

*DRAFT***PART 3 - DELIVERING EFFECTIVE ARRANGEMENTS FOR MANAGING FOR HEALTH & SAFETY: EXPANDING FURTHER ON 'PLAN, DO, CHECK, ACT'**

This section is focused on those who need to put in place or have particular responsibility to oversee their organisation's arrangements for health and safety. It expands 'Where to start' (Table 2 – Part 2) to give you more information on the actions involved in delivering effective arrangements. It is intended to be used to help address any specific areas requiring attention that are identified as a result of the questions answered in Part 2:

- Plan
  - Policy
  - Planning
- Do
  - Risk Profiling
  - Organising for health & safety
- Check
  - Measuring performance
  - Investigating incidents
- Act
  - Reviewing performance
  - Learning Lessons

**In commenting on this section please could you also consider:**

- (i) **Whether there are additional areas, for example emergency planning, that could usefully be included;**
- (ii) **Whether the '4C' (Control; Co-operation; Communication; Competence) model is still relevant, particularly in light of the introduction of the HSE Strategy themes of Worker Involvement and Competence in Part 2 of this guidance.**

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### Determine your Policy

An important part of achieving effective health & safety outcomes is having a strategy and making clear plans. You need to think about what it is that you are going to do to manage health & safety, then decide who is going to do what and how. This is your health & safety policy. If your organisation employs five or more employees, the policy must, by law, be written down. Your policy sets a clear direction for the organisation to follow and should be shared throughout the organisation so that everyone understands how health & safety will be managed. It is best written by someone within the organisation rather than someone from outside as it needs to reflect the organisation's values and beliefs, and commitment to provide a safe and healthy environment. To be effective it should be written in consultation with the workforce, and should be signed by a person at the top of the organisation; the owner or a director. Most importantly, you should ensure that your actions and those of your workers mirror the statements that you have made.

A basic policy template is available at: <http://www.hse.gov.uk/business/policy-statement.pdf>

### Plan for implementation

Planning is essential for the implementation of health & safety policies. Adequate control of risk can only be achieved through co-ordinated action by all members of the organisation. An effective system for health & safety management requires organisations to plan to:

- Control Risks
- React to changing demands
- Sustain positive health & safety attitudes and behaviours.

Effective planning is concerned with prevention through identifying; eliminating and controlling risks. This is especially important when dealing with health risks which may only become apparent after a long period of time.

In addition to setting your policy, planning should include steps to ensure legal compliance and procedures for dealing with emergency situations. It should involve people throughout the organisation.

Planning the system that you will use to manage health & safety involves:

- Designing, developing and implementing suitable and proportionate management arrangements, risk control systems and workplace precautions
- Operating and maintaining the system whilst also seeking improvement where needed
- Linking it to how you manage other aspects of the organisation

In order to plan successfully, you need to establish:

- Where the organisation is now by considering accurate information about the current situation
- Where you need to be, using legal requirements and benchmarking to make comparisons
- What action is necessary to reach that point

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**Actions involved in effective policy development and planning, include:**

*Leaders & Managers:*

- Make a statement of intention. Say what you will do to keep a safe & healthy environment for your workers and anyone else who could be affected by your work activities.
- Clearly set out everyone's roles and responsibilities. Include those with particular roles, this could include; directors; supervisors/managers; safety representatives; workers; fire wardens; first aiders; and the competent person.
- Say how things will be done and what resources will be allocated to make things happen. Include details of the arrangements; these are the systems and procedures that will be in place to help to meet your legal obligations. For example; how risk assessments will be carried out; what your plans are for training and safe use of equipment; how accidents/incidents will be investigated; how workers will be consulted; how equipment will be maintained; and how you will measure the success of your plan.
- Talk to other occupants not employed by you, but who share the same premises.
- Consider how you will measure health & safety performance. Will there be performance targets for example reductions in accidents or absences; or an increase in reporting issues or near misses?
- Identify when you will revisit your policy and plans: This could include;
  - when changes have taken place such as in processes or staff;
  - Following accident or incident investigations both within the organisation and where lessons have been learned from others;
  - Following consultation with employee's representatives;
  - On receipt of new information, for example from manufacturers, or others in the same sector or industry.
- Prioritise actions.
- Sign the policy statement to demonstrate commitment to health & safety.

*Worker Involvement:*

- Discuss your plans with workers or their representatives.
- Communicate the plan so that everyone knows what is required.

