

HIGHWAYS AGENCY HEALTH AND SAFETY ASSESSMENT MODEL

Fourth Round

(Company Name / Company Departments Assessments)

(Address)

(R4/11-12 Assess: V1.0 - TX)

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ASSESSMENT GUIDANCE

Introduction

The Highways Agency Health and Safety Assessment play an important role in embedding health and safety standards in the procurement process. Now entering its fourth round, it is designed to test our suppliers' compliance with the Construction Design & Management (CDM) Regulations 2007 and that their Safety Management System (SMS) is adequately aligned to the Highways Agency corporate health and safety objectives.

The focus of the assessment is to identify how effectively safety is integrated into the culture of an organisation, and how effectively safety is managed and communicated. We expect our suppliers to be able to demonstrate adequate resource and commitment to effective safety management both at organisational level and operationally (on-site or through design).

Additionally, we want to capture and highlight best health and safety practice amongst our supply chain, and provide good quality feedback to all suppliers. Our aim will be to share good (and poor) practice across the whole supply chain, driving improved health and safety performance across the board.

These guidelines are intended to assist the Assessment Team and suppliers to prepare for the assessment process as effectively as possible.

Highways Agency Commitment to Health and Safety

The Highways Agency has a strong commitment to Health and Safety; both the safety of our network, and those who work on it. Our Health and Safety Strategy, **Aiming for Zero**, defines our aim that ‘as an employer, designer and a client, nobody should come to harm as a result of their work for us’. The following link gives further details:

<http://www.highways.gov.uk/aboutus/27625.aspx>

This is supported by our Procurement Strategy, which states ‘we continue to have the highest expectations of our supply chain in ensuring that health and safety is fully integrated with procurement processes, including the development and application of a capability-based health and safety assessment of our key suppliers, with improved links to construction, design and management regulations’. The full strategy document can be accessed here:

http://www.highways.gov.uk/business/documents/Procurement_Strategy_2009-10.pdf

Assessment Approach

The revised Assessment Model is structured around 6 key elements with a total of 26 sub-elements that link the assessment process to the CDM Regulations 2007; with particular focus on the core criteria for demonstration of competence for all duty holders covered in Appendix 4 of the Approved Code of Practice (ACoP) ‘Managing health and safety in construction’.

The assessment is not intended to be a punitive process, and is not simply a compliance-based approach. Compared to earlier Health and Safety Assessments, the previous question set has been slimmed down to allow the Assessment Team more freedom to test what is really important to the Agency.

We have recognised the differences in assessing the roles of Contractors and Consultants, with a more focused approach for assessing the role of Designers. We have also removed the need for a Head Office visit for those suppliers that already hold the existing HA H&S Assessment Certificate through an evidence based submission and use of information gathered on previous visits.

By necessity, we will be looking for the existence of certain items of evidence to demonstrate the existence of safety arrangements etc; however, our aim is then to investigate how effectively these arrangements are disseminated throughout the organisation. This can be summed up as:

- Commitment
- Communication
- Co-operation
- Competence

The Assessment Team will focus on the arrangements underpinning the SMS and how individuals at all levels within the organisation incorporate safety into the daily routine.

It is important to recognise that when it comes to managing and controlling safety within an organisation, everyone needs to be involved and each individual employee has a role to play and their own individual responsibilities. Assessors will be looking for evidence of how the organisation facilitates this. Employee participation, including input and feedback is a fundamental issue throughout the validation process.

Table of Elements and Sub-elements

1	Safety Management Systems
1.1	Existence, Implementation and Review of H&S Policy
1.2	Legal Compliance
1.3	Responsibilities, Authority and Objectives - Corporate and Project
1.4	Risk Management - Corporate and Project
1.5	Identification and Control of Potential Losses
1.6	SMS Review and Management
2	Health and Safety in Design and Planning
2.1	CDM Compliance
2.2	Design Risk Management - Permanent Works & Temporary Works
2.3	Traffic Management
2.4	Site Construction Planning
2.5	Welfare
2.6	Coordination
3	Safety of People and Supply Chain
3.1	Competency Requirement - Corporate and Project
3.2	Assessment
3.3	Training
3.4	Leadership
3.5	Engagement and Communication – Employees and Supply Chain

4	Occupational Health
4.1	Pre-employment
4.2	Occupational Health Policy
4.3	Health Surveillance
5	Use of Plant and Equipment
5.1	Selection and Procurement
5.2	Inspection and Maintenance
5.3	Appropriate Use
6	Incident Management
6.1	Emergency Planning
6.2	Reporting Procedure
6.3	Investigation
6.4	Review

Assessment Process

Our aim is to assess the effectiveness of the integration of the Safety Management System into the organisation and, as such, we will need to establish the existence of the following:

- Responsible persons
- Clearly defined policy
- Systems and procedures to implement the policy
- Communication arrangements
- Evidence of consistency throughout the organisation.

