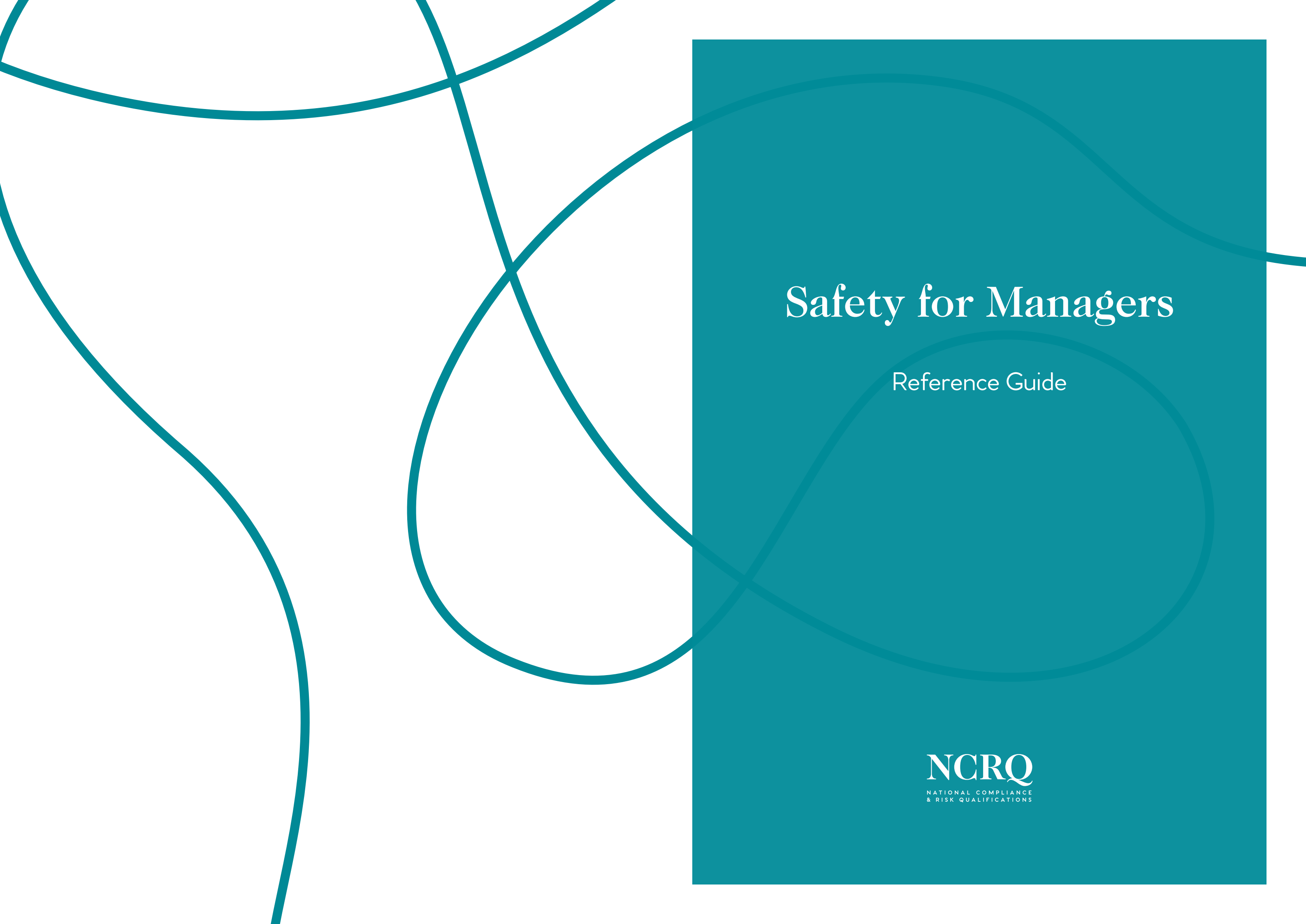




Safety for Managers

Reference Guide

NCRQ
NATIONAL COMPLIANCE
& RISK QUALIFICATIONS

Introduction

This reference guide is intended to provide a summary of some of the key concepts taught in the NCRQ Safety for Managers qualification. If you have completed this course – either online or in a classroom – you should now be familiar with these ideas, and have some experience in applying them to some scenarios. This reference guide has been developed to help remind of you these concepts when you return to your own workplace, and assist with applying them to real life.

This isn't a stand alone document, and so not everything you need to know is included here. Also, some elements have been simplified or modified to make them easier to understand and apply.



Next steps

If you enjoyed the learning style of NCRQ Safety for Managers and would like to continue your professional development, we also offer the following self-directed qualifications:

Level 6 Certificate in Applied Health and Safety

This will be the most suitable next step for those who have completed Safety for Managers and want a more in-depth foundation in safety management. It also makes up the first of the three units of our diploma, and is usually completed in three to four months with weekly study.

