


NEBOSH National General Certificate

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Unit NGC1 Management of health and safety

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Element 5 Health and safety management systems 4 - measuring, audit and review

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Measuring, audit and review

Learning outcomes

- 5.1 Outline the principles, purpose and role of active and reactive monitoring
- 5.2 Explain the purpose of, and procedures, for health and safety auditing
- 5.3 Explain the purpose of, and procedures for, investigating incidents (accidents, cases of work-related ill-health and other occurrences)
- 5.4 Describe the legal and organisational requirements for recording and reporting incidents
- 5.5 Explain the purpose of, and procedures for, regular reviews of health and safety performance

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Measuring, audit and review

Contents of element

- 5.1 Active and reactive monitoring
- 5.2 Health and safety auditing
- 5.3 Investigating incidents
- 5.4 Recording and reporting incidents
- 5.5 Review of health and safety performance

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Measuring, audit and review

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Measuring, audit and review

Active and reactive monitoring

Active monitoring measures

Objectives of active monitoring

- Check that health and safety objectives and plans have been implemented
- Monitor the extent of compliance with the organisation's systems/procedures, and with its legislative/technical standards

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Measuring, audit and review


Active and reactive monitoring

Active monitoring measures

Methods of active monitoring

- Routine procedures to monitor specific objectives
- Periodic examination of documents to check that systems relating to the promotion of the health and safety culture are complied
- Systematic inspection of premises, plant, and equipment by supervisors, maintenance staff, management, health and safety representatives and other employees
- Environmental monitoring and health surveillance

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Measuring, audit and review


Active and reactive monitoring

Role of inspections, sampling, surveys and tours in monitoring

Sampling

- Role is to select a representative, partial amount of a group of items; examined to establish facts
- Indicate the standard of compliance of the whole group
- Considered to reasonably represent the situation for the whole group

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Measuring, audit and review


Active and reactive monitoring

Role of inspections, sampling, surveys and tours in monitoring

Surveys

- Noise survey
- Lighting survey
- Temperature survey
- Personal protective equipment needs survey

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Measuring, audit and review


Active and reactive monitoring

Role of inspections, sampling, surveys and tours in monitoring

Surveys

- Also used to define an exercise in which managers and workers are interviewed
- Identify knowledge, understanding and details of specific needs
- i.e. training needs, attitudes to health and safety and need for specific health and safety rules


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Measuring, audit and review
 Active and reactive monitoring
Approach to inspections

- Where are findings recorded?
- Who will prepare the inspection report and develop the action plan?
- Who will be responsible for ensuring that any remedial action is carried out?

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Measuring, audit and review
 Active and reactive monitoring
Approach to inspections
 Frequency and type of inspection

There are different types of inspections for different purposes, they include:

- General workplace inspections
- Statutory thorough examination of equipment
- Statutory inspections of equipment
- Preventive maintenance inspections of specific (critical) items
- Pre-use 'checks' of equipment

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Measuring, audit and review
 Active and reactive monitoring
Approach to inspections
 Use of checklists

Advantages

- Enables prior preparation and planning
- Quick and easy to arrange
- Brings a consistent approach
- Clearly identifies standards
- Thorough
- Provides ready made basis for inspection report
- Provides evidence for audits


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Measuring, audit and review
 Active and reactive monitoring
Effective report writing

- Introduction and background
- Summary
- Main body of the report
- Recommendations
- Conclusions


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Measuring, audit and review
 Active and reactive monitoring
Reactive monitoring measures
 Objectives of reactive monitoring

- To measure the negative outcomes from the organisation's efforts to ensure health and safety in order to identify the significance of these outcomes and opportunities for improvement
- Systems must be in place to identify the event, record it and report it
- Events contribute to the 'corporate memory'


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Measuring, audit and review
 Active and reactive monitoring
Reactive monitoring measures
 Methods of reactive monitoring

- Identification
- Reporting
- Investigation
- Collation of data and statistics, on the events

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Measuring, audit and review

Active and reactive monitoring


Reactive monitoring measures

Methods of reactive monitoring

Events monitored:

- Accidents
- Dangerous occurrences
- Near misses
- Ill-health
- Complaints by workforce
- Enforcement action
- Other downgrading events

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Measuring, audit and review

Active and reactive monitoring


Reactive monitoring measures

Accident statistics

Frequency rate = $\frac{\text{No. accidents in period}}{\text{Total hrs worked during the period}} \times 100,000$

Incidence rate = $\frac{\text{No. accidents in period}}{\text{Average no. employed during period}} \times 1,000$

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Measuring, audit and review

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Measuring, audit and review


Health and safety auditing

Responsibility for audits

A team may comprise three essential groups of people:

