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MANAGING HEALTH AND SAFETY IN THE UK

A course book for the NEBOSH National General Certificate in
Occupational Health and Safety

Series Editor:
Paul Randall

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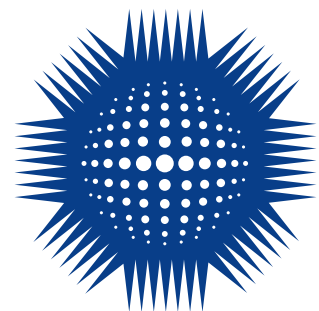
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ELEMENT

2

HOW HEALTH AND SAFETY MANAGEMENT SYSTEMS WORK AND WHAT THEY LOOK LIKE

2.1: What they are and the benefits they bring

Syllabus outline

In this section, you will develop an awareness of the following:

- The basics of a health and safety management system: the 'Plan, Do, Check, Act' model (see ISO 45001:2018 and HSG65)
- The benefits of having a formal/certified health and safety management system

A health and safety management system is a set of interrelated components/elements that allow an organisation to manage health and safety in a structured way to achieve its objectives. Formal systems are built on the elements of Plan, Do, Check, Act (PDCA), capturing the principle of continuous improvement.

The main components of the system are a *policy*, which sets out a mission statement for health and safety and mechanisms for management control and accountability, and *arrangements* for implementing, monitoring, auditing and continuously improving. A formal system develops consistency and supports a culture that can involve everyone.

Organisations need to:

- work out the issues to be addressed;
- set the direction;
- plan what needs to be done and organise who will do it;
- set them up to do so;
- carry out the plan;
- check completion and efficacy; and
- take on board any learning so that they can continually improve.

Organisations are being encouraged to adopt management systems through their supply chains. There are generic and sector-specific approaches as well as approaches for which independent third-party certification can be obtained. Organisations have freedom to choose the approach they want to follow and can decide whether they want to work towards a certifiable standard.

2.1.1 The basics of a health and safety management system: the 'Plan, Do, Check, Act' model (see ISO 45001:2018 and HSG65)

ISO 45001:2018¹

ISO 45001:2018 is the first truly international certifiable occupational health and safety management system standard. The development of the standard has drawn on experience gained with OSHSAS 18001 (replaced by ISO 45001 in 2018) and other national approaches. As a result, the new standard is enhanced and more comprehensive, reflecting the approaches of organisations that strive for and succeed at health and safety management. Figure 1 shows elements of the standard.

The management system uses the Plan, Do, Check, Act (PDCA) cycle.

- **Plan** – assess occupational safety and health (OSH) risks and opportunities, taking into account the organisation's operating environment, and set out OSH objectives and delivery plans in line with the organisation's policy.
- **Do** – implementation of the processes.
- **Check** – monitor and measure OSH processes and report results.
- **Act** – take action to continually improve OSH performance and achieve intended outcomes of the system.

APPLICATION

Think about your organisation. Can you identify examples of how the PDCA approach is used in practice?