Level 6 Certificate in Personal Injury Liability and Absence Reduction

High rates of sickness absence and personal injury claims, and the significant associated costs, are one of the leading drivers for employers to improve their health safety management systems and yet existing safety qualifications do not examine this important area in any detail. Following demand from employers, it has been integrated as a significant part of the Diploma in Applied Health and Safety.

Level 6 Diploma in Applied Health and Safety

The full NCRQ Diploma consists of the two certificates listed above and a final unit, Further Workplace Hazards. By the end of the qualification, you'll be able to undertake a safety management position in an organisation, confidently managing employees who deal with complex or higher risk activities. The whole qualification takes most students between six and nine months to complete.

Tutor support from former senior inspectors at the Health and Safety Executive is available seven days per week for our certificate and diploma level qualifications.

Legal duties

General duty on an employer

"It shall be the duty of every employer to ensure, so far as is reasonably practicable, the health, safety and welfare at work of all his employees."

This includes:

- the provision and maintenance of plant and systems of work that are, so far as is reasonably practicable, safe and without risks to health;
- arrangements for ensuring, so far as is reasonably practicable, safety and absence of risks to health in connection with the use, handling, storage and transport of articles and substances;
- the provision of such information, instruction, training and supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety at work of his employees;
- so far as is reasonably practicable as regards any place of work under the employer's control, the maintenance of it in a condition that is safe and without risks to health and the provision and maintenance of means of access to and egress from it that are safe and without such risks;
- the provision and maintenance of a working environment for his employees that is, so far as is reasonably practicable, safe, without risks to health, and adequate as regards facilities and arrangements for their welfare at work.

Duties to others – contractors, customers, members of the public:

"It shall be the duty of every employer to conduct his undertaking in such a way as to ensure, so far as is reasonably practicable, that persons not in his employment who may be affected thereby are not thereby exposed to risks to their health or safety."

Some other duties:

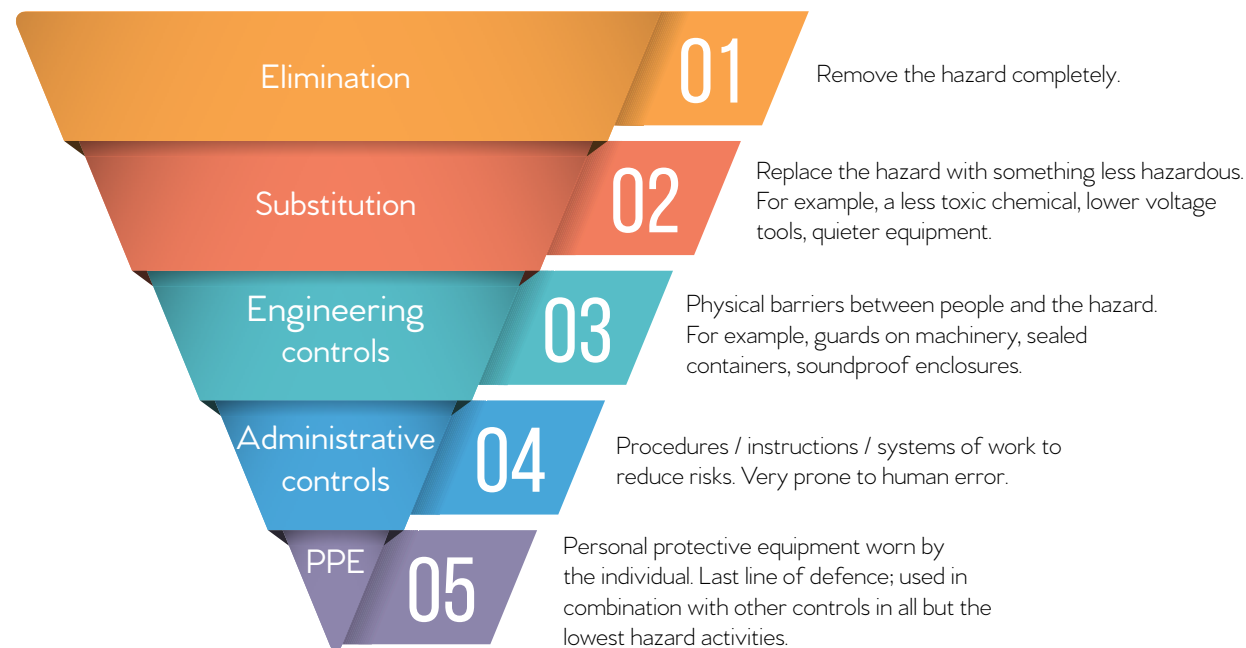
Where two or more employers share a workplace each employer must:

- **co-operate** with the other employers concerned to enable them to comply with their duties;
- **co-ordinate** the measures they take to comply with their legal duties with other employers concerned;
- **inform** the other employers concerned of the risks to their employees' health and safety arising out of their activities.