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### Profiling your organisation's risks to health & safety

- Effective leaders and line-managers know the risks their organisations face, rank them in order of importance and take action to control them. The range of risks goes beyond health & safety risks to include quality, environmental and asset damage, but issues in one area could impact in another. For example unsafe forklift truck driving may have a the likelihood of adverse effects occurring, and the level of disruption

service or quality dimension as a result of damage to goods. Although you may not use these precise terms you will have built a risk profile that covers:

- the nature and level of the risks faced by your organization
- the costs associated with each type of risk, and
- the effectiveness of controls in place to manage those risks.

Business risk management is the formal term for the identification, assessment, and control of risks.

In some organisations the health & safety risks will be tangible and immediate safety hazards, whereas in others the risks may be health-related and it could be a long time before the illness becomes apparent. Degrading plant integrity could also give rise to later emerging risks in some businesses. Health and safety risks will also range from things that happen very infrequently but with catastrophic effects (high hazard, low frequency events), such as an oil refinery explosion to things that happen much more frequently but with lesser consequences (low hazard, high frequency events), such as slips on floors. Clearly the former could destroy the business and would merit being of high priority in a risk profile

Examples of the things that can cause harm in the workplace can be found in "[Essentials of.....](#)"

Further information about risk assessment is available here:

<http://www.hse.gov.uk/risk/assessment.htm>

A risk assessment should be completed by someone with a knowledge of the activity, process or material that is being assessed. Workers and their safety representatives are a valuable source of information. If an advisor or consultant assists with the risk assessment, managers and workers should still be involved.

Consider all your activities taking account of harm to employees, contractors, members of the public, those using products and services, and anyone else affected by the activity such as neighbours. Remember to think about how a risk could affect different groups such as young or inexperienced workers; pregnant workers; workers with a disability; migrant workers; or ageing workers. Also consider your supply chain; if not properly managed the actions of others in those networks can impact on your health & safety risks.

When considering risk controls discuss the issues with the workforce and think about what is already being done, then compare it with the industry standard. This could be industry specific advice from HSE, from a Trade Association, or from a safety organisation for example.

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**Actions involved in effective risk profiling include:**

*Leaders:*

- Identify who in your organisation takes ownership of health & safety risks. This might be the owner; or Chief Executive, in larger organisations this may be a risk committee or a senior board champion for health & safety.
- Think about and envisage the consequences of the worst possible occurrence for your organisation. How confident are you that plans are in place to control the effects?
- Ensure that risk assessments are carried out by a person who is competent, having knowledge of the work activities and practices.
- Maintain an overview of the risk profiling process and ensure that you are aware of the major risks within your organisation. Check that minor risks have not been given too much priority and that major risks have not been overlooked.
- Identify who will be responsible for implementing risk controls and over what timescale.

*Managers:*

- Identify the health & safety risks from the business.
- Prioritise the risks. Think about the severity of the harm and the likelihood of occurrence.
- Ensure that risks are owned so that appropriate resources can be allocated.
- Consider whether the realisation of other risks are due to health & safety lapses, such as quality issues due to poor manual handling.
- Think about everyone who might be affected by your work activities. Remember that certain groups may be at increased risk..
- Remember to assess the effects of changing technology. Think about issues related to the change of ownership of assets. This may increase the risk profile if design information and knowledge hasn't been passed on. Have the effects of ageing plant and equipment been examined?
- Consider whether any control measures are already in place or if further action is needed.
- Deal with the risks in order of priority concentrating on the largest risk.
- Recognise that full implementation of control measures may take time, and implement interim measures to minimise the risks.
- Report risk control performance regularly internally and consider whether it should be done externally.
- Make sure that paperwork is kept to the minimum levels necessary. Record the risk assessment if 5 or more people are employed.
- Review the organisation's risk profile regularly. Change within the organisation will affect the risk profile; for example during economic cycles such as recession and recovery; when there is an increase in workload; or when experience levels drop.

*Competence:*

- A broad knowledge of the entire organisation will be required to draw up the organisation's risk profile.
- In high hazard organisations identify what specialist advice may be necessary to spot and analyse the hazards
- Ensure that workers are trained and have information about risk controls.

*Worker Involvement:*

- Do workers understand the organisation's risk profile, and have the necessary information and training to deal with the risks that have been identified.
- Consult with workers in all parts of the organisation to ensure that all areas of risk have been identified.

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**Organising for health & safety**

'Organising for health & safety' is the collective label given to activities in four areas that together promote positive health & safety outcomes. They are:

- Controls within the organisation through leadership; management; supervision; performance standards; instruction; motivation; accountability; rewards and sanctions
- Co-operation between workers, their representatives and managers through active consultation and involvement
- Communication throughout the organisation via visible behaviour, written material and face-to-face discussion
- Competence of individuals through recruitment; selection; training; coaching; specialist advice; and avoiding complacency.

