

Appendix 1

TERMINOLOGY

In this publication:

Policy is used in relation to health and safety and other functional management areas, (eg manufacturing and human resources) to convey the general intentions, approach and objectives of an organisation and the criteria and principles on which actions and responses are based. The term, 'written policy statements' is used to describe those documents which record the policy of the organisation.

Organisation is used as a general term to describe the responsibilities and relationships between individuals which forms the social environment in which work takes place. **Organising** is regarded as the process of designing and establishing these responsibilities and relationships. The expression 'statements of organisation' is used to describe those documents which record those responsibilities and relationships.

Organisation is also used to refer to any undertaking subject to the Health and Safety at Work etc Act 1974. Including:

- companies and firms in the extractive, manufacturing, construction agricultural, transport and service industries;
- commercial and financial institutions, such as banks, building societies and insurance companies;
- public utilities and institutions, such as the health service, research laboratories, colleges, universities and local authorities;
- non-profit making institutions, such as charities.

Accident includes any undesired circumstances which give rise to ill health or injury; damage to property, plant, products or the environment; production losses, or increased liabilities.

Incident includes all undesired circumstances and near misses which have the potential to cause accidents.

Hazard means the potential to cause harm, including ill health and injury; damage to property, plant, products or the environment; production losses or increased liabilities.

Ill health includes acute and chronic ill health caused by physical, chemical or biological agents as well as adverse effects on mental health.

Risk means the likelihood that a specified undesired event will occur due to the realisation of a hazard by, or during, work activities or by the products and services created by work activities.

Planning is used to describe the process by which the objectives and methods of implementing the health and safety policy are decided. It is concerned with allocating resources (eg money, time or effort) to achieve objectives and decide priorities. It ranges from general topics dealing with the direction of the whole organisation to detailed issues concerned with standard setting and the control of specific risks.

Measuring means the collection of information about the implementation and effectiveness of plans and standards. This involves a variety of checking or 'monitoring' activities.

Auditing is the structured process of collecting independent information on the efficiency, effectiveness and reliability of the total safety management system and drawing up plans for corrective action.

Reviewing is used to describe activities involving judgements about performance, and decisions about improving performance. Reviewing is based on information from 'measuring' and 'auditing' activities.

Appendix 2

ORGANISING FOR HEALTH AND SAFETY

Key tasks for policy makers, planners and implementers of policy

The key tasks of **policy makers** include:

- devising health and safety policy;
- establishing strategies to implement policy and integrating these into general business activity;
- specifying a structure for planning, measuring, reviewing and auditing health and safety policy;
- specifying a structure for implementing policy and supporting plans;
- agreeing plans for improvement and reviewing progress to develop both the organisation and the policy;
- pursuing health and safety objectives with evident sincerity.

The major outputs of **policy makers** include:

- written statements of general health and safety policy and strategic objectives;
- written statements of the organisation for planning, measuring, reviewing and auditing;
- written statements of the organisation for implementation;
- general plans containing specific objectives for each year.

The key tasks of **planners** include:

- producing detailed plans to achieve corporate health and safety objectives;
- establishing performance standards for planning, measuring, reviewing and auditing health and safety policy implementation;
- co-ordinating the specialist advice which is necessary to ensure effective planning and implementation of policy, for example, the input of health and safety specialists, engineers, architects and doctors;
- ensuring the participation and involvement of workers in compliance with the Health and Safety at Work etc Act Sections 2(6) and (7) and the Safety Representatives and Safety Committees Regulations 1977;
- keeping up-to-date with changes in health and safety legislation, standards and good practice and with management practices relevant to the organisation.

The key outputs of **planners** include:

- health and safety strategy statements and plans to support the policy;
- health and safety operational plans which identify specific health and safety objectives to be achieved within fixed time periods;
- performance standards and supporting systems and procedures;
- up-to-date documentation of plans, performance standards and systems.

The key tasks for **implementers** are:

- implementation of operational plans, performance standards, systems and procedures and the provision of necessary physical and human resources and information;
- provision of timely feedback on performance including successes and failures and any deficiencies in plans, standards, procedures and systems;
- ensuring participation at all levels in health and safety activities.

The key outputs of **implementers** are:

- safe and healthy production and delivery of products and services;
- products and services which in themselves do not create risks to others.

