others who periodically visit the work site for prompt review to decide if any action is needed.

3.26 Notices and reports would only relate to the building that is under construction or undergoing building work, they would not relate to safety incidents relating to the construction site in general or any temporary structures.

3.27 Examples of safety occurrences in relation to the building that is under construction or undergoing building work that could meet the criteria of what must be reported to the BSR, include:

- Defective building work, including defective work undertaken under a Competent Person Scheme which is part of the wider building work
- Fire safety issues likely to result in the spread of fire
- The use of non-compliant products or incompatible compliant products in the construction of the building
- Inappropriate or incorrect installation of construction products
- Product failure against specification and claimed performance
- Faults in the design plans, caused by either design software or human error

If, in the event that a safety occurrence is remedied immediately, it must still be reported.

3.28 To help identify building safety incidents and risks, frequent inspections of the design work must be set up by the Principal Designer and frequent inspections of the building work must be set up by the Principal Contractor. For design work, a building safety risk is an aspect of the design related to structural integrity or fire risk, which if built could cause death or serious injury to a significant number of people.

3.29 Where necessary, if a MOR report is submitted during construction work and as a result a design or plans need to be corrected, a change control application may also need to be made to request a major change to the building control application.

**Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR)**

3.30 If during building work involving any of the following scenarios a work-related incident occurs that must be reported under RIDDOR, a separate MOR notice and report must also be submitted if the incident meets the definition of a reportable incident or safety occurrence:

- Construction of a new higher-risk building
- Work on an existing higher-risk building, including work that causes it to stop being a higher-risk building
- Work on an existing building that will make it a higher-risk building

## 4.0 Scope of Policy

4.1 The mandatory occurrence system will operate in relation to all existing in-scope high-rise residential buildings which are at least 18 meters or 7 storeys in height, and also contain at least two residential units as defined by The Building Safety Act 2022.

A list of the existing high-rise residential buildings to which this Policy applies can be found here:

List of Existing HRRB's.docx

4.2 The system will also apply with immediate effect to any building newly constructed by the Karbon Group which falls into the category of a high-rise residential building under The Building Safety Act 2022 once that building has been successfully registered with the BSR and once occupied.

4.3 The system will also apply with immediate effect to any further existing building acquired by the Karbon Group which falls into the category of a high-rise residential building under The Building Safety Act 2022 once the Karbon Group has legislative duties as a PAP.

## 5.0 Customer Vulnerabilities

5.1 This policy is applied in line with our Customers in Vulnerable Circumstances Policy. We want people to be treated fairly, have equality of opportunities, freedom, respect, and access to our services.

5.2 We will support people in vulnerable circumstances to help us deliver this service. We will work alongside external agencies such as social services, the police and fire services and other appropriate agencies to help and support people in vulnerable circumstances and to ensure we meet our statutory and regulatory requirements as a social landlord.

5.3 Policies and key information are made available on our websites.

## 6.0 Monitoring and Review

6.1 This policy will be reviewed every three years to ensure that the system remains effective, by the Group Assistant Director of Building & Customer Safety, delegated by the Executive Director of Customer Services.

6.2 The review will be brought forward to comply with regulatory or legislative requirements if needed and also in the event of a reportable incident (or safety occurrence) whereby investigation finds the system not to be effective and immediate change is required, this will include taking into account any recommendations made by the BSR.

6.3 We shall consult with all residents of our high-rise residential buildings on any changes in accordance with our Resident Engagement Strategy.

6.4 The Executive Director for Customer Services is responsible for delegating the monitoring, review and implementation of the policy.

## 7.0 Equality and Diversity

7.1 This policy is applied in line with our Inclusion and Belonging Policy. This includes the legal requirements of the Equality Act 2010, Workers Protection Act 2023 and the Public Sector Equality Duty.

7.2 At the Karbon Group we aim to eliminate discrimination, promote equality of opportunity, foster good relations and define the nine protected characteristics

of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race, religion or belief, sex, or sexual orientation.

7.3 If you would like this or any other policies in a different language or format please contact inclusion@karbonhomes.co.uk.

## 8.0 Data Protection and Privacy

8.1 We have a clear policy on data protection and sharing data with other partners/third parties under the requirements of the UK General Data Protection Regulation, the Data Protection Act 2018 and other associated legislation. This is clearly set out in the Data Protection Policy for the Karbon Group which, along with its associated procedures, must be followed throughout the operation of this policy.

### Appendix A

Bite size document of key information to ensure that the MOR policy is accessible for customer is currently being developed by our Comms Team and will be included as an appendix as well as being presented in a poster format in our high-rise residential buildings.