Further information:

<http://www.hse.gov.uk/humanfactors/topics/culture.htm>

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**(i) Controls**

The actions of Leaders, Line Managers and Supervisors are all important in delivering effective control of health and safety risks. Part 2 of this guidance considered the actions of Owners, Directors and Line Managers; this section complements that guidance by focusing on Supervisors.

Organisations will decide their own approach to supervision; whatever method of supervision is used, the role of a supervisor or team leader is an important one in implementing effective controls. Because of the regular contact they have with workers they can make an important contribution to making sure that everyone knows how to work safely and without risk to their health; and that all workers follow the organisation's rules. A supervisor can coach; help; or guide workers to become and remain competent in these areas as well as others.

<p><b>Actions involved in effectively organising for health &amp; safety, include:</b></p> <p><b>Leaders:</b></p> <ul style="list-style-type: none"> <li>• Define supervisor's roles and responsibilities, and that supervisors are trained and competent in carrying out their role; recognising the importance of supervision as a part of risk control..</li> <li>• Ensure that the supervisor/team leader has sufficient resources to deal with health and safety issues as part of 'getting the job done'.</li> </ul> <p><b>Managers:</b></p> <ul style="list-style-type: none"> <li>• Consider the level of supervision necessary for each task according to its complexity and level of risk. Recognise that differing levels of supervision may be needed at certain times such as during shift changeover or where there are young or experienced workers.</li> <li>• Include supervisors in assessing risksplanning risk assessments and managing the effects of any changes.</li> <li>• Ensure that supervisors/line managers have a positive attitude to health &amp; safety and that they lead by example encouraging safe systems of work.</li> <li>• Ensure that the supervisor understands the job, so that they can make effective, safe decisions; including checking that supervisors understand what is expected of them especially during an emergency.</li> <li>• Confirm that the supervisor has planned the work and allocated sufficient resources to allow tasks to be completed safely and without risks to health.</li> <li>• Make sure that a good example is being set for the workers, and that the supervisor enforces the rules.</li> <li>• If more than one supervisor/line manager is involved in a process, ensure that communication, coordination and co-operation takes place</li> </ul> <p><b>Worker Involvement:</b></p> <ul style="list-style-type: none"> <li>• Supervisors should involve workers or their representatives in the introduction of any measures that may affect their health &amp; safety.</li> </ul> <p><b>Competence:</b></p> <ul style="list-style-type: none"> <li>• The supervisor must be competent to supervise the workers, have knowledge of the critical safety aspects of the job.</li> </ul>
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## Managing Contractors

Anyone engaging contractors has health & safety responsibilities both for the contractors and anyone else that could be affected by their activities. Contractors themselves also have legal health & safety responsibilities.

Use of contractors in itself does not result in poor health & safety standards, but poor management can lead to injuries; ill health; additional costs and delays. Working closely with the contractor will reduce the risks to your own employees and the contractors themselves. Remember that contractors may be at particular risk, they are unfamiliar with your organisation and the hazards involved. They may have different motivations or attitudes to health & safety to your own employees. The level of control needed will of course be proportionate to the level of complexity of the task.

### Further Information:

A pre qualification questionnaire, Publicly Available Specification (PAS) 91:2010 has been developed by British Standards Institution in partnership with the Department for Business Innovation & Skills. PAS 91 is a question set used to assess a contractor's compliance with legal requirements and his suitability to complete a task. Although it was designed to be used in public procurement exercises, the question set is relevant to all procurements especially in construction. It can be downloaded free of charge:

<http://www.bis.gov.uk/assets/biscore/business-sectors/docs/b/bis-specification-pas91-construction-procurement.pdf>

(also link to) – Managing Health & Safety in Construction:

<http://www.hse.gov.uk/pubns/books/1144.htm>

- Use of contractors:

<http://www.hse.gov.uk/pubns/indg368.pdf>

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**Leaders:**

- Be clear about the work that you expect the contractor to do and think about the standards of competence that will be required.
- Think carefully about contingencies if things don't go to plan.
- Demonstrate the importance that your organisation places on health & safety in the selection of contractors.
- Ensure that short cuts are not taken to reduce costs and that there is no conflict of performance versus safety.
- Allocate sufficient time and resources to the job, in planning, preparing and carrying out the task.
- Support management decisions to stop work if there are serious health & safety concerns.
- Be ready to address health & safety violations via direct engagement with the leader of the contracting organisation, and acknowledge successes.