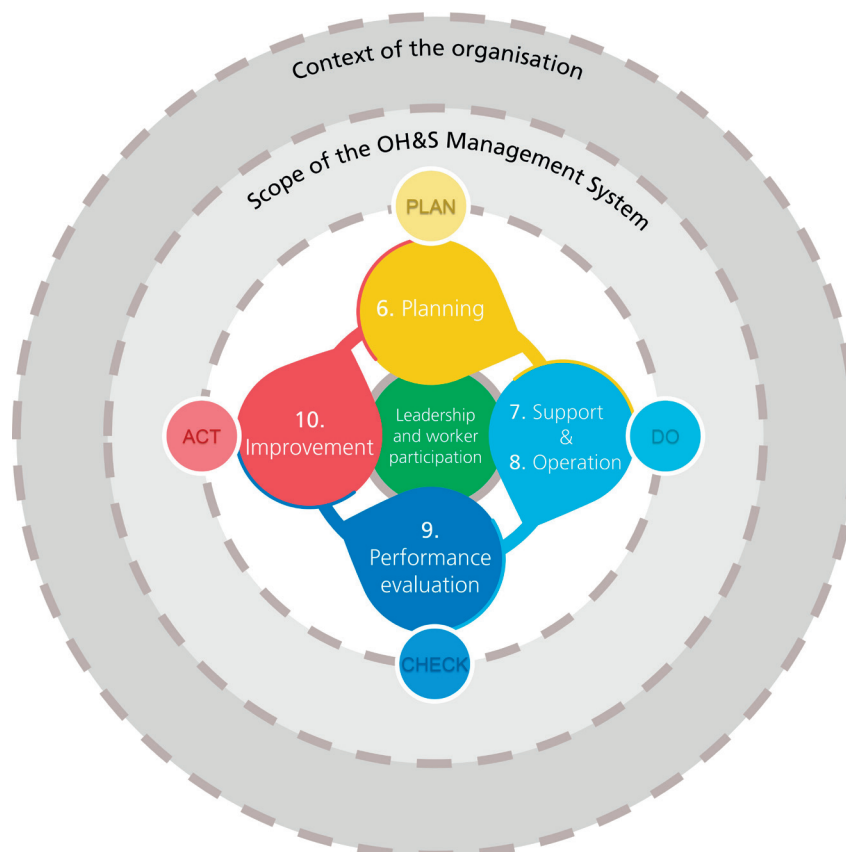


Figure 1: Elements of ISO 45001:2018²

Let us look at the key clauses in the ISO 45001:2018 standard and what they mean for organisations.

Context of the organisation

Clause 4 deals with establishing the organisation’s context as a major building block that underpins the rest of the standard. This is about identifying and understanding the internal and external environments in which the organisation operates and the influence they exert. Influences may be positive or negative. The scope of the management system must be set out, taking account of these. Setting the scope will determine the boundaries of the system; this is particularly important if the organisation is part of a larger organisation.

External aspects could include: cultural, social, political, legal, financial, technological, economic and natural surroundings; and market conditions and key drivers and trends relevant to the industry or sector. Internal considerations could include: the organisational structure, roles and accountabilities and culture; policies, objectives and strategies; and capabilities and decision-making processes.

There are various tools that can be used to gain an understanding of these external elements. One of these is STEEPLE (see Figure 2). Other models include PEST (Political, Economic, Social, Technological) or PESTEL (Political, Economic, Social, Technological, Environment and Legal).

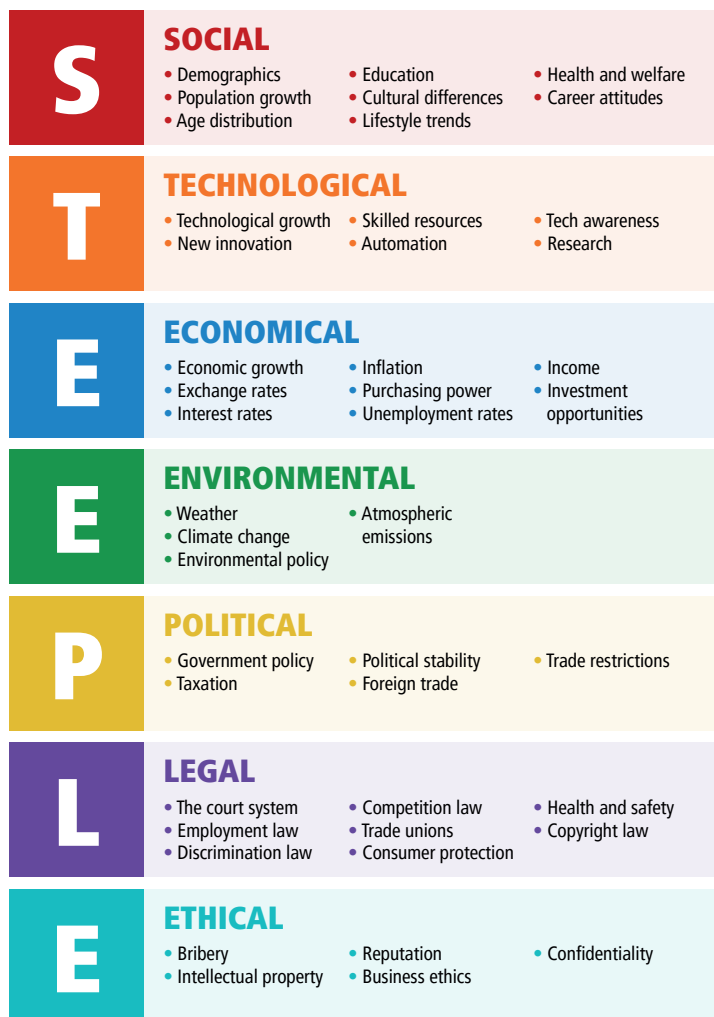


Figure 2: The STEEPLE model

There is also a requirement to consider relationships with external interested parties, such as shareholders, customers, suppliers and visitors.