Documentary evidence of the existence of procedures will be considered the base starting point, including any accreditation, internal audits and monitoring that reflects the terminology found within the 14 categories of CDM 2007: Appendix 4 of the ACoP (including the use of ACoP for all key roles within the CDM Regulations to show knowledge as well as academic and professional qualifications).

Organisations will have the opportunity to provide examples & evidence to demonstrate they meet the required standard in the CDM 2007: Appendix 4 of the ACoP as part of a submission for desktop assessment ahead of their site or office visit. Further details and arrangements will then be communicated by the lead assessor ahead of the assessment visit, highlighting anything that requires further evidence or clarification on the day; this may include interviews with key personnel.

The real focus of the assessment team will be to ensure that the procedures are adequately resourced, effectively communicated, and form part of the everyday thinking of staff at all levels. Therefore, much of the process will involve interviews and anecdotal evidence obtained from a representative cross-section of staff.

We will be particularly keen to identify examples of a proactive approach to safety as opposed to an effective means of corrective action (which, whilst extremely important often involves a larger degree of cost than an effective preventative approach). In essence, organisations that can demonstrate a commitment to loss prevention and control, rather than loss mitigation will be recognised by this process.

During the course of the assessment we will aim to interview as many relevant key personnel as possible to capture project and corporate personnel. The onus is on the organisation to put forward the best people to convey H&S culture throughout and as a guide these should include (but may not be restricted to, and as the assessment develops on site, it may become appropriate to interview other staff as necessary):

- Senior Manager/Director
- Safety Manager
- CDM Coordinator
- Designer
- HR/Training Manager
- Operations Manager
- Purchasing
- Project/Site Manager
- Team Leaders
- Operational staff as required

The team will use three main methods of verification of information and activities as follows:

- Record Checks
- Interviews with all levels of staff
- Observation of Physical Conditions/Workplace Environments.

In most cases, a combination of all 3 methods will be used to gain an accurate impression, based on what was submitted and seen on the day, of the effectiveness of that element of the SMS.

Assessment Preparation

Organisations will be contacted to arrange a date for their site/office visit. In the case of a new supplier this will be a two day visit (one day spent at Head Office and the second day at site or design office). For organisations that already hold an existing certificate only a one day assessment visit will be required providing they satisfy all requirements of the desktop assessment.

Once a date has been agreed for an organisation's visit they will be given a date to submit their 'SMS Desktop Assessment' submission (this date will be approximately 2 weeks before the visit).

The 'SMS Desktop Assessment' submission document should be no more than 20 pages and highlight evidence of how their SMS has been implemented into the workplace in accordance with CDM Regs 2007. The submission should also include details of:

- Accident and Incident Reporting (AIR), in line with HA requirement (including near-misses).
- What methods are used for capturing Best Practice?

In addition to the submission the organisation should also provide the following:

- Copy of their H&S policy (including environmental policy).
- Any other H&S accreditation (eg. 18001, 14001, CHAS, Link-up, etc).
- Any previous HA H&S feedback reports (for organisations that hold the existing certificate).
- Any action plans you have developed in line from comments received within the round three assessment programme
- Any areas of development or innovation that you are currently developing to improve safety on site and within the business
- Information to show how your company undertakes continuous improvement of your SMS and its communication to your employees.

Once the 'SMS Desktop Assessment' submission has been assessed the lead assessor will liaise with the organisation ahead of their site/office visit to confirm details and discuss a programme for the actual visit, this will include:

- Main site contact and liaison for the duration of the process.

- The scope and definition of the organisation to be validated (eg. contractor, design consultant, head office location, site(s) to be visited etc).
- Organisation and RACI charts.
- Management structure and terminology for organisation to be validated.
- Identification of key employees to be involved in the process and contact arrangements.
- Identification of personnel with specific Safety Management responsibilities (including Team Leaders or Site Managers as applicable).
- Agreed draft validation visit schedule.
- Validation preparation activities as follows:
 - Availability of documentation
 - Work area established for Assessment Team
 - Provisional meeting and interview schedule
 - PPE requirements
 - Escort for relevant on-site activities (observation, etc)

Scoring and Reporting

The overall HA H&S Assessment is marked on a pass / fail basis to provide confidence in an organisation's commitment to H&S in accordance with CDM Regulations. The Highways Agency currently has no intention of using the assessment process to generate an overall score. This is to encourage the sharing of Best Practice across the industry and co-operation between organisations.

The assessors will rate each of the 26 sub-elements using the marking system in the table below. A pass or fail result will be given for each of the 6 main elements based on the individual rating for each of the sub-elements; just one 'Unacceptable' rating will be enough to fail the assessment.

