

Risk Control Guide

HEALTH & SAFETY MANAGEMENT

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Introduction

This Risk Control Guide provides general safety management information and guidance on many of the common risk exposures which affect businesses. There are a diverse range of exposures within industry, this list is not intended to be exhaustive, but is intended to raise awareness in order to guide users in the correct direction.

This Guide is based on United Kingdom regulation guidance and best practice. References are from UK sources.

Health and Safety Policy Statement

Describing how you will manage health and safety in your business will let your staff and others know about your commitment to health and safety.

All organisations employing five or more people must legally have a written health and safety policy. The Health and Safety at Work Act 1974 requires employers to prepare, and maintain up-to-date, a statement showing the policy on safety and the organisation and arrangements put in place to ensure the general policy is carried out.

For a policy to be effective it must reflect an organisation's commitment to health and safety, and should cover three areas.

Part 1: Statement of intent

State your general policy on health and safety at work, including your commitment to managing health and safety and your aims. As the employer or most senior person in the company, you should sign it and review it regularly.

Part 2: Responsibilities for health and safety

List the names, positions and roles of the people in your business that have specific responsibility for health and safety.

Part 3: Arrangements for health and safety

Give details of the practical arrangements you have in place, showing how you will achieve your health and safety policy aims. This could include, for example, doing a risk assessment, training employees and using safety signs or equipment.

Further information and guidance is available from:

<https://www.hse.gov.uk/simple-health-safety/policy/how-to-write-your-policy.htm> - How to write your Health and Safety policy

Occupational Health and Safety Management Systems

Occupational Health and Safety Management Systems should be used as a framework to minimise risks associated to workers health and wellbeing, supported through processes, checks, monitoring and other proactive activities.

Employers also have a duty to consult and communicate with their employees or representatives on health and safety matters.

There are a number of management systems which can be used which include:

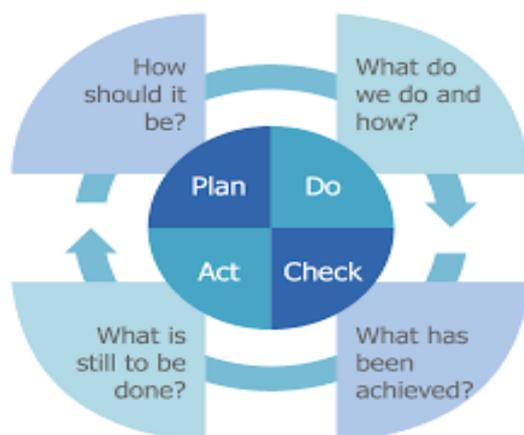
BS OHSAS 45001:2018 helps an organization to achieve the intended outcomes of its OH&S management system. Consistent with the organization's OH&S policy, the intended outcomes of an OH&S management system include:

- a) Continual improvement of OH&S performance;
- b) Fulfilment of legal requirements and other requirements;
- c) Achievement of OH&S objectives.

Organisations who introduce formal systems within their businesses can benefit from:

- Reduced risk to employees and others.
- Improved business performance.
- The ability to demonstrate a responsible image within the market place and to their stakeholders.

The strategy to implementation is based on a simple 'Plan, Do, Act and Check' approach.



Many specifications, standards and guidance documents for occupational safety and health (OSH) management systems have been produced by organisations around the world. The principal ones of interest to UK companies are covered in the following links:

<http://www.hse.gov.uk/pubns/priced/hsg65.pdf> - Managing for Health and Safety

<http://www.hse.gov.uk/pubns/indg232.pdf> - Consulting Employees on Health and Safety

Health and Safety Training

Proper health and safety training extend far beyond introducing a new worker to the jobsite; it encompasses every situation where the job or working conditions can change. Without a basic understanding of proper safety practices, employees will be at a greater risk for workplace injuries, illness, or even death.

Investing in safety training:

- Helps your employees to identify hazards and adopt safe and healthy working practices
- Helps to avoid the pain, anguish and financial costs that accidents and ill health cause
- Fosters a positive culture of health and safety, in which unsafe and unhealthy working are not tolerated
- Enables your employees to spot ways to improve health and safety management
- Enables you to meet your legal duty to protect the health and safety of your employees and others.

