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SAMPLE MATERIAL



## Element 4: Planning and Implementing



## Element 4: Planning and Implementing

### The Importance of Planning

#### The Management System

The third element in the HSE's management model (published in HSG65; "Successful Health and Safety Management") is planning and implementing.

Health and safety must be managed systematically. To achieve this a system should be in place to identify, implement and maintain occupational health and safety requirements. This requires planning so that specific objectives can be set for an organisation to achieve and so that specific processes can be put in place to allow the organisation to achieve those objectives.

#### Setting "SMART" Objectives

When health and safety objectives are set for an organisation, those objectives should be "SMART":

- **Specific** – a clearly defined, precise objective.
- **Measurable** – it is possible to measure achievement of (or towards) the target; usually by quantifying the objective.
- **Achievable** – it can be done.
- **Reasonable** – within the timescale set and with the resources allocated.
- **Time-bound** – a deadline or timescale is set for completion of the objective.

When setting health and safety objectives consideration should be given to:

- Who is going to set objectives.
- How objectives will be set at each functional level.
- Legal and other requirements.
- Hazards and risks.
- Technological options.
- Financial, operational, and business requirements.
- Views of interested parties.

#### Keeping Up-To-Date

Identifying and keeping up to date with legal requirements is essential:

- HSE website and HSE electronic newsletters (<http://www.hse.gov.uk>).
- Organisations and charities with an interest in occupational safety and health, e.g IOSH and ROSPA.



- Periodicals such as Safety and Health Practitioner (published by IOSH).
- Subscription news and update services offered by private businesses (e.g. Croners).
- Attendance at legislation update seminars and conferences.

## Principles and Practice of Risk Assessment

### Legal Requirements

The Management of Health and Safety at Work Regulations 1999 (MHSWR) state that:

- Every employer and self-employed person must make a suitable and sufficient assessment of the risks to both his employees and non-employees.
- The assessment must be reviewed and amended as necessary if there is reason to suspect that it is no longer valid or if there has been a significant change.
- The assessment must be recorded if the employer has five or more employees.

Many other health and safety regulations also require that a specific risk assessment is carried out. In contrast, the risk assessment required by MHSWR is not hazard or topic specific.

### Definitions

#### ■ Hazard

A hazard is any substance, machine or situation that has the **potential** to cause harm or damage. Hazards will always exist, to some extent, in the workplace.

#### ■ Risk

A risk is the **likelihood** that a hazard will cause harm in combination with the **severity** of injury, damage or loss that might foreseeably occur.

### Objectives of Risk Assessment

To prevent:

- Death and personal injury.
- Ill-health.
- Other types of loss incident.
- Breaches of statute law.
- The direct and indirect costs that follow on from accidents.

### Different Types of Incident

#### ■ Accident

An unplanned, unwanted event which leads to injury, damage or loss. Any



## Element 5: Measuring Performance, Reviewing Performance and Auditing



## Element 5: Measuring Performance, Reviewing Performance and Auditing

### The Importance of Planning

There are two approaches to monitoring health and safety:

- **Active monitoring** that takes place before any event has happened.
- **Reactive monitoring** that takes place in response to, and after, an event.

### Active Monitoring

**Active monitoring** involves systematic inspection of the workplace and existing safety measures to establish conformance with standards (good performance) and non-conformance (so that remedies can be implemented).

To actively monitor **performance standards** you have to identify the appropriate standard and what level of performance is **acceptable**.

**Systematic inspections** can focus on:

- Plant.
- Premises.
- People.
- Procedures.

An inspection could concentrate on one, several or all of these areas and systematic inspection regimes can be daily, weekly, monthly, 6-monthly, annual, etc.

### Types of Active Monitoring

- **Safety inspection** – a visual inspection normally carried out with the aid of a checklist, looking at the control measures that are in place to control risk and ensuring that these control measures are being maintained. May be routine, statutory, periodic or pre-use.
- **Safety sampling** – an in-depth look at a representative sample only.
- **Safety tour** – a tour of the organisation, with a senior manager showing commitment to health and safety and with the focus on looking at safety standards generally and their implementation.
- **Safety survey** – a detailed look at the effectiveness of one particular issue or topic.

### Workplace Inspections

Certain factors must be considered before the introduction of a workplace inspection system:



- **Type of inspection** – general, statutory, pre-start?
- **Frequency of inspection** – weekly, monthly, etc.?
- **Allocation of responsibilities** – to identified employees.
- **Competence of the inspector** – should have the necessary training, knowledge and experience.
- **Use of checklists** – to ensure everything covered, consistency and a written record available.
- **Action planning for problems found** – action required, those responsible for implementing it, priorities and timescales.

A written report may be required; this should be concise, with a logical structure to it.

### Reactive Monitoring

**Reactive monitoring** involves looking at accidents and other safety-related incidents to find out what went wrong and identify action to put it right so that there will be no recurrence.

Information about what has failed may come from:

- Data on accidents, incidents, ill-health and near-misses; such data may be unreliable because it is based on historical information and may not reflect a true and accurate picture.
- Complaints or concerns voiced by the workforce through consultative channels and safety/worker representatives.
- Evidence from external agencies involving enforcement notices.

## Auditing

### Definition, Scope and Purpose of Auditing

Defined as:

*“The structured process of collecting independent information on the efficiency, effectiveness and reliability of the total health and safety management system and drawing up plans for corrective action.”*

The purpose of auditing is to monitor and assess the effectiveness of the health and safety management system, usually throughout the whole organisation to ensure that:

- Appropriate management arrangements are in place.
- Adequate risk control systems exist, are implemented, and are consistent with the hazard profile of the organisation.
- Appropriate workplace precautions are in place.



- Critical feedback on the health and safety management system is provided so that appropriate follow-up action can be implemented.

**Audits** differ from **workplace inspections** in that they are generally undertaken by people outside the organisation who challenge whether the standards and procedures within the organisation are appropriate. Audits are planned in advance and may take several days to complete. They take place annually or even less frequently, whereas workplace inspections may be as frequent as weekly.

### The Audit Process

The main stages of the audit process are:

- **Pre-audit preparation**, which involves gathering information and referring to company records and documents.
- The **audit process**, which involves collecting information about the health and safety systems in place and assessing their effectiveness.
- **Feedback** at the end of the audit (initially verbal), followed by a written report, usually recommending improvements and indicating priorities and timescales.

### Responsibility for Audits

The responsibility for ensuring that audits are carried out effectively and that all key personnel are involved falls to senior management.

### External versus Internal Audits

- External consultants will generally be independent and will have knowledge and experience of other organisations as well as a flexible approach to the audit procedure. However they may also be unfamiliar with the organisation's line of work and will be expensive.
- Using in-house teams will provide both continuity and cost effectiveness but may lead to subjective judgments.

## Investigating Incidents

### Role and Function of Investigations

Incidents, be they accidents resulting in loss, injury or death, or near-misses, should be investigated to find the cause and prevent a recurrence. Other possible reasons for investigating an accident are:

- To identify the immediate and root causes of the incident.
- To identify corrective action to prevent a recurrence.
- To record the facts of the incident.
- For legal reasons.