
Element A1

INTRODUCING THE PRINCIPLES OF HEALTH AND SAFETY MANAGEMENT

Sections indicated with a “ * ” indicate a subject covered by prior learning from the NGC1 (Nebosh Certificate) syllabus however as they also feature in the Nebosh Diploma syllabus they are included in the notes for clarification purposes. However they may not be explored in detail during the tutorials, as delegates are expected to have this level of prior learning from their previous experience or study.

In some cases topics or legislation overlaps more than one course element, to avoid duplication the issue will be covered fully together in one element, but reference will be made to this in any other relevant elements.

Learning Outcomes

On completion of this element, candidates should be able to:

- Explain the moral, legal and economic reasons for the effective management of health and safety
- Outline the societal factors which influence health and safety standards and priorities
- Outline the uses of and reasons, for introducing a health and safety management system
- Explain the principles and content of an effective health and safety management system including the reasons for integration with other management systems

Relevant legal requirements

HASAWA S2

Management of Health and Safety at Work Regulations 1999 – as amended Regs 3,4,5,7

1. 1. WHY MANAGE HEALTH AND SAFETY?

Organisations need to consider and control as many of the risks they face as possible not just those involving health and safety. The principles which are set in the Management of Health & Safety At Work Regulations 1999 can be used to assess the other risks that the business faces. This may include areas such as the environment, security, infection, fire, finance and product safety.

Health and safety management concerns the elimination or reduction of the adverse effects of health and safety risks within an organisation.

These risks may lead to the possibility of loss of business assets or resources, which may include:

- manpower
- others who could be affected
- materials
- machinery
- manufactured goods/services
- finance

The company must consider the impact of certain events on the performance of the organisation, i.e. a major fire and where possible devise strategies for controlling these risks or reducing their impact on the organisation.

There are a variety of reasons why an organisation should manage the risks faced by it and its employees, these can be broadly grouped into economic, business, social or legal grounds.

1.1.1 Legal Considerations

Legal considerations should include all aspects of risk management related legislation, codes of practice (approved and non-approved), guidance notes and accepted standards (British, European and other). In addition to health and safety legislation, there is legislation in the fields of fire prevention, pollution control and product safety/consumer protection to be taken into account in an assessment exercise which considers all aspects of risk.

The risk management technique of risk assessment has now become the cornerstone of most new and proposed national or EU health and safety legislation. The requirements for risk assessment is included in the following legislation (non exhaustive list)

- **Control of Lead at Work Regulations**
- **Control of Asbestos Regulations**
- **Control of Substances Hazardous to Health Regulations**
- **Management of Health and Safety at Work Regulations**
- **Manual Handling Operations Regulations**
- **Health and Safety (Display Screen Equipment) Regulations**

It is very likely that any legislation to be issued in the future will be built around the framework of risk assessment. A risk is the likelihood that harm from a hazard is realised, normally this is considered by reviewing the likelihood of injury along side the typical type of injury which may occur.

1.1.2 Economic Considerations



Economic considerations should include the financial impact on the organisation of:

- Legal action
- The uninsured cost of accidents
- The adverse effect on insurance premiums, both property and liability
- The overall profitability of the organisation

The fundamental reason for utilising economic assessment in the promotion of risk management is the fact that accidental losses cost an organisation money; knowledge of these costs is therefore needed. Essentially there are two types of costs, i.e. insured and uninsured.

Insured costs - These are predominantly covered by the sum of those insurance premiums or risk transfer payments made by the organisation to insurers to offset certain financial losses arising as a result of unmanaged risks.

Uninsured costs - These costs should also be established and may include:

- safety administration/accident investigation
- medical/first aid treatment
- lost time of injured person
- lost time of other employees
- replacement labour
- payments to injured person
- loss of production/business interruption
- repair to damaged plant/equipment

The uninsured risks are normally far higher than those insured, in some cases even a relatively small problem can still cost the organisation time, money and effort in putting it right.

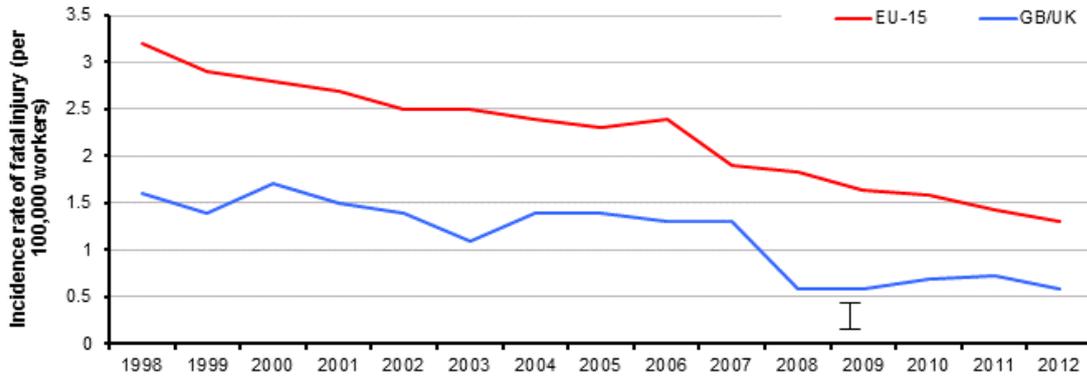
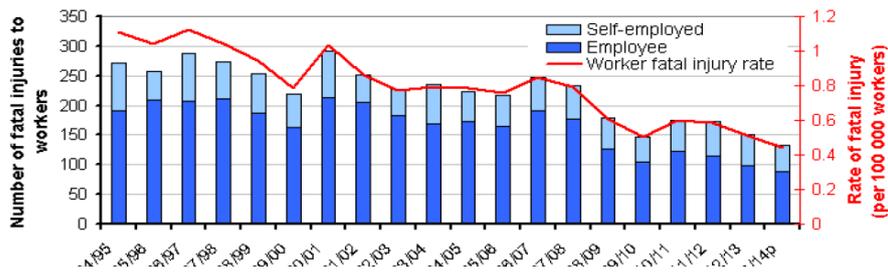
1.1.3. Ethical and Moral Considerations

Employees do not normally go to work to get injured, equally visitors and clients in an organisation do not normally expect to be put at an unacceptable level of risk. Employers have a general requirement to ensure the well-being of employees and others.

Over a period of time common law has established a duty of care for employers to take reasonable care of their employees, this will be covered in more detail in the legal elements of the course. Equally individuals have a duty of care to others not to endanger them by their acts or omissions, the things they do or do not do. Once upon a time it was acceptable for “masters” to expect their “servants” to work for them and if this resulted in them getting injured this was just accepted as part of their role. This has changed as a result of a variety of case law, it is now seen as unacceptable to put people, whether employees or others.

Individual expectations of risk is very different from that of the past and employees who wish to retain employees need to show they are taking reasonable care to protect their employees.