Code	Rating	Element	Result
Green Plus	Excellent	Excellent arrangements, demonstrating extremely comprehensive evidence of effective management of the subject.	Pass – demonstrates an excellent level of resource and commitment to effective safety management both at organisational and operational level, with evidence of Best Practice.
Green	Good	Good arrangements which demonstrate comprehensive evidence of effective management of the subject.	Pass – demonstrates a good level of resource and commitment to effective safety management both at organisational and operational level.
Amber	Requires action	Arrangements exist, which are fully developed and documented but could be improved upon to better suit the needs of the organisation. Further work may be required to bring partially developed arrangements up to comprehensive coverage.	Pass – demonstrates an adequate level of resource and commitment to effective safety management both at organisational and operational level. However, there may be the need for an action plan to address any areas identified. The company should provide an action plan to resolve outstanding issues. Evidence that these improvements have been implemented must be shown at the next round of assessment.
Red	Unacceptable	No evidence that arrangements exist.	Fail – requires immediate action to address concerns raised. The company should provide a full action plan and implement change before further assessment is carried out. Until resolved a Consult Notice may be placed against the company that may prevent any further tendering opportunities. Assessors are to notify ECH Commission Manager immediately any unacceptable situations are noted.

A comprehensive report will be sent to each organisation within two weeks. The report will provide a commentary on each sub-element, highlighting evidence of good and best practice and any areas of concern based on the desktop submission and findings during the assessment visit. Any recommendations, including the requirement for further action planning, will also be included for each sub-element. An overall rating and conclusion will be given for each of the 6 main elements towards the end of the report.

Certificates will be issued to all organisations that pass the assessment process; these will be sent out after completion of their assessment by the Highways Agency. Existing certificates will remain valid until the new certificate is issued.

ASSESSMENT REPORT

The Assessment report will comprise of the following sections.

- 1 Introduction**
- 2 The Assessed Organisation**
- 3 Key Supplier Personnel**
- 4 Summary of Findings**

The following guidance is intended to clarify the scope of each H&S sub-element. This is not intended as an exhaustive list, and a range of other factors may be of significance to specific organisations. It should also not be taken as a prescriptive list, but as an indication of the generic areas relating to each element, to help establish a common understanding of what they are seeking to address. There are no “trick questions” as part of the interviews; the team’s aim is merely to establish the effectiveness of how SMS requirements are disseminated through the organisation.

No.	Observations	Recommendations	Result
1	<p>Safety Management Systems</p> <p>It is essential that a robust and effective Safety Management System is in place to ensure that Health and Safety is effectively promoted and managed within the organisation.</p> <p>Particular attention should be paid to the following:</p> <ul style="list-style-type: none"> • Organisational Arrangements • Allocation of Responsibilities for Key Personnel • Competence of personnel with Key Safety Responsibilities. 	<p>Safety Management Systems</p>	<p>[PASS/FAIL]</p>
1.1	<p>Existence, Implementation and Review of H&S Policy</p> <p>It is essential that organisational arrangements for safety are effectively communicated throughout all levels within the company. Therefore, assessors should concentrate on assessing the effectiveness of how the policies and strategies are communicated to employees. Do individuals at all levels understand the Safety Policy and how it relates to their day-to-day function? Do they feel involved in the development of safety management initiatives?</p>	<p>Existence, Implementation and Review of H&S Policy</p> <p>Does the organisation have a written Health and Safety policy statement, signed and dated by the Chief Executive?</p>	<p>[RATING]</p>
1.2	<p>Legal Compliance</p> <p>Assessors should be looking for evidence of</p>	<p>Legal Compliance</p> <p>Has competent SHE Assistance been appointed?</p>	<p>[RATING]</p>

No.	Observations	Recommendations	Result
	<p>demonstrable competence of legal compliance with the 14 criteria in appendix 4 of CDM Regulations 2007. In addition, assessors should be looking for evidence of demonstrable competence of personnel with key safety management responsibilities. Competence can be demonstrated by means of formal qualification, however we are also looking for broader considerations such as relevant industry experience. Recognition should be given for further development training which will enhance an individual's ability to communicate and develop the safety culture of the organisation.</p>	<p>Are their duties and responsibilities clearly defined and included in the policy?</p> <p>Have they been trained to a recognised standard in occupational health and safety?</p>	
<p>1.3</p>	<p>Responsibilities, Authority and Objectives - Corporate and Project</p> <p>Ideally, the Senior Person responsible for Health and Safety should have boardroom influence. Assessors should identify, by means of interview, the level of influence and authority afforded to that person. Interviews should be conducted with a cross section of staff to ascertain their perception of the influence and authority of the person.</p> <p>If appropriate assessors should examine Board Meeting minutes to establish whether health and safety actually forms a meaningful element of senior management decision-making.</p>	<p>Responsibilities, Authority and Objectives - Corporate and Project</p> <p>Has a senior person been designated as responsible for health and safety? Do they have sufficient authority?</p> <p>Does Health and Safety have a specific budget allocated?</p> <p>Have responsibilities and key measures been put into place for all management? Is there active involvement in health and safety from senior management, such as safety tours, chairing safety meetings, involvement in accident investigation?</p>	<p>[RATING]</p>
<p>1.4</p>	<p>Risk Management - Corporate and Project (also see Section 2.2 Design Risk Management)</p>	<p>Risk Management - Corporate and Project (also see Section 2.2 Design Risk Management)</p>	<p>[RATING]</p>

