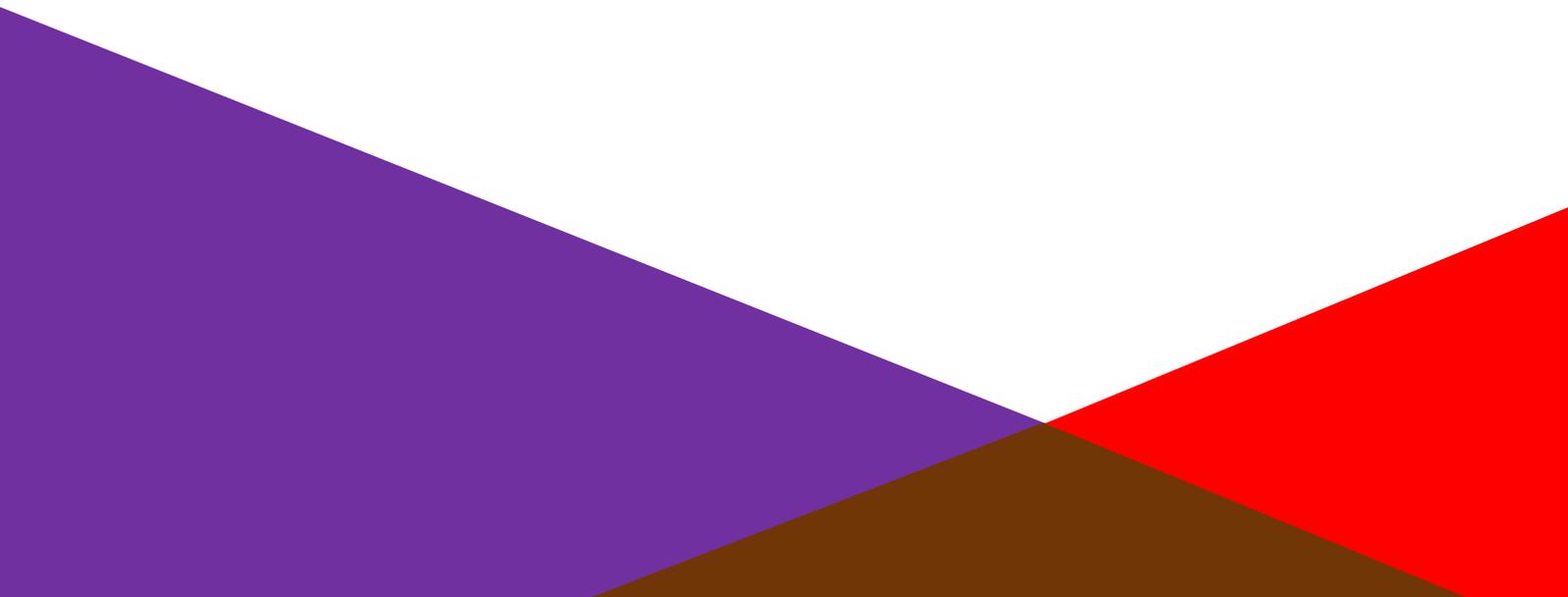


# SAFETY MANAGEMENT



# Risk Control Guide

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# Risk Control Guide

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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

A well-prepared safety policy statement, clearly setting out an employer's policy on health and safety and the organisation and arrangements for achieving the policy objectives, is not only a UK legal requirement, but also an essential element of a health and safety management system.

The policy document will vary both in content and format for different organisations, but there are basic elements that all management need to address.

For a policy to be effective it must reflect an organisation's commitment to health and safety, and:

- Define the aims, objectives and targets ensuring the need for review.
- Address the specific challenges of the organisation.
- Identify everyone's responsibility for health and safety.
- Cover obligations under the Health and Safety at Work Act 1974 etc.
- Outline arrangements for controlling significant risks.
- Be brought to the attention of all employees.
- Be regularly reviewed as circumstances change.

Further information and guidance is available from:

<http://www.hse.gov.uk/simple-health-safety/write.htm> - Write a Health and Safety Policy

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## 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 18001:2007 Occupational Health and Safety Management System.

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

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## Health and Safety Training

Providing effective and relevant training helps to ensure employees can work safely without risk to their health whilst promoting a positive health and safety culture.

People in the workplace, including contractors and self-employed people as well as employees, need to know how to work safely without risks to health. Employers must provide clear information, instruction, training and supervision.

Training should cover the hazards and risks that people may face; measures in place to deal with those hazards and risks and how to follow emergency procedures.

Training should be in a form that is easy to understand. Good training records will help to identify when refresher training is needed.