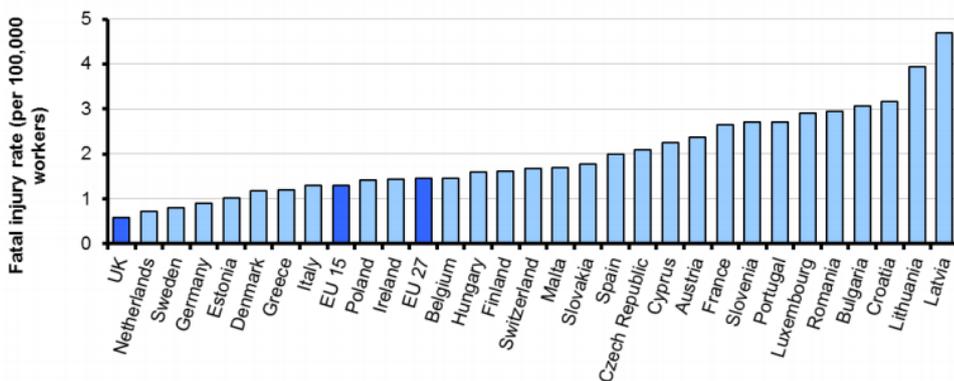
Figure 1: Number and rate of fatal injury to workers¹ 1994/95 – 2013/14p



se.gov.uk/Statistics/european/european-comparisons.pdf

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Figure 2 - Standardised incidence rates (per 100,000 workers) of fatal injury at work, excluding road traffic accidents and accidents on board transport in the course of work for 2012 (Eurostat, ESAW, 2012)



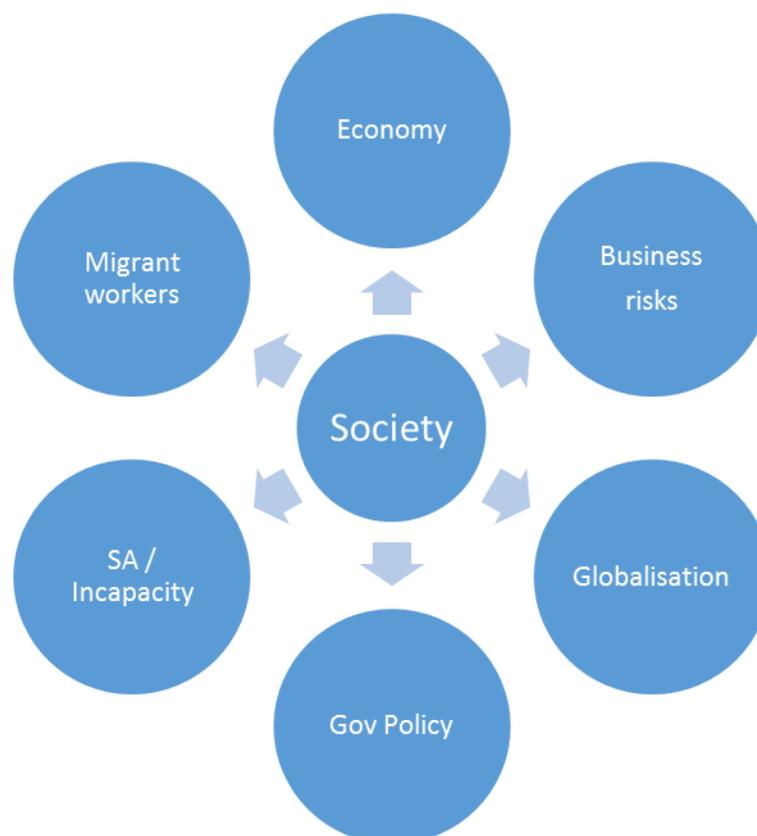
Check the latest data on the HSE web site for the latest national accident statistics which will give an overview of latest national accident, incident and ill health statistics.

You would expect larger organisations to have more sophisticated systems for accident reporting and as such their accident incidents rates may be higher. There are cases where higher accident / incidents rates do not necessarily mean that the organisation does not take its health and safety responsibilities seriously.

Low accident rates does not automatically mean that standards of health and safety are effective, as it may mean that accidents are not actually being reported.

1.1.4. SOCIETAL FACTORS

The social evaluation is based on the notion that it is the duty of every organisation, employer or person to ensure the general well-being of all other persons. This places an onus on the organisation to provide a safe working environment for all employees.



The image of the organisation can also suffer due to the adverse publicity that results when enforcement action is taken following a breach of statute law. Such enforcement action is also possible under other risk management legislation including fire precautions, consumer protection and environmental protection.

The state of the economy can influence how an organisation manages the risks it faces. In a downturn training budgets may be cut and employees encouraged to undertake a wider range of activities, possibly without the key competencies required.

Government policy can influence health and safety standards both directly and indirectly. They can decide the level of cover provided by HSE, introduce approved codes of practice and legislation under its direction. Equally they can review legislation and reduce or simplify it where practicable, assuming the requirement is not covered by a European Directive,

Each year a number of initiatives are introduced to improve health, safety, well-being and public health, some focusing on specific issues such as “Keep your top on” which was designed to reduce instances of skin cancer amongst construction workers, “Good health is good business” which aimed to promote good H&S standards in small businesses. The Health Protection Agenda (soon to be incorporated into the HSE) runs an annual campaign on reducing the risks of influenza, but it also covers issues such as biological hazards, food safety and protection from electromagnetic radiation.

Modern businesses are increasingly global industries, presenting a range of new working methods with implications for both health and safety issues. Modern working patterns of nine to five are changing, employees are now expected to be available 24 hours a day with new technology enabling this. Home working and teleworking (which involves working via information technology) at a remote location from the employer is becoming more common.

A multicultural society with migrant workers where English is not their first language can also represent new challenges to businesses and H&S practitioners.

Managing common health problems is an occupational issue (Waddell et al 2004), the annual number of working days lost through employee sickness absence in the UK is estimated to be 172 million (CBI/AXA, 2008), costing £12.5 billion, with additional incapacity benefits and £34.5 billion paid for personal injury compensation (Tehrani, McIntyre, Maddock, Shaw and Illingworth, 2007).

The UK has the second highest number of long term absentees within Europe, with only 25% of employers offering any form of rehabilitation (CIPD, 2004). Research by the British Society of Rehabilitation Medicine suggested that once an individual was absent for six months they only had a 50% chance of returning to work, this falls to 25% if the absence continues for 12 months (CIPD, 2008). Early interventions are needed rather than waiting for the employee’s sick certificate (fit note) to expire.

Working patterns have changed greatly over the last twenty years, with less permanent contracts, more temporary workers, home working, lone working and tele-working. The traditional nine to five work pattern has also changed with people working for multi-national companies where being able to respond 24 hours a day, seven days a week may be required. New technology may have opened up additional global markets and communication channels but may also have blurred the lines between home and work life.

Workers may now have English as their second language and create additional challenges to ensure the health and safety message is received and understood. Cultural change and the expectations of employees and the public in general may affect the way businesses manage their operations and interactions with stakeholders.