**Managers:**

- Decide how you will monitor the contractor's health & safety performance
- Consider how the work will be supervised before the work starts
- Obtain the contractor's health & safety plans
- Hold a pre-start meeting to ensure co-ordination and communication.
- Carry out a joint risk assessment of the work with the contractor; remember that some of the hazards in your workplace may not be obvious to the contractor.
- Bring specific hazards within your workplace to the attention of the contractor e.g. the presence of asbestos.
- Share method statements or safe systems of work
- Communicate the risks to both employees and contractors.
- Make sure that everyone is trained to carry out the tasks and that contractors receive induction.
- Ensure that isolation procedures for machinery and plant are clear.
- Hold regular progress meetings and raise health and safety issues as they occur.
- Supervise the work, ensuring that incorrect assumptions are not made.
- Stop the work if there are serious health & safety concerns.
- Investigate and address the root cause of any incident, feeding back results of the investigation to all parties.
- Check that everyone understands the hazards and are following the risk controls.
- Ensure that work does not start until the contractors fully understand the risks and control measures to be applied.
- Ensure safe systems that are documented are carried out in practice.
- Monitor the work and include contractor's activities in all inspections and checks.

**Worker Involvement:**

- Workers have clear lines of communication to report concerns

**Competence:**

- Address training issues via tool box talks, instruction or coaching.
- Communicate and co-ordinate so that employees and contractors know what is expected of them and when, and everyone is clear on their individual roles
- Consider how the competence of the contractor will be verified. Can they demonstrate previous health & safety performance e.g. references/pre qualification questionnaire? Can they verify health & safety training? Can verification of licensing be obtained where required e.g. Gas Safe registration?
- Will the contractor's lack of experience within your organisation lead to additional risks? If so how will this be addressed?

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**(ii) Co-operation**

Worker Involvement is an important sign of co-operation between workers, their representatives and managers (see Part 2, Pages xxxx). Co-ordination and co-operation with contractors (see Part 3, Pages xxxx), as well as others in an organisation's supply chain is the second aspect of 'co-operation'.

As health and safety effects/impacts the entire workforce of a business, it makes sense for all workers to be involved in managing health and safety. Providing for, and encouraging worker involvement can have many benefits such early identification of unanticipated risks, capturing better practices that may be unknown to management and may be transferred to other parts of the business. Worker involvement will also help to build and maintain trust and commitment to health and safety within the business especially when ideas for improvement are implemented. When a business encourages worker involvement it can send out a signal that management value the thoughts and inputs from their workforce and can help in building a safety culture. Involving workers is key to integrating health and safety as part of everyday business rather than being seen as something done by somebody else.

Organisations can find appropriate ways to involve their workers in managing health and safety. For smaller firms, this may be simply encouraging open communications where workers can discuss their concerns, or giving recognition when workers identify risks. For larger businesses, health and safety forums or committees can be a means of enabling worker involvement which may need to cater for part-time workers and contractors.

**Leaders:**

- Gain commitment from your managers to consult and involve the workers.
- Show commitment to involving workers by being visible; communicating and listening to concerns, jointly solving problems.
- Allocate resources to allow effective consultation to take place.

**Managers:**

- Find out how your workers want to be consulted; the manner in which you consult will be affected by the size and structure of your organisation; the diversity of your workforce; the type of work carried out; trade union representation; people who work offsite; and the nature of the hazards present.
- Think about how you will share information; remember to consider contractors and those who may have language barriers.
- Work out what you will consult on.
- Formulate plans to ensure the workforce is consulted (either directly or through their representatives) in good time on issues relating to their safety so that workers feel that health and safety is a part of normal work activity, it is not something that is left to 'specialists'
- Decide what your procedure will be should disagreements occur.
- Have shift or part time workers been considered?

**Competence:**

- Make sure that you are familiar with the legal requirements to consult and involve workers.
- <http://www.hse.gov.uk/involvement/whattoconsult.htm>
- Plan joint health & safety training sessions for managers and workers so that they can share views and experiences.
- Are managers confident speaking to workers?
- Ensure that worker representatives are trained for their roles.

[Links to website pages on worker involvement](#)

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**(iii) Communication**

Success in health & safety management is achieved by communicating effectively up, down and across the organisation.

Organisations need to communicate information to their workers on the risk to their health and safety identified in their risk profile and the preventative and protective measures necessary to control risk. The information provided should be communicated appropriately, given the level of training, knowledge and experience of workers.

**Leaders:**

- Ensure that time is allocated so that communications can take place.

**Managers:**

- Formulate plans for cascading information. Remember to plan how you will get messages across to contractors, anyone with low levels of literacy, or whose first language is not English.
- Think about what needs to be communicated to whom. How will your health & safety policy; risk assessment findings and safe systems of work be shared?
- Layout clear communications procedures for safety critical tasks.
- Plan, where needed, your communications with emergency services, who will co-ordinate this and how will it be done?
- Ensure that communication is included in change management procedures.
- Ensure that written instructions are clear and up to date.
- Make sure that safety critical messages have been given attention and are understood.