Leadership and worker involvement

Clause 5 sets out a requirement for responsibility and accountability of top management to be defined and visibly demonstrated. They must develop, lead and promote a culture that supports the management system. This means ensuring that the management system requirements are integrated into business processes and the health and safety policy and that objectives align with the strategic direction of the organisation. That way, health and safety becomes integrated. They must also help to ensure active worker participation when developing and maintaining the system; this includes processes for consultation and communication. Combining leadership and worker involvement in this clause recognises that effective health and safety management is about teamwork.

Planning

Planning will be a familiar process for those who have used other management systems and is covered in clause 6. This includes identifying hazards and risks from the conceptual design stage of workplaces, facilities, products or the way work is organised, taking account of routine and non-routine situations and the people involved. Planning also needs to be an ongoing process. Particular attention should be given to:

- consideration of the wider human and social aspects, such as workload, bullying and stress;
- a requirement to identify and maintain a means of keeping up to date with legislative and other requirements, such as having a legal register;
- plans to address the risks and opportunities for the management system and plans for emergency response; and
- establishing measurable health and safety objectives at different levels of the organisation, which can be strategic, tactical or operational, and plans to achieve them. Objectives set by the organisation should achieve specific results consistent with the health and safety policy.

Support

Clause 7 deals with the support required to realise the objectives. Organisations need to determine the level of resources to implement, maintain and continually improve the management system. This should consider human, infrastructure and financial requirements. Other support requirements include competence, awareness and communication.

Organisations need to identify the levels of competence workers need to deliver their OSH performance and ensure they receive the appropriate education and training to meet this need. Put simply, competence is about being able to apply your knowledge and skills to achieve the results you want. In the case of health and safety, being competent allows you to achieve those results safely. Keeping records to provide evidence of competence is required. Everyone in the organisation needs to be made aware of the policy, objectives, hazards and risks and how they contribute to the overall system. To this end the organisation needs to have a process of internal and external communication. Requirements for documented information relating to the planning and evaluation aspects of the management system include creation, update and control of the information.

Operation

Plans need to be implemented with the necessary support, so clause 8 is about implementation. Control processes need to be put in place to support health and safety through eliminating hazards and reducing risk. This can include procedures,

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methods statements, system of work etc. In deciding on control processes, a hierarchy of control approach is required. This is a systematic method for deciding what control measures are needed (see Figure 3). It starts with elimination and then looks at substitution, engineering controls and administrative controls, down to personal protective equipment (PPE) as a last resort. This method is discussed in more detail in 3.4: Assessing risk.