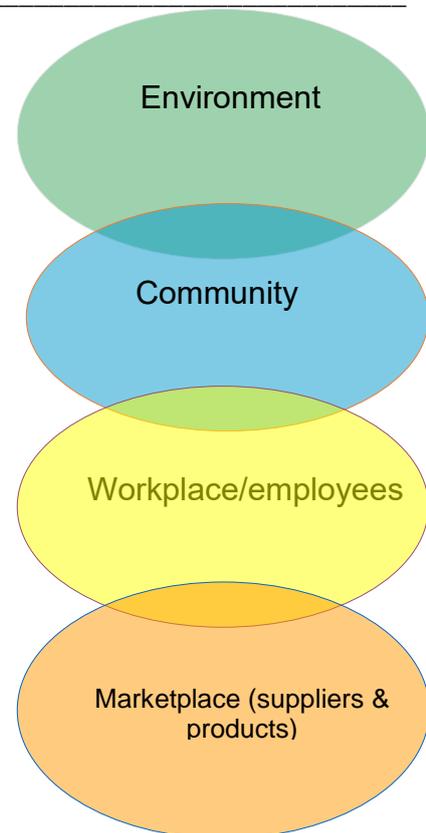
Corporate social responsibility

"In my view the successful companies of the future will be those that integrate business and employees' personal values. The best people want to do work that contributes to society with a company whose values they share, where their actions count and their views matter." - Jeroen van der Veer, Committee of Managing Directors (Shell)

The 21st Century is a competitive place. Not only is the need for ever greater efficiency a constant demand, other world economies are catching up and, in some cases, far outstrip our own in terms of competitiveness.

"Corporate social responsibility is the commitment of businesses to contribute to sustainable economic development by working with employees, their families, the local community and society at large to improve their lives in ways that are good for business and for development".

However, as there is no set definition of CSR, there is confusion regarding what, if anything, should be expected of companies in the area of social responsibility. The working assumption is that a company is responsible for its wider impact on society, not merely the return to shareholders.



1.2 SAFETY MANAGEMENT SYSTEMS REVIEWED

A typical management system may actually appear to revolve around:-

- Problem occurs
- Panic
- Do – take some action
- Cry when things do not work out

There are a variety of reasons for implementing a safety or risk management system within an organisation:-

Legal - The Management of Health and Safety at Work Regs 1999 (as amended)

“**Regulation 5 Health & Safety Arrangements** - Every employer shall make appropriate arrangements for the effective **planning, organisation, control, monitoring and review** of safety arrangements within the organisation.”

To assist in meeting legal requirements – e.g. on corporate manslaughter and H&S. They may assist in ensuring legal standards are completed.

The London Stock Exchange – The stock exchange requires listed companies to meet their code of practice, this requires the adoption of a risk management approach.

PR Image – the company may wish to demonstrate openly that it is taking risk and safety issues seriously.

Customers/Clients – Many customers and clients will be asking for information on how the organisation is managing risk.

Costs – the costs of accidents and ill health is still rising, these issues need to be controlled effectively.

Current legislation – The threat of fines and notices exists for companies who refuse to comply.

There are many different systems based on different standards, some covering health and safety, quality and risk or the environment. They are all based around Plan – Do – Check - Act.

ISO 9001:2015 – Quality systems, organizations use this standard to demonstrate the ability to consistently provide products and services that meet customer and regulatory requirements.

ISO 14001:2015 – The Environmental Management System, 14004 General guidelines, 14010 Guidelines for environmental auditing general principles & 14011 – Environmental audit.

OHSAS 18001 – This system was withdrawn in early 2018 and replaced by ISO 45001, organisations with certification to this standard have three years to adopt and move to ISO45001.

ISO 45001:2018 – This truly international standard has been developed over many years and has gone through extensive consultation and revisions during that time. It will now form the first truly international occupational health and safety standard and will be the 'gold standard' that companies aspire to achieve. As it is the accepted global standard, organisations will increasingly find that it will be the specified standard to achieve in order successfully to bid for contracts where an effective health and safety management system is a prerequisite for a successful bid for occupational health and safety. This standard is compatible with ISO 9001 and ISO 14001 and is internationally recognised and as such suitable for multinational organisations who wish to use one standard throughout their organisation wherever it is based.

HSG65: 2013 – This is the safety management system devised by the HSE and is published as a guidance note. Compliance with it is not mandatory but it does set out a common sense approach to managing safely within any workplace.

1.2.1. INTRODUCING HSG65

The stages of setting up a safety management structure are outlined in the HSE guidance note HSG65, this offers practical guidance on the key steps in the process. It is not legally enforceable as it is guidance but it can be used to comply with Regulation 5 of the Management of Health & Safety at Work Regs.

In 2013 the HSE moved away from using the POPMAR (Policy, Organising, Planning, Measuring performance, Auditing and Review) model of managing health and safety to a 'Plan, Do, Check, Act' approach.



The move towards Plan, Do, Check, Act achieves a balance between the systems and behavioural aspects of management. It also treats health and safety management as an integral part of good management generally, rather than as a stand-alone system.



Before breaking down each of the four parts HSG65 introduces the core elements needed, the principles of good H&S practice, resources required and how to deliver an H&S culture.

The high-level descriptions may vary, depending on the industry or sector you are working in, but a summary of the actions involved in delivering effective arrangements and how they are frequently described is given in Table 1, under the headings of Plan, Do, Check, Act. The HSE guidance note HSG65 supports the requirement for an H&S policy with guidance on how safety can be organised and arrangements effectively maintained. This is very much about ensuring safety is managed and systems are actually followed, monitored and reviewed.

Table 1 HSG65 Structure

Plan, Do, Check, Act	Conventional health and safety management	Process safety
Plan	Determine your policy/Plan for implementation	Define and communicate acceptable performance and resources needed
Do	Profile risks/Organise for health and safety/Implement your plan	Identify and assess risks/Identify controls/Record and maintain process safety knowledge Implement and manage control measures
Check	Measure performance (monitor before events, investigate after events)	Measure and review performance/Learn from measurements and findings of investigations
Act	Review performance/Act on lessons learned	

HSG65 Managing for health and Safety

PLAN INCLUDES DEVELOPING A POLICY AND PLANNING FOR SAFETY

- Think about where you are now and where you need to be.
- Say what you want to achieve, who will be responsible for what, how you will achieve your aims, and how you will measure your success. You may need to write down this policy and your plan to deliver it.
- Decide how you will measure performance. Think about ways to do this that go beyond looking at accident figures; look for leading indicators as well as lagging indicators. These are also called active and reactive indicators.
- Consider fire and other emergencies. Co-operate with anyone who shares your workplace and co-ordinate plans with them.
- Remember to plan for changes and identify any specific legal requirements that apply to you.
- This includes the provision of a H&S policy

Policy - There is a legal requirement to have a health and safety policy, it should set the framework for managing safety throughout the organisation, from top to bottom.

S.2 (3) Safety Policy - An employer must: - -

- If they have 5 or more employees prepare a written statement of his general health and safety policy.
- Set down the organisation and arrangements for carrying out the policy, e.g. who is responsible and for what.
- Revise and update as necessary.
- Bring the policy and arrangements to the notice of all employees.

Typically, the initial phase of developing an Occupational Safety & Health (OSH) management system involves the establishment of a corporate policy towards occupational health & safety. This will involve setting clear aims and objectives and establishing the company's approach to health and safety issues although with the principles needed.