Appendix 3

MINIMUM OBJECTIVES FOR PERFORMANCE STANDARDS

FIRST STAGE - CONTROL OF INPUTS

Design and selection of premises

Performance standards should ensure that:

- appropriate health and safety aspects of the proposed use, other foreseeable uses and future maintenance of premises are included in the design, selection and purchase plans and specifications;
- health and safety aspects of construction are considered at the design stage to ensure that construction takes place in accordance with best health and safety practice and that the health and safety of direct employees and contractors' staff is achieved;
- health and safety standards are detailed in contract specifications and that compliance with these is checked during the course of construction work.

Design and selection of plant and substances

Performance standards should ensure that:

- all relevant health and safety aspects, including technical standards and human factors issues, relating to installation, use, maintenance, decommissioning, dismantling and disposal are considered at the design stage and incorporated into design specifications;
- all design specifications refer to health and safety requirements, including relevant aspects of human factors, and that these are specified in all contract documents;
- all relevant health and safety data is collected when plant and substances are being selected for purchase;
- health and safety performance is considered in the selection of suppliers;
- all relevant health and safety requirements are specified in all purchase order documents;
- procedures for the receipt and storage of goods ensure that only plant and substances which satisfy the health and safety specifications in the order are accepted.

Plant and substances used by others

Performance standards should ensure that:

- initial and ongoing checks of plant and substances used by contractors are adequate to ensure that their design, formulation and use is consistent with the on-site policy and standards.

Acquisitions

Performance standards should ensure that:

- health and safety standards and loss potential are considered in business purchase decisions. Where feasible this should involve a full assessment of existing management systems; of the health and safety record, including the potential for forward loss; and of on-site conditions.

Human resources

Performance standards should ensure that:

- employees are recruited on the basis of selection criteria which include reference to relevant physical and mental abilities;

- these selection criteria are based on assessments and health and safety analysis of job requirements;
- health and safety performance is considered when awarding contracts and that this includes assessments of:
 - safety policy and the safety management system;
 - health and safety performance on previous contracts;
 - accident, ill health and incident records; and
 - compliance with health and safety policy.

Information inputs

Performance standards should ensure that:

- all relevant information concerning legislation, standards and general management practice is gathered, drawn to the attention of those with a particular interest, and made available to all others who may express an interest.

SECOND STAGE - CONTROL OF WORK ACTIVITIES

Performance standards for organisational control

Control

Performance standards should establish and maintain the necessary organisation and procedures for:

- policy formulation and development;
- organisation design and development;
- planning, measuring, auditing and reviewing performance.

Co-operation

Performance standards should ensure:

- the continued informed involvement of all work people and, where appropriate, secure compliance with the Safety Representatives and Safety Committee Regulations 1977 and the Offshore Installations (Safety Representatives and Safety Committee) Regulations 1989.

Communication

Performance standards should:

- facilitate the creation and flow of all essential information throughout the organisation.

Competence

Performance standards should ensure that all employees are competent in the health and safety aspects of their work and include reference to:

- an assessment of suitability before recruitment and placement;
- the provision of training and supervision to ensure competence;
- health surveillance and monitoring.

Performance standards for risk control

Performance standards should ensure that risks are eliminated where possible or, if not eliminated, are adequately controlled in order of priority by suitable physical means, by systems of work or protective equipment.

In establishing performance standards for risk control, consideration should be given to the following issues:

- The operation of the productive system in the 'steady state', including routine and non-routine activities, on-site storage and the transport, handling and use of plant, equipment and substances;
- Maintenance of the system in the 'steady state' including health and safety aspects of the maintenance work itself, whether undertaken in-house or by contractors;
- Planned change from the 'steady state' arising from changes in premises, plant and substances, procedures, people or information. The standards should identify all foreseeable changes, evaluate the health and safety implications and, where appropriate, plan for change so as to cater for health and safety.
- Foreseeable emergencies (such as fire, injuries, ill health incidents and the failure of key control equipment, power sources or services). The standards should cover:
 - identification of all foreseeable emergencies by a systematic survey and analysis;
 - responsibilities for emergency planning and disaster control;
 - arrangements for personnel evacuation and the provision of first aid;
 - the procedures for disaster control and management and for rescue by employees or the emergency services, if appropriate;
 - arrangements for the rehearsal of emergency procedures.