Duties on individuals:

To take **reasonable care** for the health and safety of himself and others who may be affected by his acts or omissions at work; and to **co-operate** with his employer so far as is necessary to enable their duties or requirements to be met.

Hierarchy of control



Collective controls better than Individual controls

Controls that protect many people at once are generally preferred over those that just protect an individual. You may sometimes need a combination of controls.

Guard rails v Harnesses

Chemical safety screen v Safety glasses

Passive controls better than Active controls

Controls that don't require any intervention or have any moving parts are generally preferred over those that rely on people doing things correctly or a machine working properly. You may sometimes need a combination of controls.

Speed bumps v Speed limits and signs

Double insulated electrical equipment v
Residual current devices and fuses

Layers of safety

Layers of safety

An accident or incident will only occur if a person is not protected from harm. A single control measure will not usually be able to eliminate all risks – just reduce them. You will usually have more than one control measure – or “layer” – to protect against a hazard. This means that if one control measure doesn't work, the second one will still reduce the risk of harm. The number of layers depends on the seriousness of the hazard.

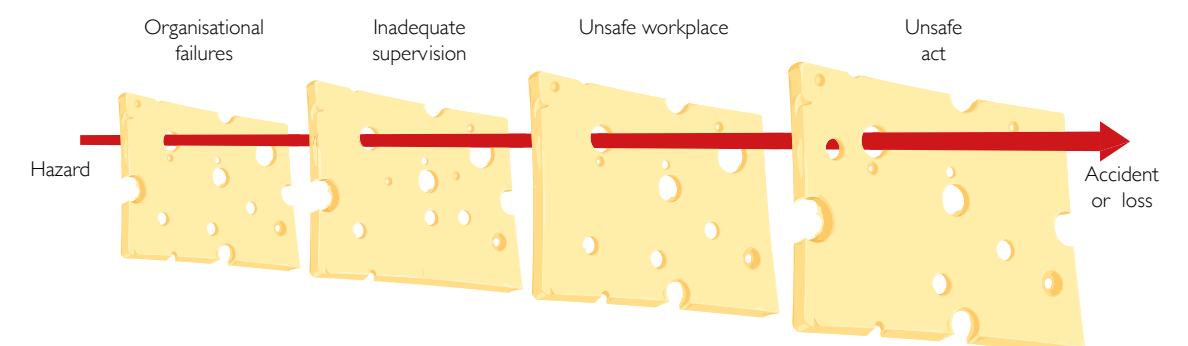
For example:

In engineering workshops, an oil is used when cutting metals on machines. This metalworking fluid can cause diseases of the skin and asthma if inhaled. Layers to prevent harm may include:

- Selecting machinery and guards to reduce likelihood of contact
- Having instructions and systems of work to prevent contact
- Supervision to ensure instructions followed
- Providing gloves to prevent contact

And to reduce the harm if contact occurs:

- Cleaning / replacing oil regularly (lowering risk of disease)
- Training of staff to identify symptoms
- Routine health surveillance to detect symptoms.



The “Swiss Cheese” model of accident causation.

PDCA

PLAN

Organisational planning, such as:

- a safety policy – aims and measuring performance
- arrangements for managing health and safety (who will have what responsibilities)
- general health and safety management training (such as this course!)

Task-based planning, such as:

- completing a risk assessment
- developing instructions or systems of work
- providing training

ACT

Continuous improvement:

- making sure identified improvements are implemented
- action plans have system to sign off when completed
- making improvements not just to an individual task, but to the whole management system
- reviewing and revising risk assessments

Note: PDCA is often used at an organisational level where it applies to strategic arrangements and processes. The model in this qualification has been modified to make it relevant to operational management. If you study safety or quality management at a higher level, you may find some of the emphasis changes.

DO

Doing the activity safely, for example:

- following instructions
- wearing correct PPE

CHECK

Developing **monitoring systems** and implementing:

- supervision of work activities
- spot checking work in progress
- checks that records are retained and accurate
- checks that controls are actually effective in reducing the risks
- accident and near-miss investigation

Risk assessment

Every employer must make a suitable and sufficient assessment of the risks to the health and safety of his:

- employees at work; and
- others (contractors, customers, the public) arising from work activities

for the purposes of identifying controls to ensure the health and safety of those people so far as is reasonably practicable, and to comply with any other specific legal requirements.

1. Hazard identification

- Walk around workplace
- Watch work being done
- Speak to your team
- Speak to those who maintain and clean the workplace
- Think about risks throughout the day and night
- Think about risks during different weather / times of year
- Think about longer-term health risks
- Check manufacturer’s instructions or data sheets
- Look at accident and ill-health records
- Check internet for HSE or industry guidance and best practice

2. Who might be harmed

- Consider:
- Employees
 - Visitors
 - Contractors
 - Maintenance and servicing staff
 - Pregnant women
 - Children
 - Those with disabilities
 - Homeworkers
 - People sharing the workplace.