The OSH policy should be specific to the organisation, and to both its size and the nature of its activities. Ideally the policy will be aligned with human resource policies which identify people as the key resource within an organisation. Some features of a good OSH policy are described below:

- The policy should show that leadership in OSH will come from the very top of the organisation. Further to this, it should make it clear that management of the health & safety aspects of their function is an integral part of every manager's role.
- The policy should show that the company are not merely concerned with meeting the requirements of legislation, but that a standard of performance will be set which is aimed at securing the health and well being of all employees. If the stated target for an organisation is simply to meet legislative requirements, then failure to meet the organisational aims means, by definition, that the law is also being breached. However, if the organisation sets a target for performance above the legal minimum, then shortfall in performance (which is fairly likely in the early days of operating such a system) is less likely to lead to breach of statute.
- In relation to health & safety risks to persons other than employees, the policy should demonstrate that the organisation is concerned about the total impact of its undertaking, insofar as it affects not only its own employees, but also workers in co-operating undertakings, contractors, visitors and the public at large. Such statements of social responsibility should be common to all aspects of the organisation's impacts, including environmental, employment of overseas labour etc.
- Although successful management of occupational health & safety will ultimately impose less of a financial burden on the organisation than will failure in this respect, it is necessary to provide adequate resources in the first instance. The policy should reflect the organisation's commitment to provide such resources, both in terms of time and money for equipment, training etc.
- Set clear aims and objectives
- Establish the company approach to H&S issues
- Define the general intentions in relation to H&S
- Set criteria and principles for taking H&S actions and responding to H&S issues

Finally an undertaking to aim for continual improvement is an acceptance that the organisation will always have scope for improving its performance, and that the issue must be continually kept under review so that both defects in the system and opportunities for improvement can be identified.

To implement your health and safety policy, you need to establish and maintain an effective health and safety management system that is proportionate to the risks.

You should set the direction for effective health and safety management, and a policy that sets a clear direction will help to ensure communication of health and safety duties and benefits throughout the organisation.

Policies should be designed to meet legal requirements, prevent health and safety problems, and enable you to respond quickly where difficulties arise or new risks are introduced.

Think about where you are now and where you need to be.

Say what you want to achieve, who will be responsible for what, how you will achieve your aims, and how you will measure your success. You may need to write down this policy and your plan to deliver it.

Decide how you will measure performance. Think about ways to do this that go beyond looking at accident figures – look for leading and lagging indicators. These are also called active and reactive indicators.

Consider fire and other emergencies. Co-operate with anyone who shares your workplace and co-ordinate plans with them.

Remember to plan for changes and identify any specific legal requirements that apply to you.

Why planning is essential

Planning is essential for the implementation of health and 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 and safety management requires organisations to plan to:

- control risks;
- react to changing demands;
- sustain positive health and safety attitudes and behaviours.

Effective planning

Effective planning is concerned with prevention through identifying and controlling risks. This is especially important when dealing with health risks that 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 you will use to manage health and safety involves:

- designing, developing and implementing suitable and proportionate management arrangements, risk control systems and workplace precautions;

- operating and maintaining the system while 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?

Roles in policy development and planning

Leaders

- Make a statement of intention. Say what you will do to keep a safe and 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, for example 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 systems and procedures that will be in place to help to meet your legal obligations, such as: how risk assessments will be carried out;
- what your plans are for training and safe use of equipment;
- what controls you will have in place to ensure your specifiers and buyers are competent in assessing the risks in procurement, for example they know the requirements for purchasing suitable personal protective equipment (PPE);
- how accidents/incidents will be investigated;
- how workers will be consulted;
- how equipment will be maintained;
- how you will measure the success of your plan.
- Consider how you will measure health and safety performance. Will there be performance targets, for example reductions in accidents or absences, or an increase in reporting issues or near misses?
- Prioritise actions.
- Sign the policy statement to demonstrate commitment to health and safety.

Managers

Think about management of contractors when developing a policy, if this is relevant to your organisation.

- Identify when you will revisit your policy and plans, for example: 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 employees' representatives;
- if you receive new information, e.g. from manufacturers or others in the same sector or industry.
- Talk to other occupants not employed or managed by you, but who share the same premises.

Worker consultation and involvement

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

DO

- **Identify your risk profile** Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what you will do to manage the risk.
- Decide what the priorities are and identify the biggest risks.
- **Organise your activities to deliver your plan**

In particular, aim to: Involve workers and communicate, so that everyone is clear on what is needed and can discuss issues – develop positive attitudes and behaviours. Provide adequate resources, including competent advice where needed.

Policies are implemented by people and this requires their continued motivation and involvement. Once responsibilities and key roles are defined and described it is important that action is taken to ensure these responsibilities can actually be met by the individual in these roles. Successful organisations establish, operate and maintain systems for the four C's, that is, **Control, Co-operation, Communication, and Competence**. Commitment throughout all levels of the organisation from the MD to every employee must be considered.

- **Implement your plan** Decide on the preventive and protective measures needed and put them in place.
- Provide the right tools and equipment to do the job and keep them maintained.
- Train and instruct, to ensure everyone is competent to carry out their work.
- Supervise to make sure that arrangements are followed.

A key aspect of planning is risk assessment since if we do not know what risks there are in our area we are in no position to manage them. Risk Assessment and Risk Control measures need to be developed so that the specific types of hazards within the workplace are dealt with. Safe systems of work and training may be needed to ensure standards are implemented and maintained. Emergency procedures and evacuation procedures will be needed and practiced.

Leaders

- Identify who takes ownership of health and safety risks: This might be the owner, or chief executive – in larger organisations it may be a risk committee or a senior board champion for health and safety.
- Think about 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 competent person: This is someone who has the necessary skills, knowledge and experience to manage health and safety effectively.
- Maintain an overview of the risk-profiling process: Make sure 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.
- Remember to assess the effects of changing technology: Think about issues related to changes in asset ownership. This may increase the risk profile if design information and knowledge haven't been passed on.
- Have the effects of ageing plant and equipment been examined?

Emergency procedures - Employers must explain clearly the procedure for any worker to follow in serious and imminent danger. Employees and others at work need to know when they should stop work and how they should move to a place of safety. In some cases this will require full evacuation of the workplace, in others it might mean some or all of the workforce moving to a safer part of the workplace.

This section of HSG65 also includes the control of contractors, anyone engaging contractors has health and safety responsibilities, both for the contractors and anyone else that could be affected by their activities. Contractors themselves also have legal health and safety responsibilities. Make sure everyone understands the part they need to play in ensuring health and safety.

Use of contractors in itself does not result in poor health and 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 may be strangers to your workplace and therefore unfamiliar with your organisation's procedures, rules, hazards and risks. Even regular contractors may need reminding. The level of control needed will, of course, be proportionate to the complexity of the task.

On sites with major accident hazards, consider turnarounds and span of control – given the potentially very high numbers of contractors on-site (compared with the numbers in routine operations).

Implementing your plan - In addition to ensuring everyone is competent to carry out their work safely, and that there is adequate supervision to make sure arrangements are followed, workplace precautions will be easier to implement if:

- risk control systems and management arrangements have been well designed;
- those systems and arrangements recognise existing business practice and human capabilities and limitations.

The key steps are to decide on the preventive and protective measures needed and put them in place. Provide the right tools and equipment to do the job and keep them maintained. Train and instruct, to ensure everyone is competent to carry out their work. Supervise to make sure that arrangements are followed.

Documentation on health and safety should be functional and concise, with the emphasis on its effectiveness rather than sheer volume of paperwork.

Focusing too much on the formal documentation of a health and safety management system will distract you from addressing the human elements of its implementation – the focus becomes the process of the system itself rather than actually controlling risks.

In some cases, the law requires suitable records to be maintained, e.g. a record of risk assessments under the Management of Health and Safety at Work Regulations 1999

(MHSWR) and the Control of Substances Hazardous to Health Regulations 2002 (COSHH).