Further information and guidance is available from:

<http://www.hse.gov.uk/pubns/indg345.pdf> - Health and Safety Training “A Brief Guide”

Risk Assessment

As part of managing the health and safety of your business, you must control the risks in your workplace. To do this you need to think about what might cause harm to people and decide whether you are taking reasonable steps to prevent that harm. Suitable and sufficient risk assessments and communication of the relevant findings will help to ensure that a workplace is safe and the workforce is content in their security

The HSE suggests that risk assessments should follow five simple steps:

- Step 1: Identify the hazards.
- Step 2: Decide who might be harmed and how.
- Step 3: Evaluate the risks and decide on precautions.
- Step 4: Record your findings and implement them.
- Step 5: Review your assessment and update if necessary.

Further information and guidance is available from:

<http://www.hse.gov.uk/pubns/books/l21.htm> - Management of Health and Safety at Work

<http://www.hse.gov.uk/pubns/indg163.pdf> - A Brief Guide to Controlling the Risks in the Workplace



Control of Contractors

Whilst there is no specific legislation for the control of contractors, there is a general duty of care under the Health and Safety at Work etc. Act 1974 (HASAWA) to safeguard the health and safety of employees and non-employees who may be affected by contractor activities. Additional responsibilities for the safety of contractors arise from supporting Health and safety regulations including the Management of Health and Safety at Work Regulations and CDM regulations.

Anyone entering premises for the purposes of carrying out work for a client, owner or occupier must be regarded as a contractor - to whom duties are owed (and indeed who owes duties) with regard to health and safety matters.

Contractors often carry out hazardous work such as hot cutting and welding, working at height and working in confined spaces. Also, they are exposed to hazards inherent to the workplace in which they are working, without the full-training, knowledge and experience of full-time employees. It is therefore essential that contractors are suitably trained, controlled, prepared and equipped for both the job they are performing and the environment in which they are working, to avoid accidents to both themselves, employees of the business and in some circumstances the general public.

Occupiers of premises and employers have both operational and statutory responsibilities to control contractors. Effective cooperation between site owners / operators and contractors is essential, as is proper organisation and control over the activities of both parties, to ensure they do not adversely impact on each other.

UK employers should consider adopting the "Safety Schemes in Procurement (SSIP)" ethos into their procurement process. SSIP is not an assessment scheme, it is a membership or umbrella body for assessments schemes with the common aim of reducing both duplication and costs to both buyers and suppliers. SSIP members (both assessment schemes and the "UK Accreditation Service", accredited certification bodies) will assess a contractor's health and safety. The SSIP has a growing number of registered members that include "Constructionline", "The Contractors Health and Safety Assessment Scheme (CHAS)" and "SAFEcontractor" as well as a range of affiliated and co-opted members.

Further information and guidance is available from:

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

Permit to Work

A permit-to-work is a documented procedure that authorises certain people to carry out specific work within a specified time frame. It sets out the precautions required to complete the work safely, based on a risk assessment. It describes what work will be done, how it will be carried out and by whom and imposes strict timescales for the duration, completion and sign off of the activity.

Permits to work should be straightforward systems which are used to control high-risk tasks carried out by employees and contractors.

Permit to work systems are commonly used for the following types of work:

- Hot Work (hot cutting and welding).
- Confined Space.
- Breaking into pipework.
- Specific Hazards (i.e. temporary removal of guarding).
- Isolations (Live and HV electrical work).
- Excavations.
- Work at Height.

Further information and guidance is available from:

<http://www.hse.gov.uk/comah/sragtech/techmeaspermit.htm> - Permit to Work Systems

<http://www.rsabroker.com/risk-management> - RSA Hot Work Risk Control Guide

<http://www.hse.gov.uk/humanfactors/topics/ptw.htm> - Why Permit to Work Systems are Important.

Confined Spaces

A confined space means any place, including any chamber, tank, vat, silo, pit, trench, sewer, flue, well or other similar place in which, by virtue of its enclosure nature there arises a reasonably foreseeable specified risk. Serious injury can occur from hazardous substances or conditions such as:

- Serious injury from fire or explosion.
- Unconsciousness arising from increased body temperature.
- Unconsciousness or asphyxiation resulting from work exposure to gas, fume, vapour, lack of oxygen.
- Drowning from a rising liquid level.
- Asphyxiation from a free flowing solid or entrapment in a free flowing solid, which prevents escape to a respirable environment.

You must carry out a suitable and sufficient assessment of the risks for all work activities to decide what measures are necessary for safety (under the Management of Health and Safety at Work Regulations 1999, regulation 3). For work in confined spaces this means identifying the hazards present, assessing the risks and determining what precautions to take. In most cases the assessment will include consideration of:

- the task;
- the working environment;
- working materials and tools;
- the suitability of those carrying out the task;
- arrangements for emergency rescue.