3. Evaluate the risks and determine controls

Apply the **hierarchy of control**, and identify what selection of controls are necessary to reduce the risks to an acceptable level.

Remember to consider for each control:

Reduction in risk

▼

Time, money and effort to implement

Unless grossly disproportionate, you need to do it.

Think about **human error** – how critical is the task, and what are the consequences if someone makes a single mistake?

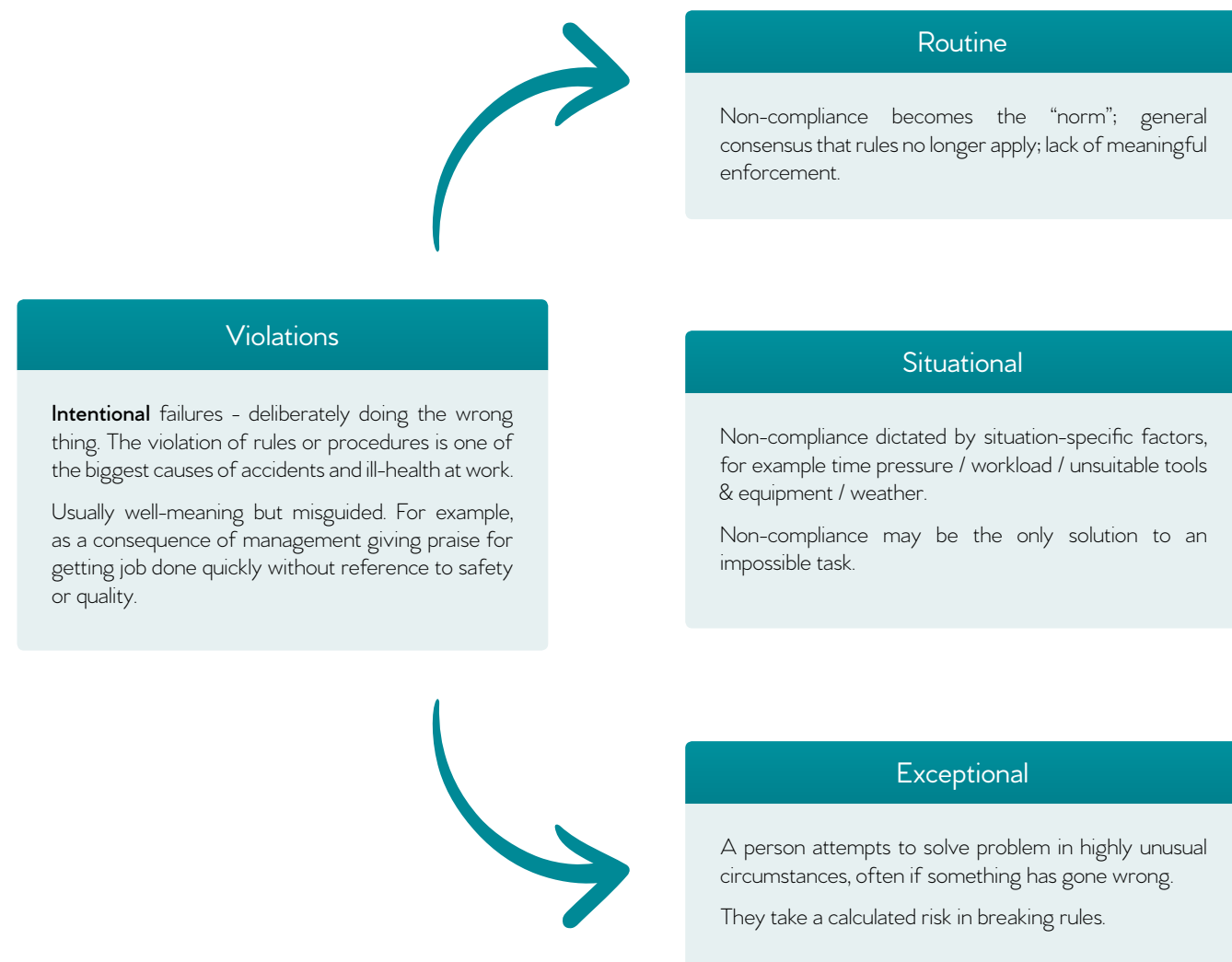
Example layout:

Activity: Normal office activities			Author: John Smith	Review date: Sept 2020
Hazard	Who could be harmed and how	All controls required	How controls will be checked	Confirmed in place: when and who
Electrical appliances in office	Staff and visitors from contact with live conductors	All staff trained to check all electrical equipment for obvious damage to plug, cable and casing before it is plugged in a new location. All class I equipment subject to portable appliance testing by contractor every year; all other equipment every three years. Procurement officer trained in electrical safety to ensure only suitable equipment purchased.	Staff retrained as part of H&S refresh day each year. Managers to spot check staff carrying out these checks. Feedback from formal portable appliance tests - were any deficiencies missed?	1 Sept 2019 John Smith