Implementing risk control plans

The control of relatively minor risks affecting all employees (such as ensuring passages and gangways remain free from obstruction) can be dealt with by a number of simply stated general rules. The control of more hazardous activities may need more detailed.

CHECK

- **Measure your performance** Make sure that your plan has been implemented – ‘paperwork’ on its own is not a good performance measure.
- Assess how well the risks are being controlled and if you are achieving your aims. In some circumstances formal audits may be useful.
- **Investigate the causes of accidents, incidents or near misses**

There are two parts to measuring performance, reactive monitoring which looks at past events such as accidents and active (or proactive) monitoring which measures more positive issues such as the amount of training that has been undertaken or the number of risk assessments reviewed. This data can be used to check how far the company is achieving its standards.

ACT

- **Review your performance** Learn from accidents and incidents, ill-health data, errors and relevant experience, including from other organisations.
- Revisit plans, policy documents and risk assessments to see if they need updating.
- **Take action on lessons learned, including from audit and inspection reports**

The primary purpose of performance review is to enable organisations to learn by experience and use the lessons learned to improve their health and safety performance. This section requires the evaluation of data from the Measuring phase and looks at other stages of the SMS, have targets been achieved and what new targets are needed. The options for remedial actions and improvements need to be considered. The reviews should be conducted regularly by managers at all levels in the organisation and cover all aspects of health and safety performance and all parts of the safety management system.

Auditing is the process of obtaining a systematic and independent view of the health and safety performance of an organisation. In the context of auditing, "independent" means independent of the line management being audited. As with reviews, audits should cover all aspects of health and safety performance in a structured way. They normally assess the company and its SMS against a set of predetermined standards. It should identify where standards are not being met and give advice and priorities for improvements.

The new document is more focused and provides more practical assistance to both large, medium and small businesses.

The guidance contained within HSG65 is more extensive than any of the other documents examined here, and approaches the management of health and safety within organisations as one of the core business requirements – much of the language used in the guidance will be familiar to students of general management techniques, such as Total Quality Management (TQM). Whilst there is no certification available to companies which follow HSG65, its importance should not be underestimated, as this document forms the framework within which HSE inspectors will judge the safety management arrangements of organisations. This document provides useful advice on the implementation of an OSH management system, even if an organisation decides to base its system on another specification.

1.2.2 ISO 45001:2018

A new ground-breaking standard for occupational health and safety (ISO 45001:2018) was launched on 12 March 2018 by the International Organisation for Standardisation after the content was agreed by a team of international experts.

The International Organisation (ISO) is a body working in over 160 countries, which draws on representatives from national standards organisations to agree on and publish standards for commerce and industry on a wide range of subjects. To date, it has published over 16,000 international standards. Surprisingly, given the extremely high cost of accidents and ill health to both industry and society as a whole, there has never been a standard for occupational health and safety until now.

ISO 45001:2018 has been developed over many years and has gone through extensive consultation and revisions during that time. It will now form the first truly international occupational health and safety standard and will be the 'gold standard' that companies aspire to achieve. As it is the accepted global standard, organisations will increasingly find that it will be the specified standard to achieve in order successfully to bid for contracts where an effective health and safety management system is a prerequisite for a successful bid.

ISO 45001 is not a prescriptive standard for detailing the type of management system that must be in place, but merely specifies elements that must be included in such a system so that an organisation can proactively improve its health and safety performance. It is therefore up to the individual organisation to decide how to fulfil those requirements, deciding what works best for them by integrating these into their own management systems.

By taking a risk-based systems approach, ISO 45001 is designed to be applicable to any type and size of organisation. Those organisations with lower risks will therefore only need a simple system, whereas more complex organisations with higher risk levels will require a more sophisticated system.

The standard adopts the 'Annex SL' format, which essentially means that the framework of the standard and its content are similar to other ISO standards. This makes it easier for those organisations that wish to attain ISO standards in a number of areas to implement this, avoiding having multiple management systems to accommodate the requirements of each

OHSAS 18001:2007 vs ISO 45001:2018

ISO 45001 replaces the former British Standard OHSAS 18001:2007, which, until now, was widely accepted, although not universally, as the standard for occupational health and safety management. It never received the international consensus for it to be adopted globally, but many elements of the standard have been incorporated into the new ISO. For those organisations that have been certified to this standard, there is a transition period of three years for conversion to ISO 45001. Conversion should not really be a problem, although there are a number of distinct differences between them that need to be appreciated. These include:

- An understanding of the 'context of the organisation' looking at both internal and external issues that are relevant to its undertaking and that affect its ability to deliver the outcomes of the health and safety management system.
- A greater focus on health and safety as a strategic issue with emphasis on integration of health and safety into normal management of the organisation.
- A wider definition of 'organisation' to include, for example, supply chain and contractors.
- An emphasis on the development of an appropriate culture within the organisation.
- Active engagement and participation at all levels of the organisation to achieve health and safety outcomes.
- Ensuring that the necessary levels of competence exist throughout the organisation.
- Specific emphasis on continual improvement.
- Identifying and exploiting opportunities as well as controlling risks.

Is ISO 45001 right for my organisation?

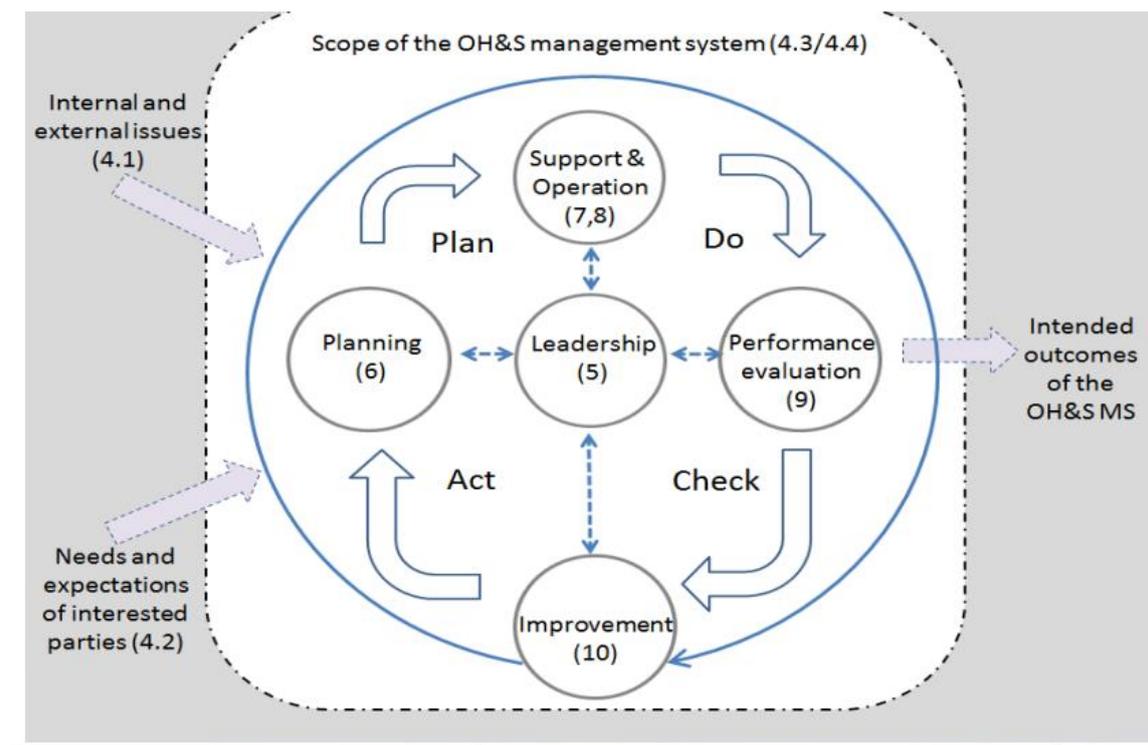
There are a number of distinct advantages in working towards achieving the new standard, including the fact that:

- There is a clear link between profitability and health and safety. The more effort that is invested in occupational health and safety, the fewer risks a business faces and the more it can focus on growth and development.
- Organisations are increasingly wishing to do business with other organisations that can demonstrate compliance with excellence. ISO 45001 also requires an organisation to consider the health and safety performance of others it works with. Meeting requirements of ISO 45001 can demonstrate that level of excellence.
- ISO 45001 is a globally recognised standard.
- The standard uses tried and tested methodology developed by experts in their field.
- Competitors may publicise their attainment of the standard and therefore obtain commercial advantage. A number of organisations are already working towards attaining this.
- It provides an excellent opportunity for the safety professional fully to engage top management in the safety agenda.
- The lessons learned and adopted in implementing a robust management system for health and safety can be easily and rapidly translated into other areas of the business, such as quality control, customer care, environmental protection etc.

While it is recognised that ISO 45001 will not be suited to some organisations, its design and flexibility of approach mean that most organisations should be able to work within its framework without suffering burdensome requirements.

ISO 45001 in detail

The figure below provides an overview of the main components of ISO 45001. Each of these components has to be established with reference to the 'context of the organisation'.



Context of the organisation

This is a new concept that has been introduced and one that organisations may initially struggle to come to terms with! Essentially, it is about how health and safety fits in with the strategic direction of the organisation and how health and safety integrates itself with other business objectives.

All organisations are unique in what they do and how they operate. Owing to this uniqueness, it is not possible to establish a single safety management system that would work for all. Organisations will therefore need to establish for themselves how various factors can influence the outcomes that they desire to achieve with respect to health and safety. This analysis will need to include not only the physical risks but also the risks to the systems and processes that have been put into place to secure health and safety outcomes.

There are many tried and tested methods for determining this, including:

- Strengths, weaknesses, opportunities and threats (SWOT) analysis; and
- A **PESTLE analysis** is a framework to **analyse** the key factors (Political, Economic, Sociological, Technological, Legal and Environmental) influencing an

organisation from the outside. ... HR practitioners and senior managers can use the results to guide strategic decision-making analysis.

Organisations will essentially need to look at both internal and external factors in evaluating the context of their organisation. External factors can include, for example:

- The relationships that an organisation has and how these are managed. This could include customers, suppliers, contractors and other interested parties;
- Changing technologies and business practices;
- Legislative changes;
- Social, cultural and political factors.

Internal factors could include, for example:

- Management structure;
- Business objectives
- Size and locations of operations;
- Nature and type of activities undertaken;
- Available resources;
- Levels of competence within the organisation;
- Planned changes to the way these are managed.

Leadership and worker participation

Although leadership and worker participation is a legal requirement and has been an essential element of any health and safety management system, it has taken to new levels in ISO 45001. Far greater emphasis has now been placed on these two subject areas and even those organisations that have attained OHSAS 18001 will need to make improvements.

One of the most significant changes that the ISO has introduced is in the emphasis placed on the involvement of top management in demonstrating leadership and commitment to health and safety management. In essence, they must own and drive any health and safety management system, ensuring that it is integrated into the organisation's business processes. Whereas previously, it was normally the health and safety manager that drove the process with the support of top management, now it is the top management that are the driving force, with the health and safety manager acting as a catalyst and facilitator.

The role of the health and safety policy is given prominence in ISO 45001, over and above that required under s2(3) of the Health and Safety at Work Act 1974 including a commitment to continually improving the health and safety management system. The 'organisation and arrangements' sections of the policy are also reinforced with requirements to assign responsibility, for example, for an individual to report on health and safety performance to top management.

The requirements for the consultation and participation of workers in developing, implementing and monitoring health and safety systems are extensive and go far and above that traditionally associated with the work of safety committees. The involvement of such 'non-managerial workers' ranges from:

- Understanding the context of the organisation;
- Setting policies;
- Assigning roles and responsibilities;
- Setting objectives and planning to meet them;
- Involvement in designing and running audits;
- Ensuring continual improvements.

The intention of the standard clearly is to ensure the full involvement of workers in designing and operating any health and safety management system. When deciding to adopt this standard, employers will therefore need to have an effective arrangement for involving workers at the earliest stage.

Planning

Interestingly, ISO 45001 requires organisations to look at the risks and opportunities that need to be addressed to ensure that the management system can deliver its outcomes. This does not restrict itself purely to health and safety opportunities, but also other opportunities, but also other opportunities that may present themselves, such as strategic and other business opportunities that may have an impact on health and safety. This is part of the approach that ISO 45001 is taking to ensure health and safety is fully integrated into all business decisions.

Included in this section are requirements to:

- Have a system for proactively identifying hazards on an ongoing basis within the organisation (including a focus on harassment, bullying, etc.).
- Establish and implement processes to assess risks from any identified hazards. The risks should not just focus on risks to people, plant etc., but also risks that could affect the health and safety management system from achieving its desired outcomes.
- Effectively plan for the elimination of hazards and control of all risks and to evaluate the effectiveness of that plan.
- Establish objectives to maintain and improve the health and safety management system, including assigning responsibilities, resources and evaluation methods.

Support

As with all management systems, if an organisation does not place sufficient resources into its operation, then it will not be successful in achieving its desired outcomes. This section of ISO 45001 looks at what support an organisation should have in place to establish, implement and continually improve its health and safety management system.

A number of specific areas are identified, namely:

- General resources such as time, money, personnel, etc.;
- Competence (at all levels of the organisation);
- The awareness of workers on a wide range of subject areas;
- Communication arrangements (both internal and external);
- The provision of documented information necessary to ensure that the management system is effective including its updating and having a control system in place to manage that information.

Operation

This section of the standard is concerned with the actual planning and control necessary for the operation of the health and safety management system and the effective control of risks. In particular, it requires that organisations:

- Use the normal hierarchy of controls to manage risks;
- Effectively plan and manage change;
- Use procurement to control risks;
- Proactively manage contracts and contractors to control risk;
- Proactively manage any outsourced work;

- Identify potential emergency situations and plan appropriate responses.

Performance evaluation

An organisation must understand how well it is performing in relation to both external and internal standards if it is to maintain and improve health and safety standards. ISO 45001 states that the minimum standard for determining the effectiveness of any health and safety management system should be compliance with legal requirements. To what extent over and above this requirement an organisation will have to measure will be determined by the context of the organisation and the content of its own health and safety management system. The key here is to choose key an appropriate selection and number of key indicators that will drive improvement in the organisation.