**Worker Involvement:**

- Involve workers or their representatives in planning communications activities. They will be able to help identify and resolve barriers to communication within your organisation.
- Are workers able to give feedback and report their concerns.

**Competence:**

- Plan training or coaching to ensure that line managers have the skills necessary to conduct face-to-face discussions at all levels within the organisation.

Further information can be found at:

<http://www.hse.gov.uk/humanfactors/topics/08communications.pdf>

<http://www.hse.gov.uk/humanfactors/topics/common3.pdf>

<http://www.businesslink.gov.uk/bdotg/action/detail?type=RESOURCES&itemId=1074424960>

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**(iv) Competence and Capability**

Organisations must appoint one or more competent persons to assist in undertaking the necessary measures to comply with the law.

It is important for organisations to decide the level of competence necessary to comply with the law. A judgement can be made using the organisation's risk profile. In smaller low hazard environments, the role could be allocated to the owner or someone else within the organisation that does not necessarily have a qualification but does have knowledge and experience of the business. It is important though that the nominated person is able to recognise issues outside their competence, so that more experienced advice can be sought where necessary. In a larger or more hazardous environment, the risk profile may point to employing a specialist health & safety advisor to comply with the law.

**Leaders:**

- Consider the organisation's risk profile and establish whether you have sufficient in-house competence to comply with your legal obligations. Plan ahead to ensure that you retain experienced competent employees in sufficient numbers.
- Ensure that workers and managers are held to account for their actions.
- Ensure that the nominated competent person(s) has time available to keep up to date with changes in the law and industry good practice.

**Managers:**

- Carry out proper induction and reinforce learning through peer behaviour; coaching and supervision.
- Make plans to ensure that all workers have the necessary training; knowledge and experience to carry out their job safely and without risk to their health.
- Consider workers individual capability before allocating work. Will they have the capacity to react safely to circumstances or changes? If they are unable to do this, what might the consequences be?
- Set out arrangements to capture workers ideas and suggestions.
- Make sure that there are arrangements for retaining and sharing corporate knowledge.
- Identify workers with knowledge and experience who could assist others in developing their level of competence.
- Training alone does not achieve competence; make sure that competence is achieved through consolidation and practical experience.

**Worker involvement:**

- Encourage workers to identify gaps in their knowledge or experience.
- Discuss plans for learning and development with workers or their representatives.

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## Training

Training helps people to gain the skills and knowledge to carry out their work safely and without risk to their health. Everyone within an organisation will require some form of training. To comply with the law employees need to have the skills knowledge and experience to carry out their duties safely and must given information about the risks involved in their work, and the steps that need to be taken to reduce or remove those risks.

Training should not be a substitute for proper risk control, for example to compensate for poorly deigned equipment. It may be appropriate as a temporary measure of control until permanent improvements can be made.

### Leaders:

- Provide resources to enable training to take place. Ensure that sufficient time is given for training.
- Ensure that a system is in place that provides assurance that workers and managers involved in safety related work remain competent.
- Make sure that contingency plans are in place. What would happen if a key member of staff were to leave the organisation suddenly?
- Ensure that your organisation has access to competent health & safety advice. This may be via a trained in-house advisor, or a competent external consultant ([link to OSHCR](#)).
- Demonstrate personal compliance with health & safety training. Workers will follow your example

### Managers:

- Decide if training is necessary. Think about the job, the person who carries it out, the processes and equipment required.
- Remember that contractors will need to be trained.
- Ensure there is a system in place to identify training needs during recruitment and when there are changes of staff; plant; processes; substances; or technology.
- Find out which specific training you must provide by law, such as for fire or emergencies; construction work; use of substances hazardous to health; manual handling; personal protective equipment; fork lift truck operation
- Prioritise training needs.
- Decide the format that training will take, formal course; coaching; written instructions; on-line information; or simply telling someone what to do.
- Remember that additional arrangements may be necessary for those whose first language may not be English, or those with low levels of literacy.
- If the task is new, can you learn from other organisations?
- Think about how you will ensure that workers receive refresher training.
- How will training records be kept?
- Monitor learning outcomes and training methods.
- Ensure that newly trained workers receive close supervision to ensure that they are competent in carrying out their duties.
- Review training material regularly to ensure that it remains current.
- Consider remedial training if lack of competence is identified as the cause of an accident or incident.
- Gather feedback on training.
- Decide whether the training delivered its objectives. Consider whether there have been any improvements following the training, if not initiate changes.

### Worker Involvement:

- You should consult workers or their representatives during the planning and organising of training.