When writing a risk assessment:

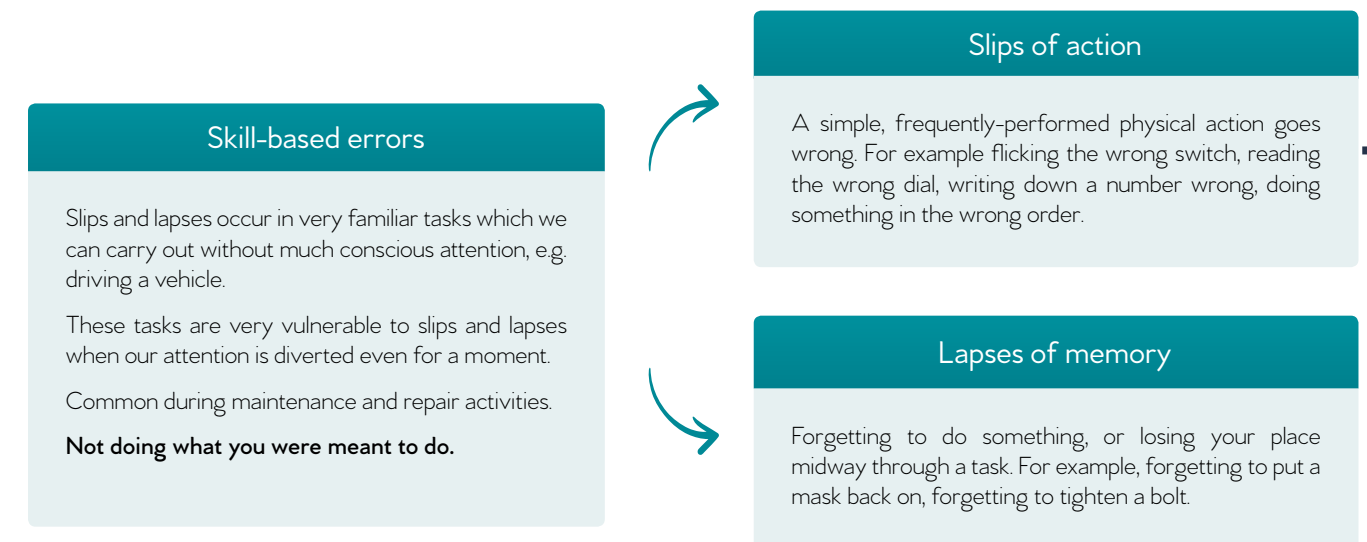
- Put a title that describes exactly what the assessment covers – and what it doesn’t.
- Make sure each control measure is specific and clear – so someone picking it up with no prior knowledge knows what is required.
- Put each control measure on a separate line – this makes it easier to check that each control measure is in place.
- Don’t give choices – the organisation is responsible for saying how the work should be done.
- Put the most serious hazards towards the top of the assessment – to focus attention on the most important controls.
- Where necessary, include instructions about what to do in an unusual situation, or if something goes wrong.
- Ensure the risk assessment has a review date, and it is recorded in a system or diary to ensure the review takes place.