Whatever forms of measurement are chosen, there must be a robust evaluation as to whether compliance is being achieved. Internal audits are therefore required under ISO 45001 to identify and take action to address any non-conformities that may be identified. In line with the requirements for top management to drive the health and safety management system, requirements also exist for top management critically to review the implementation and operation of that system at planned intervals. The areas listed for consideration are extensive, but do not have to be undertaken at the same time!

Improvement

The health and safety management system must be considered as organic, and in need of continual review and improvement with requirements to identify opportunities for improvement. Processes will need to be established for dealing with incidents and other non-conformities and for learning from these. Examples of how an organisation could continually improve include:

- Enhancing performance;
- Developing the culture within the organisation;
- Worker involvement in improving the health and safety system; and
- Communication.

Practical Issues To Consider

1. *Certification*: decide whether you wish to obtain external certification or wish to attain 'self-certification'. If external certification is to be obtained then an external certification body will need to be engaged early in the process. It is recommended that several such bodies are contacted with a view to ascertaining which can offer a service most tailored to the needs of the organisation. It is recommended that a UKAS accredited certification body is chosen as this helps to ensure that the persons carrying out the process are competent.

If it is decided to pursue a non-certified route, then the organisation can 'self-certify' that it meets the requirements of the standard. Organisations will have a number of ways of self-certifying, including:

- a) Determining compliance through self-audit and self-declaring;
- b) Seeking confirmation from an 'interested party' such as customers; or
- c) Seeking confirmation by someone external to the organisation.

Whatever method of self-certifying is chosen, care must be exercised to ensure that the certification process is thorough and robust and that all the requirements of ISO 45001 are incorporated.

2. *Top management:* a fundamental and implicit requirement of the standard is for the full engagement and cooperation of top management to own and drive the requirements of the standard within the organisation. Without this engagement, it will not be possible to meet the requirements of the standard. This commitment needs to be obtained from the outset. All of the top management will need to sign up and demonstrate commitment.
3. *Gap analysis:* many organisations will already be on their way to achieving ISO 45001 simply by applying sound health and safety management principles! ISO 45001 does, however, place specific requirements and a refocusing of efforts in certain areas, including, for example, the requirement proactively to seek opportunities for advancing health and safety performance. An initial audit of the present state of the company will highlight areas of performance and non-performance. This will then need to be compared with the requirements of the new standard. There will be some gaps identified (even for those organisations currently meeting OHSAS 18001 requirements). This gap analysis will then need to form the basis for an implantation plan.
4. *Implementation plan:* the implantation plan should be realistic in its expectations and not be overambitious as there is always the danger that it could stall. Sufficient resources will need to be allocated, responsibilities assigned and timescales devised. Top management will need to be seen to be driving this. The whole organisation (management and workers) will need to be involved in designing, implementing and monitoring this.
5. *Involvement:* Implicit within the standard is the need fully to engage and consult with all levels of the organisation. This should not simply be an information cascade. The consultation and engagement requirements are extensive so careful thought should be given at the earliest stages as to the mechanisms for achieving this. If the workers in an organisation are not convinced by the management systems in place, they will quickly fail.
6. *Outcomes:* it is all too easy to get bogged down in detail and end up with a mass of documented information and elaborate processes. Focus should always be placed on maintaining and improving standards to prevent accidents and ill health. If the processes that have been put in place are not actively working towards that outcome then they serve no useful purpose as far as ISO 45001 is concerned. Each process should therefore be scrutinised before being put into effect.
7. *Improvement:* the standard requires a process of continual improvement so some form of objective measurement will be required. A mixture of lagging and leading performance indicators will be required in order to demonstrate this. *Jordan Publishing Health and Safety Management* has detailed guidance on how to select and use such indicators. A benchmark position should be taken early on in the process against which any improvements can be measured. The importance of choosing both an appropriate number and selection of indicators cannot be stressed enough. Too few, and improvement becomes difficult to measure, too many and the process becomes too unwieldy.

1.2.3 INTEGRATED MANAGEMENT SYSTEMS

Integrated Management systems are one way on ensuring all risks are managed not just those involving health and safety issues. They can lead to successful risk management so that issues can be linked to any other initiatives which are undertaken within the organisation: Investors in People and quality, etc.

It has been noted already that there is a level of commonality between OSH management systems and quality & environmental management systems – hence the common ancestry of each. Environmental, quality and safety systems need, for example, to exert control over purchasing. In an integrated system this control would be exerted via a single procedure rather than three separate ones. However, integration is more than just common text – the insights from each individual element need to come together to strengthen the whole – and in a truly integrated system this synergy is evident. Management systems integrated in to a single system may have the following benefits:

Reduce duplication of effort – combined auditing, for example, involves a single audit for all three disciplines, thus reducing the time and resources required for both the auditors and the auditees.

Recently the International Organisation for Standardization (ISO) has published a draft standard (ISO/DIS 19011) for combined auditing of quality systems under ISO 9001 and environmental management systems under ISO 14000, in order to “...facilitate the integration of quality and environmental management and...save money and decrease disruption of work units being audited”. Whilst this is not written to cover OSH management systems, it provides guidance that would be appropriate to a tripartite system.

PAS 99:2006 has been produced by BSI to help organizations achieve the full benefit from integrating the common requirements of all management system standards and specifications, and managing these requirements effectively. It is primarily intended for use by organizations who are implementing the requirements of two or more management system standards such as ISO 9001, ISO 14001, ISO/IEC 27001, ISO 22000, ISO/IEC 20000 and ISO 45001.

Raise the profile – An integrated system tends to have the effect of drawing health & safety in to the core of management. Unfortunately OSH management systems sometimes enjoy a lower status than other aspects of management in the eyes of some managers. By integrating the three systems the status of health & safety becomes equalized.

Simplifies systems for users – Integration, if applied well, should result in simplified procedures which reduces the quantity of material and makes compliance easier for the system users.

Despite the clear benefits of integration there are, however, practical problems. These include:

- The degree of co-ordination and effort needed to produce an integrated system. The greater level of involvement needed from a wide spectrum of managers will need a higher degree of organisation & co-ordination. The actual logistics of creating the system will be more difficult.

-
- Management structure – Who is going to manage this integrated system? If overall control is given to the quality manager, for example, how will this affect the emphasis of the OSH aspects of the system? Indeed, what political conflicts are going to be generated by bringing systems together which had previously been managed by different managers in separate departments?

Exercise

What other potential disadvantages of integration can you identify?

Notwithstanding these potential difficulties, integration of systems should be considered as an option to improve the potential for success in OSH management.

1.3 HEALTH AND SAFETY POLICIES – ORGANISATIONAL APPROACH*

There is a legal requirement for most organisations to have a written health and safety policy under the Health & Safety at Work Act 1974 (HASAWA) Section 2.3. This is supported by the requirement under the Regulation 5 Management of H&S at Work Regs 1999, which require the employer to have adequate arrangements for planning and implementation of health and safety. It is also an essential part of HSG65 and any safety management structure.

HASAWA

s.2(3) Safety Policy - An employer must:- -

- Prepare a written statement of his general health and safety policy if they have five or more employees
- Set down the organisation and arrangements for carrying out the policy, e.g. who is responsible and for what.
- Revise and update as necessary.
- Bring the policy and arrangements to the notice of all employees.

In the case of Osborne V Bill Taylor 1982 there was a query over how many employees were required before a policy statement was required. “the number of employees simultaneously on the premises”. If five or more then a written policy is required. Although normally it is considered that if an employer has five employees under contract then a safety policy should be completed and communicated.