No.	Observations	Recommendations	Result
	<p>Assessors need to identify whether the Safety Management System is subject to regular senior management review. Does it take into account Corporate and Project Risks and are they analysed on an ongoing basis? Are they communicated to all relevant personnel in an effective and understandable manner?</p> <p>Assessors should ensure that an organisation appreciates the health and safety risks associated with its operations, and manages them in a proactive and effective manner within the organisation (particularly on site).</p> <p>The Risk Register should not merely be a list of tasks outlining the key safety considerations for each. It should be a constantly evolving document and should reflect:</p> <ul style="list-style-type: none"> • Developments in available technology • Changes to work practices • Local considerations for different sites. <p>Whilst on site, assessors should pay particular attention to how Risks are identified, managed and reported.</p>	<p>How adequately does management demonstrate its commitment to the risk methodology statement?</p> <p>How do you manage Corporate and Project Risk to protect HA interests?</p> <p>Have personnel received appropriate training in Risk Analysis techniques?</p> <p>In essence, we are looking for an effective means of identifying, recording and communicating safety critical implications of all tasks associated with the company's operations.</p>	
1.5	<p>Identification and Control of Potential Losses</p> <p>Design solutions should focus on loss prevention and removal of hazards (where practicable) and assessors should not overly recognise presence of protective</p>	<p>Identification and Control of Potential Losses</p> <p>Are the recommended controls incorporated into related procedures (are they also incorporated into signs, tags or similar devices as appropriate)?</p>	[RATING]

No.	Observations	Recommendations	Result
	measures and equipment, where a more proactive approach to process design would eliminate hazards at source.		
1.6	<p>SMS Review and Management</p> <p>Assess the effectiveness of the policies and procedures, which exist to manage specific tasks. Assessors should identify good examples of where H&S has been integrated into the process management function insofar as it becomes part of the day-to-day management thought processes.</p> <p>It is anticipated that organisations will have some form of Safety Management System already in existence. Accordingly, assessors should not merely acknowledge the existence of such a management system and allocate scoring to reflect this.</p> <p>Assessors should focus on the mechanisms for ensuring the SMS is reviewed and developed and remains in line with the corporate health and safety performance objectives of the organisation.</p> <p>Ideally, the organisation should have a Health and Safety Management Action Plan, which has the commitment of senior management and is adequately resourced to ensure it can effectively deliver its objectives.</p> <p>The Action Plan should identify key milestones and</p>	<p>SMS Review and Management</p> <p>Does the organisation have an effective regime of ongoing process review to ensure that operational tasks are being performed in accordance with documented safety procedures?</p> <p>Are there personnel identified with specific responsibility for Process Review? Have they received the requisite training?</p> <p>Does the Organisation have a long-term Action Plan for the implementation and review of Safety Management System requirements?</p> <p>Does the Action Plan indicate how the level of implementation is monitored and evaluated?</p> <p>Does the plan demonstrate a commitment to continuous improvement in Safety Performance Management and the capture of best practice?</p> <p>Is there an effective means of recording all audits, surveys, feedback and consultations with an established formal feedback "lesson learned" linked into the incident management process to capture similar experiences/</p>	[RATING]

No.	Observations	Recommendations	Result
	<p>objectives and provide an indication of how they are to be achieved, and the resources required to achieve them.</p> <p>The Action Plan should not be a “stand-alone” document, but should have a direct relationship with the overall Business Plan for the organisation and should contain links to such areas as:</p> <ul style="list-style-type: none"> • Procurement • HR Management • Operations • Finance & Admin <p>Personnel with responsibilities allocated within the Action Plan should have the relevant level of competence and resource to ensure they can effectively deliver what is required of them. The contents of the Action Plan should be effectively communicated throughout the organisation and regular feedback as to the progress should be provided to staff at all levels within the organisation. In addition, staff should be given the opportunity to provide feedback as to the effectiveness and relevance of the Action Plan and the impact it has had on their job.</p>	<p>project with comparable risks?</p> <p>Is there evidence of feedback from reports being incorporated into normal daily operations?</p> <p>Is there a formal programme of employee consultation to gauge opinion as to the effectiveness and relevance of the Safety Management System?</p> <p>Are there regular Safety Management review meetings that consist of a representative cross-section of personnel within the organisation?</p> <p>Are records and minutes of safety management meetings kept and is there an effective mechanism for ensuring the outcomes and actions from such meetings are implemented?</p>	