### Competence:

- Ensure that training material or information comes from a reliable source and that the person carrying out the training is competent to do so.
- If training is outsourced ensure that the trainer has a good understanding of your organisation and its requirements.

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- Decide how the organisation will keep up to date with changes in legislation and methods of risk control.
- Remember that competence levels will drop if skills are not used on a regular basis - schedule refresher training at regular intervals.
- Simulation exercises and drills will be required for some high risk activities.
- Don't assume that workers will be competent following a course or instruction - check

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## Specialist Help

Managing Health & Safety isn't complicated given a little time and effort. Risk management is part of running your business, and managing health & safety risks are no different to managing other business risks. You will probably need help if your business has hazardous or complex processes, but for majority of businesses, the manager, leader, or a competent member of staff should be able to take the necessary action to comply with the law. Other sources of information include industry bodies; Local Councils; HSE; Institute of Occupational Safety & Health; Royal Society for the Prevention of Accidents; British Safety Council; Healthy Working Lives Scotland.

If you need to engage outside help, you must remember that as a duty holder you cannot devolve the management of health & safety risks to others, however specialist or consultant help can be used to contribute to your overall health & safety management. It is essential that the specialist or consultant is competent to provide your organisation with correct, proportionate advice. Organisations using an OSHCR-registered consultant can have confidence that the consultant belongs to a professional body, has had their experience and qualifications assessed, is undertaking continuing professional development (CPD), is committed to providing sensible and proportionate advice, and is properly insured. Link to <http://www.hse.gov.uk/oshcr/>

### Leadership Issues:

- Make adequate resources available to provide competent advice to your organisation.
- Review the effectiveness of the arrangements for obtaining specialist help, poor or misinterpreted advice could have an adverse effect on your organisation.

### Management Tasks:

- Think about exactly what you need help with.
- How will you check that the specialist is the right person to help? Do they have experience in your type of work? Have you checked that the specialist or consultant is competent? A good indicator is to check OSHCR (link).
- Ensure that you have understood the advice given by the specialist, and that any solutions offered are sensible and workable.
- Implement the advice; monitor its effect and review.
- Meet with the specialist to discuss your requirements. It is essential that they have a good understanding of your organisation before offering advice.

### Worker involvement:

- Ensure that the specialist or consultant works with workers or their representatives in assessing risk and establishing control measures.

What additional checks should you make if employing an Occupational Physician?

If there is a need for medical support in the workplace it is not sufficient to engage any doctor. Specialist knowledge is required in the field of occupational medicine: Diploma in occupational medicine (DOccMed) are able to give basic advice with some understanding of main issues affecting work and health.

Members or Fellows of the Faculty of Occupational Medicine (MFOM or FFOM) have had in depth training and are fully knowledgeable in occupational medicine.

Associates of the Faculty of Occupational Medicine (AFOM) have core knowledge in occupational medicine, but are not specialists in this field.

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Other examples of Specialist Help include:

Specialist	Expertise
Ergonomists	Field of vision, sight lines, manual handling repetitive tasks, workspace layout, body size, aspects of guarding and containment, demands of tasks/equipment on people; the equipment used and whether it is appropriate for the task; the effects of the physical environment including lighting, temperature and humidity on people.
Microbiologists	Assessment of biological hazards and advice on risks and control measures to prevent or control health risks. Sampling for micro-organisms.
Noise and vibration specialists	Measure levels and advise on causes, elimination and practical solutions to reduce exposure.
Occupational health professionals (doctors and nurses)	Diagnosis and treatment of work-related disease (doctors). Assessment of risks to health and advice on managing these risks. Health surveillance and other health checks. Fitness-for-work issues. Advice on pre-employment health screening, sickness absence and ill-health retirement. Providing health education, advice on rehabilitation after illness or injury.
Occupational hygienists	Assessment and practical advice on the prevention or reduction of risks to health from chemical, biological and physical agents arising from work activities. Environmental monitoring.
Physiotherapists	Provide treatment and rehabilitation advice. Advice on the prevention of musculoskeletal disorders.
Radiation protection advisors	Advice on complying with legislation covering the use of ionising radiation in the workplace. Conducting environmental monitoring

<i>PLAN</i>	<i>DO</i>	<b><i>CHECK</i></b>	<i>ACT</i>
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## Measuring Performance.

Checking that you are managing risks in your organisation is a vital, sometimes overlooked step. It will give you the confidence that you are doing enough to keep on top of health and safety and maybe show you how you could do things better in the future.

Checking involves setting up an effective monitoring system backed up with sensible performance measures. Investigating and analysing incidents will also make a big contribution to understanding health and safety in your business.