Management of Health & Safety at Work Regs - Regulation 5 Health & Safety Arrangements

Every employer shall make effective arrangements for the effective planning, organisation, control, monitoring and review safety arrangements within the organisation. The frame work in HSG65 is just one way of setting up a safety management system. These arrangements must be appropriate to the company and its activities, effective i.e. not just the paperwork in place, written there are 5 or more employees (as per HASAWA S2).

1.3.1 DRAFTING A HEALTH & SAFETY POLICY *

Any health and safety policy should be:-

- A central feature of management
- Up to date
- Complying with legal standards
- Setting the standards or behaviour at all levels of the organisation
- Setting the H&S objectives which need to be met
- Showing management commitment to safety

A health and safety policy must be tailored to the organisation it represents. The processes of its development is important because an end result normally requires

several people in the organisation to actually do something. Once completed the policy will need to be formally reviewed and revised on a regular basis.

Consultation should occur as early as possible in the drafting process to ensure that comments, suggestions and feedback can be considered and taken on board if appropriate. Any issues which cannot be addressed must be communicated to those who raised them with reasons as to why they have not been taken on board. If staff and others feel their comments have not been considered at all they are less likely take the completed document seriously.

1.3.2 THE H&S POLICY DOCUMENT *

To comply with HASAWA the policy document must include three essential components:

- a. STATEMENT OF INTENT**
- b. ORGANISATION (RESPONSIBILITIES)**
- c. ARRANGEMENTS**

a. STATEMENT OF INTENT

This should start the policy with a broad statement on the company's strategy in relation to managing safety. It should refer to directors, managers and employees.

- Short setting aims and objectives
- signed by MD or Chief Executive
- should include monitoring arrangements
- should be reviewed periodically

EXAMPLE HEALTH AND SAFETY POLICY STATEMENT OF INTENT

The Managing Director and Board of The Company (the Company) regard people as our most important asset and as such, accepts responsibility for ensuring, as far as possible, the health, safety and welfare of employees and others who may be affected by our activities.

The nature of our activities means that a wide range of risks exist but through the implementation of this policy, directors, managers and employees will ensure that all risks to health are addressed and maintained at the lowest level reasonably practicable. The management of health and safety is an integral part of every manager's role. All managers are required to adopt the approach laid out in the Management of Health & Safety At Work Regulations 1999. These state the need for hazard identification, risk assessment and the implementation of control strategies aimed at reducing accidents, injuries and ill health.

This will include the provision of:

- A safe place of work, a safe working environment, adequate welfare facilities, safe systems of work and safe plant and equipment.

To assist this process, safety aims and objectives will be set and performance will be monitored against these objectives. We would also remind all employees of their statutory duty to take reasonable care for the health and safety of themselves and others who may be affected by their actions. This includes co-operating in procedures introduced in the interests of health and safety and not interfering with or misusing anything provided in the interests of health and safety. Only with the co-operation and involvement of every employee can the requirements of this policy be met.

b. ORGANISATION

This should include the specific responsibilities of those within the organisation for meeting health and safety standards, this will normally include:

Senior managers, supervisors, H&S advisers, fire wardens, departmental managers, team leaders, supervisors, contractors and employees etc.

This section of the policy will normally start with a summary organisational chart showing the range of different levels which have responsibilities. This should be supported by more detail of who is actually responsible for what.

EXAMPLE ORGANISATIONAL RESPONSIBILITIES FOR THE MANAGING DIRECTOR

The MD has a direct responsibility for:

- Ensuring the overall implementation of the Risk Management and Health & Safety Policy.
- Reviewing at least annually the safety performance of the Company in association with the HR Director and the Occupational Health & Safety Manager.
- Formulating the objectives of the Company with regard to the health and safety at work of its employees, ensuring adequate resources, information, consultation and training.
- Ensuring H&S responsibilities are assigned to appropriate delegated employees.
- Ensuring the Company complies with all relevant health and safety legislation.
- Ensuring there is effective liaison between all departments, managers and employees on health and safety matters.
- Monitoring health and safety arrangements via the appropriate Directors and General Managers and the Occupational Health & Safety Manager.

EXAMPLE ORGANISATIONAL RESPONSIBILITIES FOR EMPLOYEES

All employees of the Company have the following health and safety responsibilities, these aim to reduce accidents, ill health and injury to fellow employees and those not employed by the Company.

You have the responsibility:

- To co-operate with the Company and follow any appropriate health and safety procedures/protocols.
- Not to misuse or interfere with anything provided in the interest of safety. (i.e. not to remove guards or abuse personal protective equipment)
- To inform your supervisor/manager of any hazards or problems which could cause an accident.
- If having reported a hazard and remedial action is not taken or you are not satisfied with the explanation given, contact your departmental safety representative.
- To wear appropriate personal protective equipment and to ensure it is cleaned and stored safely.

c. ARRANGEMENTS

This part of the policy should include the practical arrangements for making safety happen. It should include systems and procedures to ensure safety standards within the organisation are met, and should be a live working document. The subjects covered should be the main hazards and risks which the company faces and the steps which must be taken to control them. Typical subjects include:

Training, Noise control, Fire precautions, Consultation, First aid, Monitoring, Inspections, Audits, Smoking, Visitors, Contractors, Machine guarding, Dust control, Health surveillance, Emergency procedures, Safety representation, PPE, COSHH, AIDS etc.

EXAMPLE EXTRACT FROM THE ARRANGEMENTS SECTION

CHEMICALS - Control of Substances Hazardous To Health Regulations

Most work areas will have at least a small number of chemicals in use. All substances used at work are covered by the Control of Substances Hazardous To Health Regulations (COSHH) 2002. The regulations lay down a frame work for controlling the use of any substance including liquids, gases, vapours and dust levels. Some specific items such as lead and asbestos have their own legislation but the majority of substances are regulated by COSHH.

1. Every substance must be assessed prior to use including where and how it is to be used and assessing the risks to employees and others who could be affected. The assessment must be in writing unless the risk is low.
2. Wherever possible, product data sheets from the manufacturer or supplier should be obtained to support the assessment.
3. To control the risk of injury and the hazards of using substances, substitution, isolation, local exhaust ventilation, good housekeeping may all be necessary along with supervision, training, safety signs, secure storage and Personal Protective Clothing. (PPE)

SUBSTANCES IN USE

The main types of hazardous substances which employees may come into contact with includes: Wood dust / Glues / Paints / Varnish / Wood treatments / Cleaning Products

GUIDANCE FOR THE SAFE USE OF CHEMICALS

- Always use the exhaust ventilation available when cutting or sawing wood.
- Do not sweep the work area but vacuum up wood dust.
- Always ensure tops are replaced on bottles and containers after use to prevent spillage.
- Keep all flammable substances (including air freshener) away from heat sources and naked flames.
- Never bring in substances from home or purchase them locally – all substances must be assessed before use.
- If there is a risk of chemical splashes always wear goggles.
- Wood dust is a hazardous substance – always wear a face mask and use the available extraction systems.
- Ensure substances are stored securely.
- Never mix incompatible chemicals – even everyday bleach and Jif can produce harmful chlorine gas if mixed.
- Always store chemicals in their original container. Where they have to be decanted the container should be marked with the product's name and any chemical classifications.