Human error



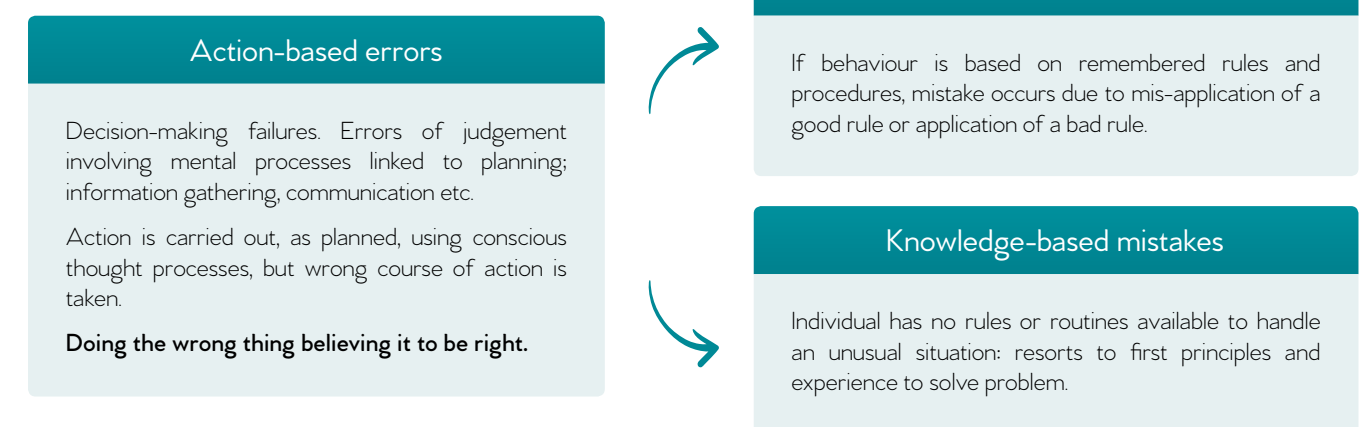
Controls for violations

- Improve risk perception.** Promote understanding and raise awareness of "whys" and consequences - e.g. warnings embedded in procedures.
- Effective supervision.** Improve the likelihood of getting caught.
- Eliminate reasons to cut corners** - such as poor job design, inconvenient requirements, unnecessary rules, unrealistic workload / targets / procedures, adverse working environment.
- Improves attitudes and culture.** Active workforce involvement, encourage reporting of violations, make non-compliance "socially" unacceptable.



Controls for skill-based errors

- Use **checklists** to help confirm that all actions have been completed.
- Use **procedures** which include the setting out of equipment, site layout and methods of work to ensure there is a **logical sequence**.
- Make sure **checks** are in place for complicated tasks; using warning and alarms, and cross-checks of critical tasks.
- Try to ensure **distractions and interruptions** are minimised, e.g. mobile phone policy.
- Often made by experienced, highly-trained, well-motivated staff - simply adding more training will not eliminate slips and lapses. Effective **procedures** are required.



Controls for action-based errors

- Increase worker situational awareness of high-risk tasks on site and provide procedures for predictable non-routine, high-risk tasks.
- Ensure proper supervision for inexperienced workers and provide job aids and diagrams to explain procedures.
- Plan for all relevant 'what ifs' - procedures for upset, abnormal and emergency scenarios.
- Diagnostic tools and decision-making aids (flow-charts, schematics, job-aids etc.)
- Organisational learning (capture and share experience of unusual events)

Root cause analysis

Why? Why? Why? Why? Why?

When investigating an accident, incident of ill-health, or a near miss, you can use the “five whys” method to try and work out the root cause.

Start with the immediate cause – the thing that went wrong there and then. You can then ask yourself “why” that event occurred. Keep asking “why” until you come up with a high level organisational or management failing. This is usually the root cause.

Remember, this is just a model to help your thought process – you can go down various paths, and different people may well get different results.

But it can help focus attention on the underlying issues that led to an accident.

And usually, if you fix those root causes, you will prevent future incidents not just in that one area, but across the whole organisation.

An office worker injured their back whilst lifting a box of photocopier paper



They twisted and bent their back as they lifted the box, instead of lifting properly



They hadn't received any basic training on safe lifting techniques



It wasn't identified as a significant risk in the risk assessment, because it wasn't a regular task



The person doing the risk assessment wasn't fully competent, and didn't consider activities that took place only occasionally



There was no set training standards or arrangement for those undertaking risk assessments



Why? Why? Why? Why? Why?



Step 1: The conversation

Use question prompts to start the conversation, along the lines of:

- Can you talk me through what happened?
- Have you done this before?
- Was this covered in your training?
- What do you feel can go wrong with the job?
- How do the weather conditions affect you?
- Are there any written procedures to guide you?
- How good is your equipment? Do you feel it's right for your job?
- Do your colleagues always do the job in the same way?



Step 2: Making a record

When discussing an incident, write down:

- Who was involved, where it took place and what happened.
- The immediate issues involved.
- The underlying reasons behind the incident.
- What lessons can be learned:
 - for the individual;
 - for the site; and
 - for the business.
- The actions taken (at the time or going forward).



Step 3: Taking action and learning

After talking to your workers and making a record, you can take action by:

- Making instant improvements, e.g. adopting safer procedures and installing additional safety measures.
- Transferring the knowledge both around the workplace and further afield.
- Rewarding the participants, where a job has been done well.

Investigation skills



The following will help during each of the above stages:

- Find a suitable location, which is private and quiet.
- Act promptly, while memories are still fresh.
- Work backwards, from immediate causes to underlying causes.
- Ask good questions, but remember to mostly listen.
- Don't attach blame; focus on looking for evidence of what happened.
- Ask open questions, e.g. 'What were your reasons for doing that?'
- Give praise for good performance.

Toolbox talks

Safety briefings

These are a useful way to keep health and safety forefront in the minds of your workers and make them aware of current risks and hazards.

Depending on your work environment, daily safety briefings by supervisors to all workers help to foster a good health and safety culture.

Toolbox talks

These allow you and your workers to explore the risks of specific health and safety issues on your site, and think about ways to deal with them.

Toolbox talks should focus on a single topic and be held regularly for greatest impact.

How can I communicate effectively?