### **Monitoring**

You need to be sure that your monitoring adds value and isn't just a tick box exercise. Good quality monitoring will not just identify problems but will help you understand what caused the problem and what sort of changes are needed to address the problem. Poor monitoring might tell you that something's wrong but may not help you understand why or what to do about it.

#### ***How to monitor***

Use the same approach to monitor your health and safety performance as you would when you monitor other aspects of your business. Monitoring requires time and effort so you need to allocate appropriate resources and possibly train staff involved in monitoring ahead of time. Businesses may monitor health and safety in different ways depending on size and sector, but there are some basic principles that apply across the board.

Monitoring needs to be timely. As with all other business systems, you want to know what is happening in your organisation at the moment rather than at some point in the past.

The outcome of your monitoring will have most impact if it is reported back to key decision makers in your organisation. Unless there's a board level commitment ahead of time to act on what your monitoring tells you then all efforts to collect information could be wasted.

There many different types of monitoring but they can generally categorised as either *active* or *reactive*:

- active methods monitor the design, development, installation and operation of management arrangements. These tend to be preventative in nature. For example:
  - routine inspections of premises, plant and equipment by staff
  - health surveillance to detect early signs of harm to health
  - planned function check regimes for key pieces of plant
- reactive methods monitor evidence of poor health and safety practice but can also identify better practices which may be transferred to other parts of a business. For example:
  - investigation of incidents (this is examined in detail later)
  - monitoring cases of ill health and sickness absence records

Most organisations use performance measures as part of their monitoring.

Checking performance against a range of pre-determined measures is one of the most frequently used techniques of monitoring. Selecting the right measures to use is the

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critical step. Using the wrong measures will give rise to a lot of unnecessary and unproductive effort with little benefit to your organisation.

<p><b>Leaders:</b></p> <ul style="list-style-type: none"> <li>• Demonstrate commitment to the process.</li> <li>• Ensure that systems are in place to report performance upwards, so that leaders or directors can review and be assured that legal compliance is achieved and maintained.</li> <li>• Make certain that there is a process in place to report serious incidents upwards immediately.</li> <li>• Receive and review reports at regular intervals.</li> <li>• Question results and ensure that action is planned to remedy poor performance and ensure that the system that you use to manage health &amp; safety works.</li> </ul> <p><b>Managers:</b></p> <ul style="list-style-type: none"> <li>• Think about who will monitor what. You may need to involve different levels within the management chain, workers representatives and health &amp; safety advisers.</li> <li>• Decide how often monitoring will take place. Be proportionate. Think about your risk profile. Monitor key risks and precautions more often and in more detail. Remember that the frequency of some monitoring or inspections is determined by law.</li> <li>• Plan what action you will take if your measure goes up or down. There's no use getting information about performance if you haven't got some idea of what you will do if performance looks like it needs to improve.</li> <li>• Use performance measurement results to improve health &amp; safety performance and learn from mistakes. Share lessons learned with other organisations.</li> <li>• Review your performance measures every so often against your objectives. Changes in your business could mean that existing performance measures are out of date. You may also find that the measures you've chosen don't help you understand how well you're managing health and safety. In these circumstances you will need to update your approach.</li> </ul>
<p><b>Worker Involvement:</b></p> <ul style="list-style-type: none"> <li>• Involve your workforce in setting and monitoring your health &amp; safety performance measures. Workers may have important information as to which measures make the difference when it comes to risk.</li> <li>• Involve everyone in the monitoring process encouraging workers to monitor their own work area, reporting any issues that they observe. Make reports available to everyone within the organisation.</li> </ul>
<p><b>Competence:</b></p> <ul style="list-style-type: none"> <li>• Use the results of monitoring to feed in to future training plans.</li> </ul>

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## Accident/Incident Investigation

In any business or organisation things don't always go to plan. You need to prepare to deal with unexpected events in order to reduce their consequences. Workers and managers will be more competent in dealing with the effects of an accident or emergency if you have effective plans in place that are regularly tested.

Health and safety investigations form an essential part of the monitoring process that you are required to carry out. Incidents including near misses can tell us a lot about how things actually are in real life. Investigating your accidents and reported cases of occupational ill health will help you uncover and correct any breaches in health and safety legal compliance that you may not have known about. A well thought out investigation can give rise to great positive benefit to your organisation.

The fact that you thoroughly investigated an incident and took remedial action to prevent further occurrences would demonstrate to a court that your company has a positive attitude to health and safety. Your investigation findings will also provide essential information for your insurers in the event of a claim.