- A manager
- A representative from the workforce
- A health and safety practitioner

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Measuring, audit and review


Health and safety auditing

Advantages and disadvantages of external and internal audits

| | Advantages | Disadvantages |
|------------------------|--|---|
| Internal audits | <ul style="list-style-type: none"> ■ Internal audits ensure local acceptance to implement recommendations and actions. ■ The auditor often has intimate knowledge of the hazards and existing work practices. ■ An awareness of what might be appropriate for the industry. ■ Familiarity with the workforce including their strengths and weaknesses. ■ Relatively low cost and easier to arrange. | <ul style="list-style-type: none"> ■ May not possess auditing skills. ■ May not be up to date with current legislation and best practice. ■ The auditor may also be responsible for implementation of any proposed changes and this might inhibit recommendations because of the effect on workload. ■ May be subject to pressure from management and time constraints. |
| External audits | <ul style="list-style-type: none"> ■ External audits are usually impartial; auditors will have a range of experience of different types of work practices. ■ May be able to offer solutions to what might be considered unsolvable problems within. ■ Not inhibited by criticism. ■ Will assess the organisation's performance without prior bias. | <ul style="list-style-type: none"> ■ Need to plan well to identify nature and scope of the organisation. ■ Individuals may not be forthcoming, be nervous or resistant to discussing their workplace with an outsider. ■ May seek unrealistic targets. |

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Measuring, audit and review


Health and safety auditing

Actions taken following audit

Correcting non-conformities

- Responsibility for carrying out actions for correcting non-conformities should be assigned to those in line management responsible for them, together with target completion dates
- It is essential that management take ownership of both the audit and the subsequent action plans
- Progress on correcting non-conformities should be monitored; this can be through reports or feedback at meetings

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Measuring, audit and review


Recording and reporting incidents

Major injuries, diseases and dangerous occurrences

Major injuries (RIDDOR 1995 - Schedule 1)

- Any fracture, other than the finger or thumbs or toes
- Any amputation
- Dislocation of the shoulder, hip, knee or spine
- Permanent or temporary loss of sight
- Chemical, hot metal or penetrating eye injury
- Electrical shock, electrical burn leading to unconsciousness or resuscitation or admittance to hospital for more than 24 hours
- Loss of consciousness caused by, asphyxia or exposure to a harmful substance or biological agent

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Measuring, audit and review


Recording and reporting incidents

Internal systems for collecting, analysing and communicating data

Collecting data

- Report form types
- Reporting routes
 - Person receiving harm
 - Person causing loss
 - Person discovering the loss

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Measuring, audit and review


Recording and reporting incidents

Collection of information and its availability in a civil claim

Examples from an accident book



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Measuring, audit and review

Recording and reporting incidents


Lessons learnt

Incident lessons learned alert

BN0901A1649 - Transport of Zip-Up (Mobile Tower) Scaffolding

Background

- A task had been carried out in the HAST 18 area of B215 which required the use of a zip-up scaffold.
- The type of scaffold used was a Planat Platforms Protec scaffold (GSP tower).
- The scaffold had been dismantled and the base frames (1.35m wide / 15-20 kg weight) were being carried up the HAST 18 stair case which is of an open nature.
- One of the adjustable legs with affixed caster (approx 5-6 kg) became detached from the bottom of one of the frames and fell approximately 5m, glanced off some lagging and came to rest on the landing of a lower floor.



Color clamp turns approximately 1/8th of a turn to release adjustable leg

Details


- The adjustable leg / caster assembly is inserted into the base frame which has an adjustment collar that is designed to be used to adjust the legs to level up a scaffold on an uneven surface.
- The adjustment collar has only a small range of movement between 'lock' and 'unlock' (approx one eight of a turn). When in the unlock position, the adjustable leg can be fully released in an uncontrolled manner if the caster is not resting on something.

Key Learning

- **Do not use this type of scaffold with the legs extended until investigations have been completed.**
- If the adjustable legs are used to raise the height of a scaffold there is the potential that if not properly locked or if the collar is in a poor state of repair, if knocked the collar could release resulting in the scaffold tipping.
- Remove the leg / caster assemblies from the base frame before transporting zip-up scaffolding.
- Do not carry zip-up scaffold on stair cases if possible - look for alternative routes where a lift can be used instead.
- If equipment has to be carried around there is on stair cases, ensure areas where personnel are at risk of falling items have barriers and signs erected.

Source: Jamie Lockie SafetyFirst Feb06 site

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Part only of the complete Element 5 Health and safety management systems 4 – Measuring, audit and review

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