- **First impressions count.** Show enthusiasm, and deliver a clear message about the importance of health and safety standards on site.
- **Know your audience.** If English is not your workers' first language then think carefully about how to get your message across.
- Keep it **simple and be consistent** with your messages. Use short, straightforward, simple words and phrases. Avoid slang words or jargon.
- **Demonstrate respect.** Listen to what your workers have to say, and show you are listening through your body language.
- Think about the **tone of your voice.** Workers are more likely to listen if you vary the tone of your voice.
- Think about the **pace of your delivery.** It's natural to rush when you are nervous. Take the time to slow down.
- Use **open questions** to check understanding. Ask your listeners to run through their understanding of what you have said. If you ask 'Do you understand?' people tend to say 'yes' even when they mean 'no'.
- Some people may need more **explanation** than others. Give yourself plenty of time. If you rush you may come across as impatient or not interested and listeners may not feel able to ask you any questions.
- **Keep it positive!** Focus on what workers can do to create a healthy and safe working environment instead of what can go wrong.

How should I deliver safety briefings?

Most peoples' attention span is limited. Briefings should be exactly that – **brief**.

Prepare key points to put over, and focus on delivering them well. Repeat the main points at the beginning and end of the talk.

Most people will only remember 25%-50% of what you said, so you may need to think about **briefing cards** or putting the key points from the safety briefings on the **notice board**. If you want your listeners to remember more than about five points, give them a **prompt list** to go away with.

Promote the SLAM technique

How should I deliver toolbox talks?

Explain **why** you are having a toolbox talk in a way that will help your workers relate to the topic you want to cover.

Prepare what you are going to talk about and any materials that you are going to use. The HSE website has a number of free materials including downloads.

You may find it helpful to use a laptop or tablet, employee pocket cards and leaflets, or a flip chart and a pen.

Get **feedback** on the impact, messaging and content of the toolbox talk. Ask workers what they thought about it, perhaps design a short feedback form. Consider asking another supervisor or manager to observe one of your talks.

SLAM

STOP

and engage your mind
before your hands.
Look at the task in hand.

LOOK

at your workplace and
find the hazards.
Report these
immediately to your
supervisor.

ASSESS

the effects the hazards have
on you, the people you work
with, equipment, procedures,
and the environment.

Ask yourself if you have the
knowledge, training and tools
to do the task safely.

MANAGE

and apply the correct controls
and PPE. If you feel unsafe,
stop working.

Tell your supervisor and team
mates what actions you think
are necessary to make the
situation safe.

STOP

Stop the task and think. Look at each step.
Ask:

- Is this a new task?
- Has the task changed?
- When was the last time I did this task?
- Do I feel comfortable doing this task?
- If not, do I need training?

LOOK

Look before, during and after completion
of the task. Always:

- inspect the work area for potential hazards, e.g. unsecured ladders, untidiness;
- identify the hazards for each step of the job/task; and
- evaluate what to do about them.

ASSESS

Are workers equipped to perform the task safely? Check they have the correct:

- knowledge;
- skills;
- training; and
- tools.

What else do they need to perform the task safely?

Help? (Workers should be encouraged to ask for help.)

More training? (Workers should not perform the task until they have been trained.)

MANAGE

Managers should take appropriate action to eliminate or minimise any hazards on site by:

- ensuring the proper equipment is used and is well maintained; and
- thinking about the task just completed and ask, "What went well? What did not go well?"

Ask yourself:

- Did anything unexpected happen?
- How can I be better prepared and plan for this in future?

Why SLAM?

The SLAM technique reminds workers to stop work if they think their health and safety is at risk.

By using the SLAM technique workers will value the importance of health and safety and so help create a healthy and safe site. By remembering SLAM, workers are more likely to stop work if a task appears unsafe or risky to their health, or to stop their colleagues behaving in an unsafe or unhealthy way.

Leadership

The importance of good leadership

The way you lead your team on health and safety can determine how safe your site is to work on (and the number of accidents, incidents and ill-health cases that happen) because:

- **your attitudes and beliefs** about health and safety drive your behaviour;
- **your behaviour** on site sends a powerful message to your workers about how seriously they should take health and safety; and
- the real causes of accidents on site can often be traced back to **managers' decisions**.

What makes a good leader?

A **leader** influences others to reach a goal.

A **transformational leader** makes a positive impact on attitudes, behaviours and organisational performance. They transform, energise and motivate their workers to:

- view their work from different **perspectives**;
- be aware of their organisation's **vision**;
- reach their full potential by **challenging** themselves;
- work to benefit the team rather than just themselves.

How can I become an effective leader?



Challenge the status quo

- How could current health and safety practices be improved?
- Are there new ways to improve health and safety – e.g. by learning from accidents, incidents and ill-health?
- Challenge your workers, by asking them 'What can we do to solve the problem?'.



Create a vision

- Consult your workforce to identify and set clear health and safety goals.
- Motivate them to create a 'shared vision' through those goals.
- Involve them in planning and decision making.
- Make sure everyone knows what they need to do.