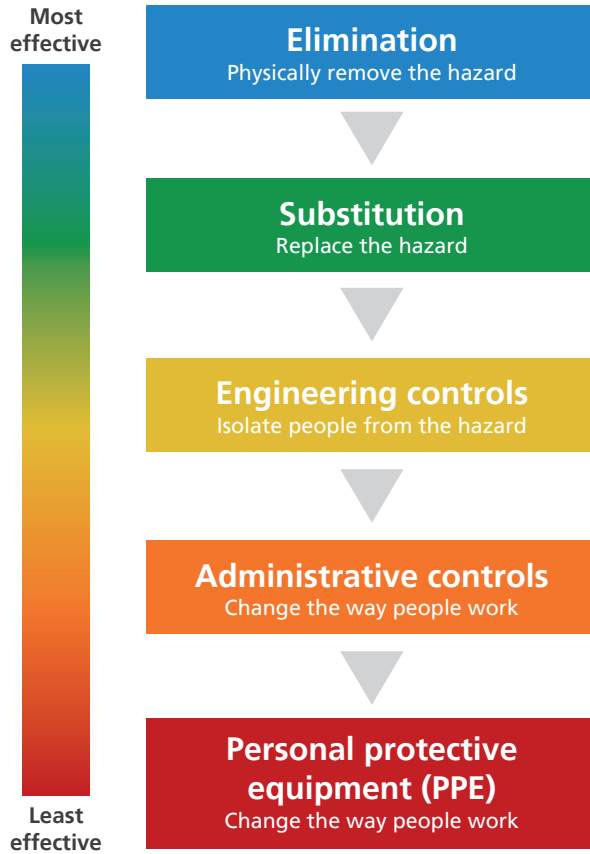


Figure 3: A systematic method for deciding what control measures are needed

Requirements for the management of change are also set out so that change is dealt with in a systematic way to prevent the introduction of new hazards and risks. When changes are proposed, organisations need to identify opportunities to reduce the level of risk or improve the management system.

To further enhance risk control, there are requirements for processes to control the procurement and outsourcing of goods/services. The activities of contractors must be considered, and the requirements of the management system should extend to the contractor's workforce.

Emergency preparedness and response are also covered in this clause. The standard requires organisations to have documented information on emergency plans and to periodically test these plans.

Performance evaluation

Clause 9 covers the requirement for organisations to set up a range of performance evaluation processes: monitoring, measurement and analysis; and evaluation of compliance, internal audit and management review. They will need to identify what information they need to evaluate OSH performance, which in turn will identify what needs to be measured and who by, and how and when it will be done.

The management review needs to consider the adequacy of the resources for maintaining the system. The frequency of monitoring and measuring needs to be appropriate to the risk, the level of OSH performance and the size and nature of the organisation.

Improvement

Clause 10 sets out a general requirement to proactively look for opportunities to effect improvement in health and safety and the performance of the system. Added to this, there is a requirement to address incidents and non-conformities if they arise. Consideration is also needed of whether similar incidents or non-conformities exist or could occur. Where the potential for these is identified, existing risk assessments may need to be revisited and could lead to corrective actions across the organisation.

Continual improvement requirements include improvements to the suitability, adequacy and effectiveness of the system.

HSG65 – *Managing for health and safety*³

The Health and Safety Executive (HSE) developed its HSG65 *Managing for health and safety* to assist leaders, owners, trustees and line managers to put in place or oversee their organisation's health and safety arrangements.⁴ The document provides a framework that can be tailored to individual organisation's circumstances. The intention is for health and safety to be managed as an integral part of good management rather than a standalone system.

Unlike ISO 45001:2018, HSG65 is not a certifiable health and safety management system. Adopting the framework it sets out, and following the guidance, will help organisations achieve compliance with legal requirements.

The guide is structured as follows:

- Part 1: Core elements of managing health and safety and their fit with general business operation
- Part 2: Considerations to help decide if you are doing what is needed
- Part 3: Advice on delivering effective arrangements
- Part 4: Useful resources and information

The guidance allows organisations to take a formal approach to health and safety management but does not allow for certification.

HSE considers the core elements for effective health and safety management to be:

- leadership and management;
- a competent workforce; and
- an environment that fosters trust and involvement.

These elements should be underpinned by an understanding of the organisation's risk profile and the compliance requirements.

Figure 4 shows the how the different parts of the approach fit together. The circular shape reinforces that the process of managing health and safety is continuous and iterative. This is because organisations seldom stand still for long; they grow and develop, constantly evolving to meet the needs of the changing world around them. The cyclical process may need to be repeated more than once; for example, when first introducing the approach, implementing change or developing a new process, product or service.

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Health and safety at work can seem like a minefield of dos and don'ts. This book will help you navigate the complexity and give you the practical knowledge and confidence to make workers' lives better – maximizing opportunities and managing threats. This book is authoritative. It's designed by NEBOSH who are a leading occupational health and safety charity and authored by a team of experienced safety professionals.

This book looks at workplace health and safety in the UK in a wide range of practical contexts. It covers how to effectively manage health and safety, how to identify and control common workplace hazards and how to measure and evaluate if you've been successful. It is based on the UK's key legal requirements and best practice.

The content follows the syllabus for the NEBOSH National General Certificate in Occupational Health and Safety (2018 specification) and can be used to support your studies. Even if you are not studying the NEBOSH National General Certificate, this book is an invaluable reference source and practical guide for putting health and safety principles into practice at work.



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