No.	Observations	Recommendations	Result
2	<p>Health and Safety in Design and Planning</p> <p>The aim behind this element is to improve the planning and management of projects from the very start and identify hazards early on, so they can be eliminated or reduced at the design or planning stage and the remaining risks can be properly managed.</p> <p>Assessors should also look for evidence of how health and safety is designed into the process (both for standard processes and site-specific), including examples such as:</p> <ul style="list-style-type: none"> • On site arrangements • Planning from design to implementation on site • Audit trail from design to maintenance strategy. 	<p>Health and Safety in Design and Planning</p> <p>Assessors are to explore as applicable to the supplier and site.</p> <p>Do organisations take into account early identification of hazards, so they can be eliminated or reduced at the design/planning stage and properly manage any remaining risks?</p> <p>Do designers take into account health and safety issues in regard to the construction, operation and maintainability phases of a facility in the following?</p> <ul style="list-style-type: none"> • HAVs • MSDs • Working environment <ul style="list-style-type: none"> ○ Lighting ○ Utilisation of space ○ Welfare facilities 	[PASS/FAIL]
2.1	<p>CDM Compliance</p> <p>Assessors are to explore specific CDM duties and how they are applied this as applicable to the supplier and site.</p>	CDM Compliance	[RATING]

No.	Observations	Recommendations	Result
2.2	Design Risk Management - Permanent Works & Temporary Works Assessors are to explore as applicable to the organisation and site.	Design Risk Management - Permanent Works & Temporary Works	[RATING]
2.3	Traffic Management Assessors are to explore as applicable to the organisation and site.	Traffic Management	[RATING]
2.4	Site Construction Planning Assessors to consider: <ul style="list-style-type: none"> • Planning and preparation prior to site start • Construction phase is properly planned, managed and monitored, with adequate resources • Safe Working Methods and coordination • Site management • Information provision • Construction phase plan 	Site Construction Planning	[RATING]
2.5	Welfare Assessors to consider: <ul style="list-style-type: none"> • Provision of Welfare Facilities • On Site Facilities 	Welfare	[RATING]
2.6	Coordination <ul style="list-style-type: none"> • Contribution to Health and Safety File Considerations: <ul style="list-style-type: none"> • Evidence of an integrated team, regular meetings 	Coordination	[RATING]

No.	Observations	Recommendations	Result
	and reviews and site visits, engagement with the CDMC and the principal contractor, provision of pre-construction information and construction phase plan		

<p>3</p>	<p>Safety of People and Supply Chain</p> <p>Recognition should be given to organisations who show an appreciation of how health and safety can be integrated into the broader strategic management decision making process; and assessors should make reference to any examples of how this works in practice.</p> <p>Assessors should look to see that arrangements are in place for appointing competent sub-contractors/consultants and monitoring their performance. within the organisation.</p>	<p>Safety of People and Supply Chain</p>	<p>[PASS/FAIL]</p>
<p>3.1</p>	<p>Competency Requirement - Corporate and Project</p> <ul style="list-style-type: none"> • People <p>The organisation needs to demonstrate effective control over the supply chain and they should ensure that suppliers do not have a detrimental effect on overall safety performance, which could constitute a risk to both the organisation's employees, and to the client in terms of commercial risk or risk of statutory non-compliance.</p>	<p>Competency Requirement - Corporate and Project</p>	<p>[RATING]</p>
<p>3.2</p>	<p>Assessment</p> <p>Health and Safety is a business critical issue from Day One of an employee's service with the Organisation. Accordingly, assessors should look for evidence of effective health and safety induction as close to an</p>	<p>Assessment</p> <p>How soon after joining the organisation are new employees given an induction and does it outline the importance of the individual's contribution to safety performance improvement?</p>	<p>[RATING]</p>

	<p>employee's start date as is reasonably practicable.</p> <p>Furthermore, assessors should seek evidence of follow up action to induction to ensure that – after a period of assimilation – the health and safety induction has had the desired effect and that the employee fully understands all pertinent information.</p> <p>Where prospective employees state they have specific technical or safety specific skills and qualifications, which could be considered essential to their job function, the organisation should demonstrate evidence of a mechanism to ensure the accuracy of such claims.</p> <p>Assessors should look for evidence of ongoing assessment of safety performance levels and capabilities within the supply chain which could take the form of:</p> <ul style="list-style-type: none"> • Supplier audits • Questionnaires • Approved Supplier List • Supplier seminars/awareness events <p>Evidence showing examples of sub-contractor assessments that have been carried out and how similar standards of competence are applied to all sub-contractors. Evidence of performance records, monitoring and any action taken.</p>	<p>Are checks made with previous employers as to the accuracy of references and to determine the level of performance in previous employment?</p> <p>Is there a follow up interview to establish whether all safety critical information has been effectively assimilated by new starters and are records kept of such follow up interviews and any corrective actions arising?</p> <p>Is there a specific Safety Management induction process for all senior staff upon commencement with the company?</p> <p>Does the organisation provide for periodic inspection of supplier and sub-contractor Health and Safety performance?</p> <p>Are suppliers and sub contractors actively engaged in the organisation's health and safety initiatives?</p> <p>Is supply chain safety performance reviewed and reported on annually as part of the formal annual health and safety review process?</p>	
<p>3.3</p>	<p>Training</p> <p>In order for senior management to effectively influence the health and safety culture within an organisation they</p>	<p>Training</p> <p>Is a Training Needs Analysis carried out to identify all training needs for those within the organisation (including</p>	<p>[RATING]</p>