Inspire workers to be healthy and safe

- Make sure everyone has the skills, abilities and resources they need to do their jobs safely.
- Plan enough time for work to be done in a safe way.
- Share your expertise to help workers overcome barriers.
- Develop mutual trust.
- Reward workers who successfully work safely.



Be a good role model

- Be honest with yourself. Do you set a good example to your workers?
- Put health and safety first and behave in a healthy and safe way on site.
- Promote safe work behaviour and practices – encourage the attitude: 'I do it because I want to, not because I have to'.
- Be fair – trust and respect workers when making health and safety decisions.



Show consideration

- Get to know workers and respect their opinions.
- Treat each worker as an individual.
- Show personal concern for their safety and well-being.
- Treat others as you would expect to be treated yourself.
- Develop a team spirit where health and safety comes first and everyone looks out for one another.



Communicate regularly

- Update workers on developments and performance in health and safety and encourage feedback.
- Be approachable and receptive to your workers' ideas.
- Respond to concerns immediately and discuss the actions you will take.

The difference between a leader and a manager

A manager:

- Develops a plan and allocates resources.
- Sets objectives and organises a schedule.
- Monitors situations.
- Focuses on order and efficiency.
- Ensures standards are met.

A leader:

- Creates and communicates a vision for the future.
- Encourages others to commit to the vision.
- Motivates and inspires workers to overcome barriers.
- Encourages innovation.
- Helps the organisation to develop by adapting to changing circumstances.

Key behaviours

How do I create a vision for the future?

- Identify and record your health and safety goals. You may want to consult with others to do this. Ask yourself where you want your organisation to be. Consider creating an action plan to determine how you will reach your goal(s).
- Regularly tell your team and clients what these goals are. Make sure they understand you.
- Monitor health and safety performance by carrying out audits (e.g. weekly walkabouts) and observations, to see whether the goals are being achieved, what needs to be reinforced (i.e. what you need to explain to them again) and how the organisation can improve. This will also help you gauge the level of commitment of your workers.
- Look for ways to make the organisation safer and improve the working environment by removing risks (control the risks at source rather than by PPE).
- Make time to improve health and safety by organising schedules so that workers have the time to do the job safely.

How do I motivate and inspire my team?

- Make sure you always behave in a safe and healthy way.
- Use your team in the development of any health and safety materials.
- Implement reward systems for safe and healthy working practices.
- Give your team feedback on their performance; praise them for safe behaviours and clearly explain to them why they should stop any unsafe behaviours you see. Remember not to blame your team unfairly.
- Make your toolbox talks and safety briefings as engaging and interactive as you can to really have a positive impact on behaviour.
- Delegate health and safety tasks to workers where you can, giving them the responsibility to make decisions.
- Encourage your team to look out for each other as well as themselves.
- Consider using personal testimonies to show how poor health and safety practices affect people.

How do I show concern for my workers?

- Ensure a safe working site for your team and contractors / visitors / clients
- Check that workers are physically and mentally fit to complete their work.
- Take a personal interest in each individual's health and safety. Even a simple 'How are you?' can show that you care.

How can I be a good communicator?

- Listen to your team.
- Have an open door approach and encourage them to talk to you about health and safety matters. Deal with problems promptly.
- Set your team clear health and safety roles and responsibilities.
- Work jointly with your team on health and safety matters. Discuss issues on a regular basis (e.g. through toolbox talks and safety briefings).
- Communicate with your team about any decisions or changes that have been made. Always explain why you made the decision you did. Where possible, involve them in the decision-making process.

Safety culture



Health & Safety Leadership

There are explicit and continuous steps taken by management to ensure that goal, targets and issues are made clear, and are known to all personnel. An indicator of good safety leadership is that safety is always prioritised over performance. Roles and responsibilities are assigned and clear.

- Visible management
- Performance management balanced against safety management
- Clearly defined safety roles and responsibilities



Two-way Communication

There are multiple channels for the discussion of safety matters, concerns and goals between and within all levels of the organisation. The flow of information should be in an upwards as well as downwards direction.

- System to communicate safety information
- Comprehensive safety information
- Internal safety concern reporting system
- Approachable management
- Feedback systems



Employee Involvement

Personnel from all levels within the organisation are involved in safety decision-making, safety planning, and providing ideas for improvement. Employee participation and feedback is actively sought.

- Employee involvement in health and safety discussions
- Motivation of employees



Learning Culture

Steps are taken to monitor known problems, identify new ones, detect trends over time and develop effective preventative measures. Efforts are made to ensure that lessons are learnt from incidents, including the wider application to other situations. Intervention measures are introduced for all situations.

- Procedure to investigate and mitigate safety concerns
- Incident investigation procedure
- Safety culture / climate survey / monitoring



Attitude to blame

Developing a just culture is the acceptance that the ultimate responsibility for incidents lies with the organisation, and investigations take full account of multi-causality. The purpose of investigations is not to assign retribution or blame, but to learn from incidents.

- A culture of trust
- Fault allocation process
- Safety accountability