Further information and guidance is available from:

<http://www.hse.gov.uk/pubns/priced/l101.pdf> - Safe Work in Confined Spaces

<http://www.hse.gov.uk/pubns/indg258.pdf> - A Brief Guide to Working Safely

Fire Safety

Fire precautions must consider the elimination, reduction or segregation to sources of ignition and fuel in line with the principles of the fire triangle.

Other key responsibilities of employers, facility owners and building occupiers relating to fire-safety include:

- To carry out a fire safety risk assessment, which should be regularly reviewed and updated.
- To avoid accidental fire by controlling sources of ignition, storing and handling flammable substances safely and maintaining good housekeeping
- To ensure that suitable systems and equipment are provided to warn people quickly if a fire starts, e.g. smoke alarms and manual fire alarms.
- Ensure suitable and sufficient means of escape, and ensure that these are maintained unobstructed
- To have appropriate portable fire-fighting appliances.
- To develop and maintain a fire emergency plan and routinely conduct fire drills.

In England and Wales the law applying to general fire safety is the Regulatory Reform (Fire Safety) Order 2005. Similar legislation applies to Scotland and Northern Ireland.

The primary responsibilities under these regulations relate to the identification of fire hazards and provision of necessary and adequate means of preventing or reducing the risk of fire starting, controlling the spread of fire, and reducing the risk of injury from the effects of heat and smoke.

Provision of a clear means of escape from buildings in the event of fire is fundamental to life safety.

Clearly marked exit routes leading to a place of safety must form part of building design. Exit routes and doors are required to be kept clear of obstruction at all times. This will allow people to evacuate the premises quickly and safely in the event of danger.

The Fire Safety Order applies to all workplaces. It does not apply to people's homes, but does apply to the common areas of blocks of flats.

Further information is available from:

<http://www.hse.gov.uk/toolbox/fire.htm> - Fire Safety

<https://www.gov.uk/government/collections/fire-safety-law-and-guidance-documents-for-business> - Guide to fire safety for business

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/14899/fsra-5-step-checklist.pdf - Fire Safety Risk Assessment

Lone Workers

Lone workers are those who work by themselves without close or direct supervision.

Some examples are: -

- People in premises where only one person works, small workshops, petrol stations and home workers
- People who work separately or remotely from others, in agriculture and forestry, in factories, warehouses, research and development
- People who work outside normal work hours or away from their fixed base, salespersons, cleaners, security guards, service technicians

Establishing a healthy and safe working environment for lone workers can differ from organising the health and safety of other employees. The risk may be compounded by especially hazardous environments such as use of hazardous machinery or use of chemicals. It is important that lone workers should not be put at more risk than other people.

Measures to ensure that risks arising from lone working include the following, which should always be considered:

- Risk assessment, including violence, manual handling and the medical suitability of the individual to work alone.
- Assessment of workplace hazards.
- Suitable training and adequate levels of experience to work alone.
- Adequate supervision systems to ensure that lone workers are monitored and forms of communication with others maintained.

Employers should be aware of any specific legislation or guidance on lone working relating to any specific industry (e.g. supervision in diving, vehicles carrying explosives, fumigation work).

Further information and guidance is available from:

<http://www.hse.gov.uk/toolbox/workers/lone.htm> - Lone Workers

<http://www.hse.gov.uk/pubns/indg73.htm> - Health and Safety Guidance on the Risks of Lone Working

Slips and Trips

Slips and trips are the most common cause of injury at work. On average, they cause 40 per cent of all reported major injuries and can also lead to other types of serious accidents, for example falls from height. Slips and trips are also the most reported injury to members of the public.

Slips and trips are also most common cause of non-fatal major injuries in both manufacturing and service industries and account for over half of all reported injuries to members of the public.

There are many simple ways to control slips and trips risks and prevent accidents in your workplace. Here are a few examples.

Stop floors becoming contaminated:

- Use entrance matting.
- Fix leaks from machinery or buildings.
- Make sure plant and equipment are maintained.
- Design tasks to minimise spillages.
- Plan pedestrian and vehicle routes to avoid contaminated areas.

Use the right cleaning methods

- Make sure that your cleaning method is effective for the type of floor you have.
- Leave smooth floors dry after cleaning or exclude pedestrians until the floor is dry.
- Remove spillages promptly.
- Have effective arrangements for both routine cleaning and dealing with spills.
- Use the appropriate detergent mixed at the correct concentration.

Consider the flooring and work environment

- Check for loose, damaged and worn flooring and replace as needed.
- Floors likely to get wet or have spillages on them should be of a type that does not become unduly slippery.
- Make sure lighting is sufficient and that slopes or steps are clearly visible.
- Keep walkways and work areas clear of obstructions.