<p>should have suitable and sufficient ongoing training and development.</p> <p>Assessors should pay particular attention to the relevance and effectiveness of prescribed training for each individual. Training should be linked to the overall safety objectives of the organisation and the individual's role within it; it should not be an "off the shelf" solution delivered to all senior staff, regardless of their role.</p> <p>Interviews should establish how the senior management perceive their role in promoting the safety culture and how seriously they regard their individual and corporate responsibilities.</p> <p>Training is a core element of effective health and safety management and, as such, assessors should be aiming to establish the following:</p> <ul style="list-style-type: none"> • The decision making process when identifying training needs • Does the Training Plan (or equivalent) reflect the corporate safety objectives of the organisation? • Are employees actively encouraged to participate in identifying training needs? • Is there active feedback on the effectiveness of training provided? • Does the effectiveness of training form part of the senior management review process and does it inform future strategic decisions? <p>Particular attention should be paid to whether the</p>	<p>senior management)? Does this result in a Training Action Plan?</p> <p>Has the person(s) with overall responsibility for the Safety Management System received any form of Career Professional Development within the last year and is it ongoing?</p> <p>Are trainer's qualifications and competence subject to periodic review?</p> <p>Do staff appraisals/PDRs reflect employee's personal training and development objectives which are linked into business H&S objectives?</p> <p>Are employees given sufficient training prior to transferring to new jobs within the organisation, or on being promoted?</p> <p>Organisations should not necessarily score highly in this area if they merely provide "bolt on" safety awareness training to senior management. Assessors should be looking for real evidence of a developmental approach to training with a focus on integrating health and safety into the management decision-making process.</p>	
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	organisation has actually aligned training needs to the needs of the organisation and devised an ongoing training and development strategy, which will be flexible enough to meet the changing requirements. Higher scoring organisations will design training which will enable individuals to develop and contribute to the organisations H&S culture.		
3.4	Leadership	Leadership	[RATING]
3.5	<p>Engagement and Communication - Employees and Supply Chain</p> <p>Assessors should identify and give credit for innovative methods of communication as well as the more traditional communication media. Ideally there should be an underpinning strategy for the communication of health and safety throughout the organisation and assessors should look for evidence of the existence of such a strategy for providing feedback.</p> <p>Examples of workforce participation (ie. health and safety campaigns, suggestion schemes, etc) will support the strength of performance in this area, and assessors should actively seek examples through interviews with staff. Internal recognition of excellent individual or team safety performance can aid the promotion of health and safety within the workplace, and assessors should identify and give credit for the existence of such schemes.</p> <p>In addition, organisations should review the effectiveness</p>	<p>Engagement and Communication - Employees and Supply Chain</p> <p>Is there a communications plan indicating key topics for safety promotion?</p> <p>Are regional/office H&S representatives actively involved in industry safety forums and initiatives?</p> <p>Does the organisation conduct external safety promotions to help heighten awareness and to promote the company's safety culture?</p> <p>How often are accident/incident statistics communicated to staff?</p> <p>Are there written guidelines for the type of information to be displayed on the notice boards?</p> <p>Are suppliers and sub contractors consulted on health and safety performance of the organisation and how it affects supplier ongoing performance?</p>	<p>[RATING]</p>

	<p>of the communications strategy for health and safety promotion on a regular basis to ensure that it is effective and that it aligns with the objectives of the organisation.</p> <p>Evidence of how the company co-ordinates its work with other trades, and how the workforce is involved in drawing up method statements/safe systems of work. Assessors should be seeking evidence of risk assessments, procedural arrangements, project team meeting notes, etc.</p>	<p>Is there a means of removing suppliers from any Approved List should they fail to meet health and safety performance criteria?</p>	
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4	<p>Occupational Health</p> <p>The success of companies today is built on the quality of the workforce and is dependent on management and supervisory staff. How employees are managed is important to ensuring the quality, productivity and continuous improvement, which will enable the company to stay competitive.</p>	<p>Occupational Health</p> <p>The development of an OH&S Culture is dependent on:</p> <ul style="list-style-type: none"> • The skill of management in managing employees • The promotion of occupational health and safety • The development of the skills of employees • The involvement of employees in the decision-making process • The integration of OH&S into management systems. 	[PASS/FAIL]
4.1	<p>Pre-employment</p> <ul style="list-style-type: none"> • Medical Surveillance 	<p>Pre-employment</p> <p>Do staff undergo pre-employment medical examination prior to being recruited to key posts?</p> <p>Are pre-employment questionnaires used to capture occupational health issues prior to employment?</p>	[RATING]
4.2	<p>Occupational Health Policy</p> <p>Need to establish if occupational health and safety is clearly defined with assigned responsibilities and does it take into consideration the nature and scale of the organisational risks within the company health and safety policy.</p> <ul style="list-style-type: none"> • Drug and Alcohol • Stress • Staff Wellbeing 	<p>Occupational Health Policy</p> <p>Do occupational health and safety objectives form part of the appraisal system?</p> <p>Have adequate resources been allocated for implementation and control of occupational health and safety?</p> <p>Is there a programme for dealing with drugs and alcohol issues?</p>	[RATING]