THIRD STAGE - CONTROL OF OUTPUTS

Products and services

Performance standards should ensure that:

- products are designed and developed to ensure health and safety in use, storage and transport;
- the design of services secures health and safety in their provision;
- the necessary research is undertaken into the health and safety of the use of products and services;
- arrangements are made for the packaging, labelling and intermediate storage to ensure health and safety in delivery and transport;
- arrangements are made for health and safety in the installation, setting up, cleaning and maintenance of products.

By-products of work activities

Performance standards should ensure:

- that risks to others who may be affected are considered during the planning and control of all activities, including the manufacture and delivery of products and the provision of services;
- adequate and appropriate control of unwanted outputs, such as wastes and atmospheric emissions.

Information for external use

Performance standards should ensure:

- the compilation of information concerning product and service safety in connection with purchase, use, maintenance, transport, handling, storage and disposal;
- the compilation and distribution of information relevant to non-employees who may be affected by work activities, such as members of the public, other employers and their employees, emergency services and planning authorities.

Appendix 4

ACCIDENT INCIDENCE AND FREQUENCY RATES

Accident incidence and frequency rates provide a means of measuring safety performance over time and comparing it with accident statistics published by external sources, such as the Health and Safety Executive (HSE).

Employers have to keep records of injuries at work and report certain types to the appropriate enforcing authority, usually HSE or a local authority*. Reportable injuries include fatal and major injuries to employees, self-employed people and members of the public, and injuries that cause incapacity for work for more than three days to employees and self-employed people ('over-3-day injuries'). Statistical information from these injury reports is collated by HSE and published in the Health and Safety Commission's annual report and as an annual supplement to the *Employment Gazette*. The published information gives details of injuries reported from each major sector of industry as classified by the 1980 Standard Industrial Classification.

The accuracy of the nationally collated injury statistics depends on employers complying with the legal reporting requirements. In some industries under reporting of injuries by employers is a serious problem. Firms with good record keeping arrangements in an industry with a high level of under-reporting may therefore find that their injury rates compare unfavourably with the published rates for their industry. The figures in such cases obviously must be interpreted accordingly. Incidence rates can, however, still be used to monitor performance over time and between different departments.

Calculation of injury incidence rates

Comparing reportable injury information is just one way of assessing a firm's safety performance. In many firms, particularly those with fewer than 100 employees, reportable injuries represent only a small proportion of the total number of injuries to employees. Records of more minor, non-reportable injuries, and of 'near misses', may also be converted into incidence rates and used to monitor trends over time or between different parts of the operation. Analysis of the data to identify the main causes of injury, for example, can help to identify risks that need to be controlled and prevent further accidents.

Calculation of injury incidence rates

HSE's formula for calculating an annual injury incidence rate is:

$$\frac{\text{Number of reportable injuries in financial year}}{\text{Average number employed during year}} \times 100\,000$$

This gives the rate per 100 000 employees. The formula makes no allowance for variations in part-time employment or overtime. It is an annual calculation and the figures need to be adjusted pro-rata if they cover a shorter period. Such shorter term rates should be compared only with rates for exactly similar periods - not the national annual rates.

* The reporting requirements are contained in the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1985 (RIDDOR) and are described in a HSE guide to the Regulations, HS(R)23, available from HMSO.

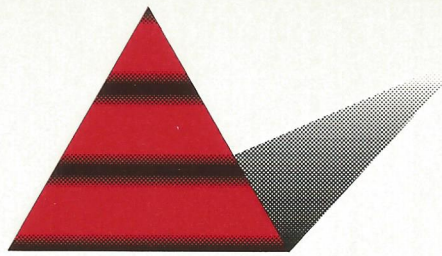
Calculation of injury frequency rates

While HSE calculates injury *incidence* rates per 100 000 employees, some parts of industry prefer to calculate injury *frequency* rates, usually per million hours worked. This method, by counting hours worked rather than the number of employees, avoids distortions which may be caused in the incidence rate calculations by part and full time employees and by overtime working. Frequency rates can be calculated for any time period.

The calculation is:

$$\frac{\text{Number of injuries in the period}}{\text{Total hours worked during the period}} \times 1\,000\,000$$

(Further information on accident incidence and frequency rates is contained in the HSE publication *Your firm's injury records and how to use them* - see page 56, reference 3.)



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