Get the right footwear

- Where floors cannot be kept clean and dry, slip-resistant footwear can help prevent slip accidents.
- Trial footwear first to make sure it is suitable for the environment and for those who will be wearing it, i.e. comfort and fit.
- If footwear is supplied as personal protective equipment (PPE), it must be supplied free of charge to employees.

Further information and guidance is available from:

<http://www.hse.gov.uk/pubns/indg225.pdf> - Preventing Slips, Trips and Falls at Work

<http://www.hse.gov.uk/slips/sat/> - Slips Assessment Tool

Violence at Work

Work-related violence is defined as 'any incident in which a person is abused, threatened or assaulted in circumstances relating to their work'.

Employers are responsible for identifying and managing the risk of harassment and violence at work. Clear policies should be developed in relation to harassment and violence, detailing the companies responsibilities, as well as those of their workforce, to raise awareness of related issues among the workforce, and set standards for workplace behaviour.

The sectors identified as most at risk in the UK are those where third party harassment and violence are more likely. According to the 2006/7 British Crime Survey (BCS), respondents in the protective service occupations (for example police officers) were most at risk of violence at work. But high rates were also shown, for example, for workers in the transport, health, retail and leisure (e.g. pubs) sectors.

The main factors that create risk are:

- Impatience
- Frustration
- Anxiety
- Resentment
- Drink, drugs or mental instability.

Key preventative measures are:

- To raise awareness and increase understanding of employers, workers and their representatives of workplace harassment and both internal and third party violence
- To provide employers workers and their representative with a framework of response to identify, prevent and manage problems of harassment and all forms of violence at work.

Further information and guidance is available from:

<http://www.hse.gov.uk/violence/preventing-workplace-harassment.pdf> - Preventing Workplace Harassment and Violence

Work at Height

Falls from height remain the largest cause of workplace deaths. Work at height means work in any place where, if there were no precautions in place, a person could fall a distance liable to cause personal injury. For example you are working at height if you:

- Are working on a ladder or a flat roof;
- Could fall through a fragile surface;
- Could fall into an opening in a floor or a hole in the ground.

The following are all requirements in law that you need to consider when planning and undertaking work at height. You must:

- Take account of weather conditions that could compromise worker safety;
- Check that the place (e.g. a roof) where work at height is to be undertaken is safe. Each place where people will work at height needs to be checked every time, before use;
- Stop materials or objects from falling or, if it is not reasonably practicable to prevent objects falling, take suitable and sufficient measures to make sure no one can be injured, e.g. use exclusion zones to keep people away or mesh on scaffold to stop materials such as bricks falling off;
- Store materials and objects safely so they won't cause injury if they are disturbed or collapse;
- Plan for emergencies and rescue, e.g. agree a set procedure for evacuation.
- Think about foreseeable situations and make sure employees know the emergency procedures. Don't just rely entirely on the emergency services for rescue in your plan.

Further information and guidance is available from:

<http://www.hse.gov.uk/work-at-height/the-law.htm> - The Law

<http://www.hse.gov.uk/pubns/indg401.pdf> - Working at Height A Brief Guide

Safety Inspections

Workplace inspections are an effective method to identify potential hazards. Combinations of formal and informal inspections should be carried out with a view to incident prevention.

These can be undertaken in the form of safety tours, general inspections of the workplace. Safety sampling, systematic sampling and safety surveys, specific to danger, process or areas.

Informal inspections would normally take the form of ensuring implementation of good safety control and housekeeping as part of normal working practice.

Inspections should consider control of exposure to hazardous materials and processes, environment and individual's wellbeing.

An example template is provided below:

Sample Safety Inspection Template

Department:.....

Inspection By:..... **Date:**.....

Re-inspection By:.....

| Category | Unacceptable features | Action taken |
|-----------------------------------|-----------------------|--------------|
| Cranes/lifting tackle | | |
| Fork trucks | | |
| Machinery | | |
| Electrical systems | | |
| Chemical handling/ storage/use | | |
| Protective equipment | | |
| Fire precautions | | |
| Manual handling | | |
| Access equipment | | |
| Hand tools | | |
| Workplace conditions | | |
| Storage/housekeeping | | |
| First aid | | |

| | | |
|--------------------|--|--|
| Welfare facilities | | |
| Miscellaneous | | |

Signed:

Further information and guidance is available from:

<http://www.hse.gov.uk/involvement/inspections.htm> - Workplace Inspections

Accident Reporting and Investigation

Every year a significant number of employees are injured or suffer illness as a result of their work. Latest estimates show that around 581,000 workers sustained non-fatal injuries in 2018/2019, with 1.4 million workers suffering from work-related ill-health.