### Leaders:

- Verify that plans are in place to deal with immediate risks following unplanned events
- Make sure there is a reporting process so that leaders are informed of accident/incidents/cases of occupational ill health.
- Consider lessons from accident/incident history of others in similar industries or organisations, could the same mistakes be avoided?
- Ensure that people are held to account if failings reoccur

### Managers:

- Formulate plans; what must workers report; how will work related ill health; accidents or near misses be notified; who will assist in investigation; what action will be taken as a result?
- Consider how you will identify trends.
- How will reporting procedures be communicated to workers?
- Ensure that the reporting procedures are suitable and workable.
- Examine all incident/accident/near miss reports and identify trends
- Be proportionate in any investigation according to the level of risk identified; establish what happened; when; where and why. Collect evidence; consider what the evidence shows; compare what you have found against industry standards/ HSE guidance etc
- Investigate accidents with a high priority; before peoples memories fade and whilst evidence is still available
- Look at root or underlying issues not just immediate causes immediate causes may be premises; plant and substances; procedures; or people; Underlying causes are management arrangements and organisational factors such as design, selection of materials, maintenance, management of change; adequacy of risk controls; communication; competence etc.
- Record and keep findings they may be required later in a formal investigation or legal proceedings.

### Worker Involvement:

- Involve workers or their representatives in the planning process and in setting targets
- Carry out joint investigation with workers representative
- Involve workers or their representatives in monitoring performance

### Competence:

- Consider how competency is achieved; tested and maintained.
- Do investigators have the necessary training; knowledge and experience to carry out their duties?
- Consider whether training issues contributed to causes.
- Seek specialist advice if needed.

<i>PLAN</i>	<i>DO</i>	<i>CHECK</i>	<i>ACT</i>
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## Review Performance

Carrying out reviews will confirm whether your health & safety arrangements still make sense, for example you'll be able to check the validity of your health & safety policy, and that the system you have in place for managing health & safety is effective. You'll be able to see what has changed about the health and safety environment in your business. This will enable you to stop doing things that are no longer necessary while allowing you to respond to new risks. Reviewing also gives you the opportunity to celebrate and promote your health and safety successes.

The most important aspect of reviewing is that it closes the loop. The outcomes of your review become what you plan to do next with health and safety.

<p><b>Leaders:</b></p> <ul style="list-style-type: none"> <li>• Consider the review findings. If improvement is needed act now, rather than reacting to an incident in the future.</li> <li>• Increasingly, third parties are requiring partner organisations to report health &amp; safety performance publicly.</li> <li>• Ensure that the review is carried out according to the plans and that a report is issued to senior leaders at least annually.</li> <li>• Ensure that the scope of the review will give assurance that risks have been reduced to the lowest possible level, and that your organisation is complying with health &amp; safety law.</li> </ul> <p><b>Management Tasks:</b></p> <ul style="list-style-type: none"> <li>• What are the objectives of the review? They could include making judgements about the adequacy of health &amp; safety performance; assurance that the system for managing health &amp; safety is working; that you are complying with the law; setting standards; improving performance; responding to change; learning from experience.</li> <li>• Who will carry out the review? Someone independent, perhaps from another business area could add value to the process.</li> <li>• What type of information will be collected? This could include information from active monitoring (before things go wrong) or reactive monitoring (after things go wrong); accident/incident/near miss data; training records; inspection reports; investigation reports; risk assessments; new guidance; issues raised by workers or their representatives; checks required by law such as lifting equipment; pressure systems.</li> <li>• How often will you need to carry out a review? This will depend on your risk profile.</li> <li>• How will the findings be presented to everyone in the organisation from leaders to workers?</li> <li>• Think about the supply chain. How could the actions or health &amp; safety performance of suppliers or contractors affect your organisation?</li> <li>• Consider incidents that have occurred in similar organisations and whether they could be repeated in your organisation.</li> <li>• Report the review findings to everyone within the organisation.</li> <li>• Ensure that remedial actions have been carried out and that the measures work</li> </ul>
<p><b>Worker Involvement:</b></p> <ul style="list-style-type: none"> <li>• Discuss plans for review with workers or their representatives.</li> <li>• Use information from safety representative's inspections to feed in to review.</li> <li>• Discuss the findings from your review with workers or their representatives – you will have more success in securing improvements if your workers are fully involved.</li> </ul>
<p><b>Competence:</b></p> <ul style="list-style-type: none"> <li>• Ensure that those carrying out the review have the necessary training, experience and good judgement to achieve competence in this task.</li> <li>• Use guidance available from HSE or a trade association to assist with planning and benchmarking where you are now. Talk to similar organisations to compare performance and management practices.</li> <li>• If risks are complex and could have serious consequences, consider obtaining specialist advice, or supporting one of your own workers by providing additional training.</li> <li>• Check that training needs identified by the review have been addressed</li> </ul>

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**PART 4      KEY GUIDANCE & RESOURCES**

*TO BE ADDED*