		Is there a programme for dealing with stress and do employees have access to stress counselling?	
<p>4.3</p>	<p>Health Surveillance</p> <p>Assessors should look for evidence of a holistic approach to health and welfare promotion outside the workplace. (e.g. Does an organisation analyse accidents/illness at home to see whether workplace conditions/operations were a contributory factor).</p> <p>Any information gained from such analysis should be used to inform management decision making for future development of health and safety, operational and human resources strategy. In addition, recognition should be given for specific health and wellness promotions.</p> <ul style="list-style-type: none"> Absenteeism 	<p>Health Surveillance</p> <p>Does the organisation operate an employee assistance programme, linked to HR?</p> <p>Is there a system for obtaining information about employees off the job accidents? Does the organisation run initiatives covering health promotion in the workplace and away from work?</p> <p>Has a calculation been made of the cost to the organisation of off the job accidents?</p> <p>Have employees been adequately informed of the risks, and that steps have been taken to eliminate/reduce the risks (e.g. surveys)?</p> <p>Is occupational health advice sought following a serious injury/illness regarding fitness to resume work?</p> <p>Does the organisation use PDRs to update any change in health circumstances?</p>	<p>[RATING]</p>

5	Use of Plant and Equipment <ul style="list-style-type: none"> Including PPE 	Use of Plant and Equipment	[PASS/FAIL]
5.1	Selection and Procurement	Selection and Procurement Are personnel involved in procuring trained in the requirements of the organisation's health and safety policy and it's bearing on procurement procedures? Do procurement arrangements detail the health and safety performance requirements for the supply of plant and equipment? Does the health and safety team contribute to selection and purchasing decisions?	[RATING]
5.2	Inspection and Maintenance <ul style="list-style-type: none"> Testing/calibration Control of defective equipment 	Inspection and Maintenance	[RATING]
5.3	Appropriate Use <ul style="list-style-type: none"> Competency of Operator 	Appropriate Use	[RATING]

<p>6</p>	<p>Incident Management</p> <p>Do existing H&S management procedures include provision for emergencies?</p>	<p>Incident Management</p> <p>How effectively does the organisation conduct reviews of emergency incidents, and how do they implement lessons learned?</p>	<p>[PASS/FAIL]</p>
<p>6.1</p>	<p>Emergency Planning</p> <p>Assessors should examine evidence of the plan being tested (if available), and should aim to identify any corrective actions that may have been implemented as a result of such tests.</p> <ul style="list-style-type: none"> • Senior Management Involvement <p>The Emergency Plan should integrate environmental and pollution incidents as well as health and safety.</p> <p>Is there an Emergency Plan which has provisions for the following:</p> <ul style="list-style-type: none"> • Emergency Reporting Procedures? • Evacuation Procedures? • Area specific emergency shutdown plans (i.e. in the event of a fire, spillage, leak etc)? • Control of Hazardous Materials? • Removal or protection of vital equipment or materials? • Provision for a Central Emergency Control Area? • Search and Rescue Plan? • “All Clear” and re-entry procedure? 	<p>Emergency Planning</p> <p>Is there a nominated member of the Organisation responsible for coordinating an Emergency Preparedness System?</p> <p>In designing and developing the Emergency Plan, who did the organisation consult and involve?</p> <p>Has the Emergency Plan been distributed and communicated to all relevant personnel within the organisation) including Contractors and Visitors)?</p> <p>Has an inventory of all hazardous materials held been provided for the Fire Authority?</p> <p>Has a Corporate Emergency Response Team been established (including remote sites)?</p> <p>Does the organisation provide adequate emergency response equipment, and is it readily available at short notice for remote sites?</p> <p>Are there contingency plans in place to ensure alternative communication services are available to cover</p>	<p>[RATING]</p>

	<ul style="list-style-type: none"> • Emergency Notification Protocol (outlining staff participation responsibilities)? • Control of Visitors/Sub Contractors? 	<p>interruption off normal systems during emergencies (both HQ and on-site)?</p> <p>Is there an effective system for communicating the presence of potential safety and environmental hazards (both HQ and on-site) and any existing control measures to external bodies as follows:</p> <ul style="list-style-type: none"> • Emergency Services? • Local Authorities? • General Public? • Media? 	
<p>6.2</p>	<p>Reporting Procedure</p> <p>Assessors should request access to an accident/incident report from within the last 12 months and follow an audit trail to ensure that all necessary actions have been taken. A key focus should be the competence of the personnel involved in investigations.</p> <p>Where possible, assessors should aim to interview personnel directly involved in the accident/incident to ascertain their perception of the effectiveness of the process and to identify whether any necessary corrective actions have been implemented and communicated (eg. was any feedback given to the individuals concerned? Were they consulted on the effectiveness of any proposed corrective actions?)</p> <p>Assessors should also give due regard to the quality of the information contained on report and investigation paperwork (ie. is it merely a report outlining the factual</p>	<p>Reporting Procedure</p> <p>Is there a system with written procedures in place for RIDDOR and for investigating accidents/incidents?</p> <p>Who is involved in the reporting and investigating of accidents/incidents and when does the investigation commence?</p> <p>Does the adverse event report/investigation form(s) require that the following be included:</p> <p>a) <u>Analysis:</u></p> <ul style="list-style-type: none"> • Checklist/question analysis of the causes <p>b) <u>Identifying risk control measures:</u></p> <ul style="list-style-type: none"> • What risk control measures are needed/recommended? • Do similar risks exist elsewhere? If so, what and where? • Have similar adverse events happened before? Give details? 	<p>[RATING]</p>