The statistics, compiled from the Labour Force Survey and other sources, illustrate that in Great Britain in the 2018/2019 period there were:

- 147 fatal injuries at work.
- 1.4 million working people suffering from a work-related illness.
- 364 cases were prosecuted and resulted in a conviction.
- Fines from convictions totalled £54.5 million.
- 28.2 million working days were lost due to work-related illness and workplace injury.
- The estimated economic cost to Great Britain totalled £15 billion in 2017/2018.

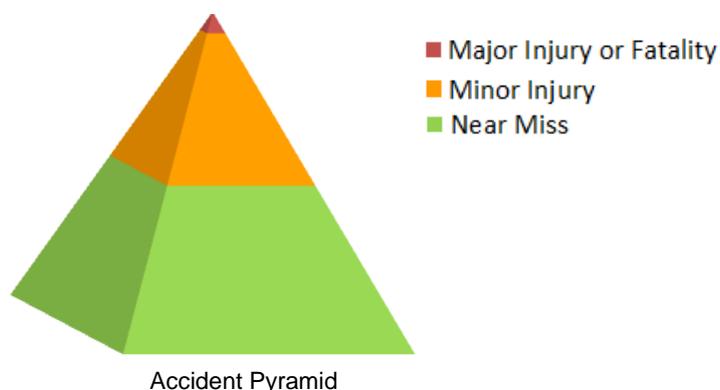
In business, things do not always go to plan and the ability to deal with unexpected events can reduce the consequences and provide a company with a structured approach to the prevention of future accidents.

It is recommended the following documents should be collated, as appropriate following an accident:

- Internal accident report form.
- Photographs
- Written witness statements, signed and dated.
- Photocopy entries of Accident Book/First Aid Treatment
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) Accident Reports

Carrying out your own health and safety investigations will provide you with a deeper understanding of the risks associated with your work activities. An effective investigation requires a methodical, structured approach to information gathering, collation and analysis. The findings of the investigation will form the basis of an action plan to prevent the accident or incident from happening again and for improving your overall management of risk.

The collation of accident statistics are widely used within organisations as indicators of issues and trend analysis; a valuable tool in the prevention of accidents. According to previous studies undertaken by the HSE for every 1 major injury or fatality, there are 7 minor incidents and 189 non-injury related incidents. This emphasises the importance of accident and near-miss reporting, as reduction in near-misses is expected to proportionally reduce injury incidents.



Guidelines for reporting of incidents or near misses in the UK, in-line with the “Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013”, may be found at:

<http://www.hse.gov.uk/managing/delivering/check/investigating-accidents-incidents.htm>

<http://www.hse.gov.uk/riddor/> - Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

First Aid

People at work may suffer injuries or be taken ill. Whether the injury or illness is caused by the work they do or not, it is important to give them immediate attention and call an ambulance in serious cases. Suitable arrangements to ensure suitable provision of first aid will in many cases reduce the impact of an injury or illness and assist in advancing recovery.

First aid may be broken down into two objectives:

- To provide treatment to preserve life and minimise the consequences of injury or illness until medical (doctor, paramedic or nurse) help can be obtained.
- To provide treatment of minor injuries which would otherwise receive no treatment or which do not need the help of a medical practitioner or nurse.
- UK statutory law requires all businesses to have an appropriate level of first aid treatment available (trained personnel as well as equipment) at all places of work.

Employers must assess the risks involved to ensure effective first aid arrangements are developed for the specific work activities.

Further information and guidance is available from:

<http://www.hse.gov.uk/pubns/indg214.htm> - First Aid - Your Questions Answered

Reporting Injury Claims

Even with good health and safety management incidents resulting in injury and disease may still occur. Prompt investigation and reporting of these incidents is essential to:

- Determine underlying causes and take steps to eliminate or reduce the risk of reoccurrence.
- Assist in handling potential civil claims and reducing time and costs.

Ensure that procedures are in place to notify your insured or broker immediately of any incident that might reasonably be expected to result in a liability claim. Any relevant documentation in relation to potential claims should be collated and made available to your insurer and broker.

Disclaimer

The information set out in this document constitutes a guide and should not be construed or relied upon as specialist advice. RSA does not guarantee that all hazards and exposures relating to the subject matter of this document are covered. Therefore RSA accepts no responsibility towards any person relying upon these Risk Control Guides nor accepts any liability whatsoever for the accuracy of data supplied by another party or the consequences of reliance upon it.