

# Evaluation of Occupational Health & Safety Management System

## Section 1 Legal Obligation

Employers have a 'duty of care' to provide a safe workplace and systems of work, to consult with workers, to identify and manage workplace hazards and to keep them informed about Health & Safety matters.

The Safety Management System can be best described as a set of Policies, procedures and actions relating to Health & Safety in the workplace that ensure the employer is meeting their 'Legal Duty'.

Requirements	Comment	Yes	No	N/a
<b>Safety Management System</b>				
	Is Health & Safety an agenda item in Company meetings?			
	Is there a documented Health & Safety System (Manual or Safety Plan)?			
	Is Health & Safety part of the Company induction process?			
	Do you know where to find a copy of the OH&S Acts and Regulations?			
	Do you have a Health & Safety Policy?			
	Would employees know where to find a copy of the Health & Safety Policy or Procedures?			
	Is Health & Safety a consideration when purchasing goods or services?			
	Is there a budget plan for Health & Safety or Health & Safety Training?			
	Have Managers had formal training in Health & Safety regulatory requirements?			
	Has a HSE Law Poster been clearly displayed on Notice Boards?			

**SCORE** \_\_\_\_\_ /10

### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 2 Responsibility and Accountability

An employer has ultimate responsibility to ensure a safe workplace is maintained. Safety responsibilities should be part of the daily functions of everyone in the workplace.

To meet this requirement, employers must ensure that safety management systems are in place and that responsibility and accountability has been allocated to managers, supervisors and workers in the organisation.

Requirements	Comment	Yes	No	N/a
<b>Responsibility and Accountability</b>				
	Have you assigned Health & Safety responsibilities to everyone in the organisation?			
	Are the company Directors or Management aware of their OH&S accountabilities and been trained in how to meet their obligations?			
	Are Health & Safety accountabilities recorded on the company organisational chart?			
	Are Health and Safety responsibilities and accountabilities incorporated into job/ position descriptions?			
	Do managers and supervisors have their health and safety performance assessed as part of their overall performance assessments?			
	Do you ensure contractors and sub contractor's understand their duty of care in meeting regulatory compliance?			
	Do you have managers or supervisors assigned responsibilities for supervising contractors working on site?			
	When a manager or supervisor is absent from the workplace are health and safety responsibilities delegated or re-assigned?			
	Do you have a system that checks whether managers, supervisors and employees fully understand their Health and Safety responsibilities?			
	Are their nominated and trained health and safety personnel in place to ensure safety at work is being enacted?			

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### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 3 Consultation

Consultation is a process of informing everyone on safety matters by giving them sufficient information to consider safety issues, seeking their feedback and taking that feedback into consideration when making decisions.

Effective consultation can be achieved in many ways and the systems need to suit the environment. The key factors are informing the workforce, allowing sufficient time to consider safety matters, seeking their feedback and taking that into consideration. You will need to keep records of all consultation.

Requirements	Comment	Yes	No	N/a
<b>Safety Management System</b>				
	Is there a formal documented method for raising Health & Safety issues or concerns?			
	Do workers know what the form is for raising Health & Safety issues?			
	Does management raise Health & Safety issues with on-site workers or employees?			
	Are issues raised by workers or employees recorded and passed onto management for review?			
	Are workers informed on regulatory changes affecting Health & Safety?			
	Are workers informed of changes to the workplace e.g. new equipment, repairs or renovations, and consulted with on workplace safety?			
	When a safety hazard has been identified by a worker, are other workers informed of this and asked for their input prior to a decision or action being taken?			
	Are workers from different shifts considered when consulting the workforce or distributing information?			
	Do managers and workers understand the significant difference between communication and consultation in relation to workplace safety management?			
	Is there a documented process (with records) showing hazard identification, risk assessment and risk control's showing that consultation has occurred?			

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### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 4 Risk Management

An employer must ensure that appropriate measures are taken to identify the hazards and assess the risks to health and safety of every person in the workplace. When an unacceptable risk to health and safety has been identified, controls must be introduced to either eliminate or reduce the risk to an acceptable level. This must take into consideration the method known as the 'hierarchy of controls'.

The key to **hazard identification** is finding the hazards before they find you. A hazard is something with the potential to cause harm. Some examples include trip hazards in a corridor, glare from visual display units [VDUs], using chemicals incorrectly and operating plant without training or competency to do so.

The process of **risk assessment** is about determining the likelihood of a hazard actually causing harm. Risks associated with an identified hazard needs to be assessed to determine how severe or hazardous they are.

Requirements	Comment	Yes	No	N/a
<b>Hazard Identification</b>				
	Is there a documented hazard identification process in place?			
	Do workers know how to and when to report a hazard?			
	Do workers actually report hazards?			
	Are all areas within the business aware of and are actively involved in hazard reporting?			
	Is there a periodic safety inspection or audit that seeks to identify workplace hazards?			
<b>Risk Management</b>				
	Are risks assessed following a formal risk assessment process?			
	Are workers involved in the risk assessment process?			
	Are records kept of the risk assessment process? (For how long)			
	Are subcontractors or is sub-contractors work subject to risk assessment?			
	Are risk assessments available to all workers, employees and contractors?			

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### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 4 Risk Management (Continued)

Risk controls follow on from the risk assessment process where a risk has been assessed as unacceptable and requiring some improvements or controls initiated. The risk controls shall follow a hierarchy of controls such as the following:

Eliminate the hazard – e.g. remove trip hazard, get rid of unwanted chemicals. Substitute with something of a lesser risk – e.g. use less toxic chemicals, supply goods in smaller packages with less weight Isolate the hazard – e.g. store chemicals in a locked enclosure, use anti-glare screens on VDUs Use an administrative control – e.g. develop procedures and train staff, provide supervision or staff rotation Personal Protective Equipment – e.g. hearing or eye protection, hard hats etc...

Requirements	Comment	Yes	No	N/a
<b>Risk Control</b>				
	Has a hierarchy of control been applied when determining the precautions?			
	Are workers involved and consulted in the risk control process?			
	Are risk controls implemented and checked to ensure they are effective?			
	Are risk controls periodically reviewed to ensure they are still effective?			
	Are new employees informed of workplace hazards and the controls in place?			

**SCORE** \_\_\_\_\_ /5

### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 5 Information, Instruction and Training

Employees must be given adequate information on the hazards they encounter, the tasks they are required to undertake and emergency processes in place. Instruction and training is required to ensure safe systems of work are effectively achieved and maintained.

Where changes to the workplace occur, re-training may be required..

Information that should be communicated to workers and subcontractors includes: The nature of workplace hazards and levels of risk, Emergency preparedness, and Safe working procedures

Training includes as a minimum: Induction of workers and subcontractors, appropriate operational standards including, licences and permits to work, Operational procedures

Requirements	Comment	Yes	No	N/a
<b>Information, Instruction and Training</b>				
	Are there documented procedures for operational tasks where employees or contractors are required to follow company systems?			
	Is there a notice board where safety information can be displayed and viewed by workers?			
	Are materials datasheets or COSHH assessments available for all chemicals?			
	Is there a training plan in place and actioned to deliver training and assess competency of workers?			
	Is there an induction system for employees and sub-contractors?			
	Are licences and permit to work and operator competencies in place and incorporated into the training plan?			
	Are workers supervised as part of their daily work activity?			
	Is there a clear criterion to identify the level of supervision required according to the level of knowledge or skill and experience?			
	Is training provided by persons with adequate skill and in a manner that suits the working environment and in a language that is understood?			
	Are induction and training records kept for all employees and sub-contractors to provide evidence or workplace competence?			

**SCORE** \_\_\_\_\_ /10

# Evaluation of Occupational Health & Safety Management System

## Section 6 Managing Injuries and ill Health

Managing injuries requires workers to have access to first aid and be informed about and have access to workers compensation and rehabilitation programs.

First aid facilities and First Aiders appropriate to workplace risk must be in place and available to workers in a timely manner when needed. Injury management must show workers that they will be cared for both financially through compensation and physically through rehabilitation and meaningful return to work.

Requirements	Comment	Yes	No	N/a
<b>Managing Injuries and ill Health</b>				
	Has an assessment of First Aid needs been made and has this been in consultation with employees?			
	Is there a procedure for replenishing the first aid kits and keeping the first aider's skilled and competent?			
	Is information readily available to inform workers about occupational health support and entitlements?			
	Does the organisation have a rehabilitation policy and is it on display?			
	Does and an identified trained staff member process claims and give advice on regulatory issues?			
	Does the organisation maintain regular contact with injured workers?			
	Does a senior staff member liaise with the injured worker, doctor or insurer, following a workplace injury and do they coordinate a return to work plan?			
	Are all employee records kept in locked cabinets with personal information being held as confidential?			
	Is there a dispute resolution procedure and is this known to employees, this should include cases of concern, grievance and injury claims?			
	Is there a periodic review of claims, injuries or near misses and is this review used to make improvements and avoid repetitive injuries?			

**SCORE** \_\_\_\_\_ /10

### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 7 Record Keeping

An employer must keep records to prove compliance to legislation. Documenting what has occurred also assists future planning and direction setting. Record keeping must also comply with Privacy Regulations.

Record keeping is a mandatory requirement of OH&S as it is with most facets of business. It need not be a complicated task and can be as simple as keeping emails or diary entries

Requirements	Comment	Yes	No	N/a
<b>Record Keeping</b>				
	Do you retain records relating to Health & Safety?			
	Do you keep training records and health monitoring records of staff if they are exposed to substances and chemical?			
	Do you have records of plant and equipment, operational records, maintenance and repair records?			
	Do you have records of accident investigation as well as an accident reporting procedure and injury records?			
	Do you keep a register of hazardous substances and dangerous goods?			
	Are records kept in a manner to ensure they are not likely to be lost, in case of flood or fire?			
	Is archiving of records well managed and records kept for the appropriate amount of time e.g. 30 years			
	Is electronic record keeping well managed with suitable and timely back-ups and protection from viruses?			
	Are there delegated responsibilities for record keeping and archiving?			
	Are electronic back-ups periodically tested, to ensure they can be accessed?			

**SCORE** \_\_\_\_\_ /10

### Notes and Additions:



# Evaluation of Occupational Health & Safety Management System

## Section 8 Monitoring Review and Improvement

Monitoring and review of safety systems in place and workplace safety in general must be undertaken to see how effective systems are and act on any significant changes required as a result of legislative changes and/or additional hazards identified.

This requires processes to be assessed to ensure they are effective, risk controls reviewed to ensure appropriate actions have occurred and are effective, workplace inspections to occur and be reviewed to ensure all likely hazards are managed and finally, legislative review to occur to ensure changes are considered.

Requirements	Comment	Yes	No	N/a
<b>Monitoring Review and Improvement</b>				
	Is a risk register in place that clearly documents risk, priorities risk, identifies and monitors the controls and is periodically reviewed?			
	Is a person delegated to periodically ensure legislative change is being managed and has been reviewed at least every 12 months?			
	Are plant and equipment inspections, service and maintenance records periodically reviewed to ensure they are effective?			
	Is the training plan periodically reviewed along with job descriptions and training records to ensure all licence, permits and employee competencies meet the needs of the job?			
	Are work process periodically assessed in consultation with workers to ensure they are effectively managed and the associated risk controlled?			
	Are the buildings and the workplace periodically checked and reviewed to make sure they meet with current building and emergency regulations?			
	Are consultation methods assessed and tested for their effectiveness. Does staff know how to report hazards and concerns?			
	Is safety information and the general signage available in the appropriate place and in the appropriate language?			
	Are work stations periodically reviewed, assessed for fitness of purpose?			
	Are safety audits and inspections undertaken regularly and according to a planned schedule?			

**SCORE** \_\_\_\_\_ /10

### **Notes and Additions:**

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# Evaluation of Occupational Health & Safety Management System

## Section 9 Resource Management

The best systems cannot make a workplace safe unless there are sufficient and appropriate resources in place to do the job. Resource planning, management and review are the responsibility of senior management. Workplace consultation is an important factor in planning and reviewing resources.

- Resources include plant, equipment and people
- Resources management includes planning, reviewing and on-going sustainability of the resources available to ensure fitness for purpose

Requirements	Comment	Yes	No	N/a
<b>Resource Management</b>				
	Is there a planning process for plant (Physical) and people resources are reviewed in line with planned business and safety objectives?			
	Are plant and equipment resources periodically reviewed for fitness of purpose and appropriately maintained and repaired?			
	Is there a plan in place for sourcing additional or critical plant and equipment in an emergency?			
	Are there a sufficient number of trained or licenced plant operators for increased production or emergencies?			
	In the case of staff absence are there sufficient procedures in place and trained personnel able to take on the additional responsibilities and duties?			
	Are there sufficient people, trained resources to allow people to do their job safely and how is this managed?			
	Does the training plan allow for the delegated people to be brought up to date in these new or temporary roles?			
	Is there a plan in place that provides additional staff in an emergency?			
	Are the training records and peoples capability kept up to date and is this information easily accessible?			
	Are people and resources recruited with the appropriate skills to do the job and to act as delegated persons?			

**SCORE** \_\_\_\_\_ /10

### Notes and Additions:

# Evaluation of Occupational Health & Safety Management System

## Section 10 Corporate Risk

Corporate risk falls under the umbrella of safety management in the context of risk mitigation to ensure the company is taking the most secure path in minimizing workplace and company 'duty of care' risk.

The key to corporate risk management is to:

- be aware of the relevant regulatory requirements in relation to safety and ensure compliance is effectively managed
- ensure mitigation of risk is shared between the company and contractors where practical, and
- ensure that insurances in place best meet the company business risk portfolio.

Requirements	Comment	Yes	No	N/a
<b>Corporate Risk</b>				
	Is there a person delegated to manage legislative requirements and to monitor compliance? This person should be informed and be able to keep other senior managers up to date.			
	Is there a register kept of current legal requirements and regulatory requirements relative to the size and nature of the company?			
	Is the safety risk considered when appointing sub-contractors and is this managed to ensure contractors have current and appropriate liability insurance or professional indemnity?			
	Is there an annual internal review of the business against company insurances to ensure that they are sufficient and that any exclusions or exemptions have been taken into account? Are these policies of a sufficient value to cover current business activities?			
	Are accidents, near misses or injuries reviewed against the workcover premium to determine where the risk lay? Taking into account worker injuries and premium increases?			

**SCORE** \_\_\_\_\_ /5

## Scoring

**Total Score** \_\_\_\_\_ /100

# Evaluation of Occupational Health & Safety Management System

## Evaluation of Compliance

The following assessment identifies the Company’s main Health & Safety Aspects under the following headings:

- Chemical
- Confined Spaces
- DSEAR
- Electrical
- Height
- First Aid
- Gas and Fuel
- General
- Manual Handling
- Noise
- Offices
- Risk
- RIDDOR
- Workers
- Work Time Directive
- Work Transport

Existing Controls and the implications to the business are briefly recorded, each aspect is categorised against significance (with the existing controls in place). The assessment significance evaluates both the likelihood and severity, assuming the Control Measures remain effective.

Likelihood evaluation is based upon considering the most likely outcome, and the frequency with which it is expected to occur. Severity is based upon a rather subjective scale ranging from minor to catastrophic, using the following guidance for consistency:

- Minor – unlikely to result in any enforcement action, complaint or cost
- Major – likely to result in enforcement action, several complaints and or costs in excess of £10k
- Catastrophic – major prosecution with exceptional bad publicity, and or costs in excess of £500k

Having identified the likelihood and severity, the matrix table below assists in categorising the significance as “HIGH”, “MEDIUM”, or “LOW”, so that prioritised action can be taken. If an Aspect has a related legislative requirement, the Aspect is classified as of Medium/High Significance, irrespective of the matrix below.

As a guide, aspects in the LOW category should not need any action (i.e. are not significant), other than for the risk to be reviewed annually. Aspects in the MEDIUM and HIGH category should preferably be eliminated, or where this is not practicable, should be controlled. Aspects in the HIGH category should be addressed as a matter of urgency.

<b>STOP</b>	5	4	3	2	1
5	25	20	15	10	5
4	20	16	12	8	4
3	15	12	9	6	3
2	10	8	6	4	2
1	5	4	3	2	1
<b>Risk Severity</b>	<b>High</b>	<b>Medium High</b>	<b>Medium Low</b>	<b>Low</b>	<b>Low</b>

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Aspects / Impacts		Normal	Abnormal	Emergency	Existing Controls	Implications	Legislative	Severity	Likelihood	Significance
<b>1</b>	<b>Chemical</b>									
1.1	COSHH	x			Storage and Control of general substances, glues, grease, paints etc..	Minimal	L	2	1	<b>MEDIUM</b>
1.2	COSHH	x			Control and Storage of Caustics and other Chemical	Pollution to ground and surface water, serious chemical burns	L	5	2	<b>HIGH</b>
1.3	COSHH			x	Spill Kits and Training first responders	Release of chemical to foul water drain, leading to release into Rhyne	L	5	1	<b>MEDIUM</b>

# Evaluation of Occupational Health & Safety Management System

## HEALTH & SAFETY MANAGEMENT SYSTEM ACTION PLAN

Criteria	Where are the gaps?	What needs to be done?	Who is allocated responsibility	Timescale
1 Legal Obligations				
2 Responsibilities and Accountability				
3 Consultation				
4 Risk Management				
5 Information, Instruction and Training				

# Evaluation of Occupational Health & Safety Management System

## HEALTH & SAFETY MANAGEMENT SYSTEM ACTION PLAN

Criteria	Where are the gaps?	What needs to be done?	Who is allocated responsibility	Timescale
<b>6 Managing Injury's and ill Health</b>				
<b>7 Record Keeping</b>				
<b>8 Monitoring Review and Improvement</b>				
<b>9 Resource Management</b>				
<b>10 Corporate Risk</b>				