Specific legislation is in place in the UK relating to the protection of young or disabled persons at work and training of health and safety representatives.

Further information and guidance is available from:

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

## Risk Assessment

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. A risk assessment may be defined as a careful examination of what conditions or practices in the workplace could cause harm to people. A suitable and sufficient risk assessment will help ensure sufficient precautions have been taken or if more can be done to eliminate or reduce the risk of harm as low as reasonably practicable.

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

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## Control of Contractors

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

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## 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.

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## 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.

Persons working in confined spaces are at risk of injury and death if hazards are not properly controlled. Suitable planning and application of safe systems of work are essential to avoid confined space accidents. It is an employer's moral obligation and as well a statutory duty to manage and control confined space entry safely.

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

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

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## 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

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## Slips and Trips

Slips, trips and falls are the single most common cause of injuries at work and cost employers many hundreds of millions of pounds a year in lost production and other associated costs.

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.

Effective solutions are often simple and inexpensive, examples of which include:

- Clean up spillages of wet and dry substances immediately, using suitable procedures, equipment and cleaning agents. Use appropriate signs to indicate the area where a clean-up has occurred until fully dry.
- Position equipment to avoid use of trailing cables and where these cannot be avoided ensure they are suitably managed with fixings, protection and signage.
- Maintain good housekeeping in relation to both waste control and removal and maintaining clear access routes.
- Avoid trip hazards such as unsecured mats and uneven floor levels
- Provision of floor mats between wet and dry floor surfaces e.g. transition from outdoor to indoor.
- Ensure adequate lighting levels.
- Provide adequate floor marking to identify changing floor levels e.g. steps
- Provide hand-rails for slopes and steps.
- Unsuitable footwear is worn.

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

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## 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'.

People who deal directly with the public are more likely to face aggressive or violent behaviour. They may be sworn at, threatened or even attacked. Most at risk are those engaged in:

- giving a service
- caring, education
- cash transactions
- delivery/collection
- representing authority

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

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## Work at Height

Falls from height remain the largest cause of workplace deaths. Every year, around 60 workers are killed as a result of a fall from height. Some 60% of all accidents resulting in major injury are from falls from heights of under 2m. With some 4,000 workers suffering serious injury, such falls are one of the principal causes of major injury.

A place is 'at height' if a person could be injured falling from it, even if it is at or below ground level. It is important the right equipment, training and procedures are followed. 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:

# Risk Control Guide

## 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/<br>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

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## 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 in the UK annually, over 600,000 workers are injured in workplace accidents and a further 500,000 suffer a new case of ill health, which they believe is caused or made worse by their work.

Over 142 people are killed each year in accidents at work. These figures do not include all fatal accidents on the road or diseases resulting from asbestos inhalation such as mesothelioma.

Millions more suffer ill health caused by or made worse by their work. Preventing and avoiding accidents and ill health caused by work is therefore a key priority.

The cost of accidents is spread amongst a variety of elements including; compensation, loss of productivity, loss of resources due to involvement in the incident and absence, reputation damage, health and rehabilitation, legal costs, fines and non-financial human costs. It is estimated injuries and ill health in Great Britain resulting from current working condition cost an estimated £14.3 billion.

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:

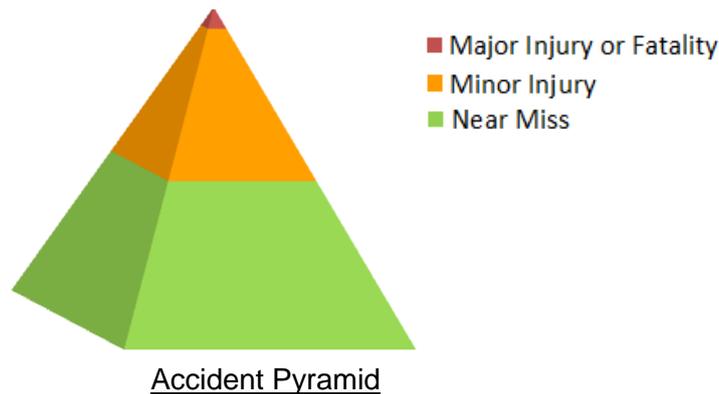
- Internal accident report form.
- Photographs
- Written witness statements, signed and dated.
- Photocopy entries of Accident Book/First Aid Treatment
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR) Accident Reports

A fundamental objective of accident investigation is identification of the root cause and to prevent future recurrence. As part of this process consideration must be made to review training, risk assessments and working practices.

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.

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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-incident.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

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## 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.**