	<p>events, or does it investigate the underlying causes contributing to the accident/incident).</p> <p>Assessors should recognise accident investigations which involve a more detailed analysis of human factors contributing to the event and the overall score for this element should reflect this (ie. the greater the depth of the investigation, the higher the Rating for this element).</p> <p>A key constituent of effective Health and Safety management is a robust and practical system for planning and dealing with emergency situations. This is particularly relevant for site operations, where the location and interface with third parties (public, motorists, other organisations) are more difficult to control. As a result, the potential consequences of emergency situations may be more severe and, as such, the planning for and management of such situations should reflect this.</p> <p>As with all other elements of this assessment, the assessor should not merely identify the presence of an Emergency Planning system, but should assess how effectively it has been:</p> <ul style="list-style-type: none"> • Designed • Implemented (where applicable) • Tested • Communicated 	<ul style="list-style-type: none"> • Which risk control measures should be implemented in the short and long term? c) <u>Risk control action plan:</u> <ul style="list-style-type: none"> • Which risk assessments and safe working procedures need to be reviewed and updated? • Have the details of adverse event and the investigation findings been recorded and analysed? • Are there any trends or common causes, which suggest the need for further investigation? • What did the adverse event cost? <p>Does the adverse event/report investigation system use actual/potential for harm and the frequency of recurrence to determine the level of the investigation?</p>	
6.3	Investigation	<p>Investigation</p> <p>Have management been made responsible for investigating all adverse events?</p>	[RATING]

		<p>Are meetings held involving middle or higher level managers within 24 hours of the following:</p> <ul style="list-style-type: none"> • Death or major injury? • Over-three-day injury? • Disease? • Dangerous occurrence? • Near-misses? • Others (e.g. complaints from external sources)? <p>Is the Health & Safety Adviser involved in the process?</p>	
<p>6.4</p>	<p>Review</p> <ul style="list-style-type: none"> • Statistics and measures of performance <p>Assessors should now be focussing on what happens to the information generated by accident/incident reports.</p> <p>Is it generated in a timely manner?</p> <p>Is it distributed to all relevant personnel?</p> <p>Is the information of sufficient quality?</p> <p>How is the information generated by accident/incident reports used to inform management/strategic decisions?</p> <p>How effectively are statistics and reports communicated throughout the organisation (pay particular attention to site operations)?</p>	<p>Review</p> <p>Are statistics maintained covering:</p> <ul style="list-style-type: none"> • Death or major injury? • Over-three-day injury? • Disease? • Dangerous occurrence? • Near-misses? • Others (e.g. complaints from external sources)? <p>Are statistics broken down by type, location, period, Organisation, Department, and Work Section?</p> <p>Are occupational illnesses included in the injury frequency rates? If not are these maintained in the same manner?</p> <p>How frequently are injury/illness severity rates circulated</p>	<p>[RATING]</p>

	<p>Does accident/incident rate form part of the key performance objectives for the organisation?</p> <p>Does accident/incident data contribute to Training Needs Analysis and Planning?</p>	<p>to senior management and the safety committee?</p> <p>Are occupational illnesses included in the severity rates? If not are these maintained in the same manner?</p> <p>How frequently are property damage and fire rates maintained and circulated to senior management and the safety committee?</p> <p>How frequently are undesired environmental adverse event rates maintained and circulated to senior management and the safety committee?</p> <p>How frequently are results circulated to all levels of management, health and safety committees, and to health and safety representatives?</p> <p>Are the conclusions gained from the adverse event analysis utilised by management.</p> <p>Are relevant Departmental managers informed of their adverse event analysis?</p> <p>Is there a follow-up procedure to ensure that actions identified from such reviews are implemented effectively?</p>	
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5. OVERALL RATINGS AND CONCLUSIONS

	ELEMENT	CONCLUSION	RESULT
1	Safety Management Systems		
2	Health and Safety in Design and Planning		
3	Safety of People and Supply Chain		
4	Occupational Health		
5	Use of Plant and Equipment		
6	Incident Management		
	Overall Result		

Name of Organisation:

Name of H&S Representative:

Location of Visit:

Date of Visit:

Name of Assessor:

Signature of Assessor:

Date:

Name of Assessor:

Signature of Assessor:

Date: