

HEALTH AND SAFETY MANAGEMENT SYSTEM (ORGANIZING) PLANNING AND IMPLEMENTATION)

A Postgraduate Course
Course Code: 7440



Department of Nutritional Sciences & Environmental Design
Faculty of Sciences
ALLAMA IQBAL OPEN UNIVERSITY

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PREFACE

It is with immense pride that we present a study guide for the Postgraduate Diploma in Environment, Health & Safety (EHS) at Allama Iqbal Open University. This program epitomizes our commitment to integrating environmental stewardship with effective and innovative EHS practices in tackling some of the most pressing challenges facing humanity in shaping a sustainable future.

EHS professionals play a crucial role in safeguarding the well-being of employees, the public, and the environment. As industries progress and new technologies emerge, EHS professionals face an ever-developing set of challenges.

The PGD program is specially designed to provide students with the knowledge, skills, and practical insight needed to lead in such a dynamic field. Our curriculum integrates emerging technologies with sustainable EHS practices, hence responding not only to the current needs of the industry but also to prevent and reduce accidents, emergencies, and health issues at the workplace, along with any other environmental damage that could result from work practices.

This includes the foundation, organizing, planning, monitoring and auditing of the EHS management system at the workplace. It will train the students as master trainers who will be able to protect the well-being of the workforce in their relevant domains of expertise and also ensure the environmental regulations that meet the employee's and workplace safety standards, which is necessary for current and future environmental demands.

This study guide serves as an overall map of courses that will make our students competent and forward-looking EHS professionals. It, therefore, outlines the course objectives, structure, and the key components that will leave our students well-prepared for challenges with innovative, realistic, and sustainable solutions.

At Allama Iqbal Open University, we pride ourselves on being a hub of excellence in education and research. The PGD in EHS is proof of our continued quest to further knowledge and practice for the betterment of local and global communities. This course will be your guide on how to engage deeply with the environmental regulations and take up the challenge to a meaningful impact on the EHS management system which in turn would help increase our country's compliance to various EHS regulations.

I wish all the best to all the students in this pursuit. This program may enrich and transform you in being one of the leaders in creating a sustainable and resilient future.

Warm Regards,

Prof. Dr. Nasir Mahmood
Vice Chancellor
Allama Iqbal Open University

MESSAGE FROM DEAN

Dear Students,

I extend a warm welcome to all of you enrolled in the Postgraduate Diploma in Environment, Health and Safety (EHS) program offered by the Department of Nutritional Sciences and Environmental Design (NSED). I hope this message finds you in good health and high spirits.

As we start the study of “EHS”, I wanted to provide you all with a comprehensive guide to clear your understanding and preparation. EHS is crucial because it safeguards human well-being and the planet. Ensures compliance with regulations, preventing accidents, illnesses, and environmental harm. Reduces workplace risks, enhancing employee morale and productivity.

I encourage you to engage actively with the material, ask questions, and participate in discussions to deepen your understanding. Remember, our goal is not just to pass exams but to internalize this knowledge to ensure the safety of ourselves and those around us.

If you have any questions or need further clarification on any topic, feel free to reach out. Let's make safety our top priority as we explore this important subject.

Best Wishes,

Prof. Dr. Hajra Ahmed
Dean, Faculty of Sciences

MESSAGE FROM CHAIRMAN

Dear Students,

Welcome to the Department of Nutritional Sciences and Environmental Design's diploma program in EHS. I am pleased to announce the development of a comprehensive study guide focused on "Health & Safety Management System (Organizing, Planning and Implementation)".

This guide aims to equip all students with the necessary knowledge of the importance of EHS management systems in the workplace. In addition, it enhances the knowledge of learners for the development of a sustainable safety culture in the organization, its Planning and Implementation.

This initiative aligns with your professional and personal commitment to prioritizing EHS culture. By educating on these critical topics, we not only mitigate EHS risks but also contribute to a safer working environment for everyone.

I encourage all students to actively engage with the study guide and utilize its resources to enhance their understanding of EHS. Together, we can create a workplace where EHS is paramount, and emergencies are managed with confidence and competence.

Thank you for your attention to this important matter. If you have any questions or suggestions, please don't hesitate to reach out to the program coordinator.

Stay Safe, Stay Vigilant!

Best Wishes

**Dr. Zaheer Ahmad
Chairman**

ACKNOWLEDGMENT

All praises to **Allah**, who gave me the strength to complete this project. The development of this comprehensive study guide on "Health & Safety Management System (Organizing, Planning and Implementation)" has been a collaborative effort, drawing upon the expertise and support of numerous individuals. It gives me pleasure to express my profound gratitude and reverence to the Vice Chancellor of Allama Iqbal Open University, **Prof. Dr. Nasir Mehmood** for guiding, facilitating, and supporting the preparation of the course. We extend our heartfelt gratitude to all those who have contributed to the creation of this resource.

I would like to express my sincere appreciation to **Prof. Dr. Hajra Ahmad**, Dean, Faculty of Sciences, for her support and encouragement. Thanks to **Dr. Zaheer Ahmed**, Chairman, Department of Nutritional Sciences and Environmental Design, for his sustenance and trust. All the faculty members, especially **Mr. Imtiaz Ali Aslam**, Director EDCONS Institute of Business & Technology; **Dr. Rabeea Zafar**, Lecturer, Department of Nutritional Sciences and Environmental Design, **Ar. Nazia Iftikhar**, Lecturer, Department of Nutritional Sciences and Environmental Design, being an expert in EHS, environmental sciences, environmental design, architecture, planning and sustainable development, provided valuable insights and guidance throughout this study guide's planning and development stages. Your expertise and dedication have been instrumental in ensuring the content's quality and relevance.

I also acknowledge the contributions of the design and editorial team, production, and printing team who worked diligently to ensure the clarity, coherence, and accessibility of the content presented in this study guide. Your dedication and attention to detail have been essential in bringing this resource to fruition.

Lastly, we extend our deepest appreciation to the post-graduate students who will use this study guide as a tool for learning and professional development. It is our sincere hope that it will serve as a valuable resource in your studies.

Thank you to everyone who has contributed to the creation of this study guide. Your collaboration and support have been invaluable in making this project a reality.

Dr. Muhammad Farooq Mustafa
Course Coordinator

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INTRODUCTION TO THE COURSE

A very warm welcome to the Post graduate Diploma (PGD) in Environment Health and Safety (EHS). It is one of the oldest engineering concerns. Sanitation engineering and public health drastically improved the quality of life amongst ancient peoples. Working with machinery can greatly simplify certain tasks, but also leaves room for dangerous workplace accidents. With the Industrial Revolution, machinery became much larger and more complex, and the need for safety became a much more prominent concern.

The term EHS is generally used to describe Environment Health and Safety and relates to the prevention of accidents and ill health to employees and those who may be affected by their work regulations and procedures intended to prevent accidents or injury in workplaces or public environments.

COURSE OBJECTIVES

The objectives of the Course are:

1. To be able to understand the EHS that relates to the prevention of accidents/ hazards at the workplace.
2. Enable the learners to identify the safety measures taken by ILO generated such hallmarks of industrial society, labour laws and policies which promote workplace safety.
3. To enhance the knowledge of learners for the development of sustainable safety culture in the organization, its Planning and Implementation.

UNIT-1

KEY ELEMENT OF INTERNATIONAL LABOUR ORGANIZATION (ILO)

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INTRODUCTION

Governments, employers, and employees acknowledge the positive effects of implementing EHS management systems at the organizational level, on the reduction of dangers and consequences as well as efficiency. In light of this, the ILO has created optional guidelines for health and safety management systems that are in line with its principles and other pertinent worker protection tools.

These guidelines' useful suggestions are meant to be applied by everyone who is in charge of EHS management. Employers are responsible for implementing EHS in the workplace and have a duty to do so. This lesson has covered a national framework for occupational safety and health management systems as well as the importance of being aware of ILO principles.

LEARNING OBJECTIVE

After the unit, the student will be able to:

- Learn about the national and international laws and recommendations (ILO) about worker health and safety at work.

1.1 KEY ELEMENTS OF INTERNATIONAL LABOUR ORGANIZATION (ILO)

1.1.1 ILO-OSH 2001 & 45001:

The ILO Occupational Safety and Health (OSH) Management System

ILO has created standards for OSH management systems based on globally recognized principles that are outlined by the ILO's three-member parties. This three-pronged strategy offers the organization stability, adaptability, and a suitable foundation for the creation of a long-lasting safety culture. To protect the safety and health of workers, the ILO has created optional guidelines on OSH management systems that are in keeping with its values and pertinent instruments.

These guidelines were created by the ILO as a useful tool to support organizations and capable institutions in their efforts to achieve continuous OSH performance improvement. These regulations need to help safeguard employees from dangers and eradicate illnesses, accidents, fatalities, and other work-related ailments.

The Guidelines promote the integration of OSH management system components as a crucial part of general policy and management arrangements at the organizational level. To enhance OSH performance, organizations, employers, owners, managers, employees, and their representatives are encouraged to implement the proper OSH management concepts and techniques. Employers and capable national authorities have an obligation to plan and implement actions aimed at protecting Occupational Safety and Health (OSH). One practical way to carry out this duty is to put these ILO Guidelines into practice.

ILO-OSH 2001:

ILO-OSH 2001 is published in a Guidance Note called Guidelines on occupational safety and health management systems.

ILO-OSH 2001: The ILO Safety and Health Management System:

- Policy (Plan) – A clear statement has to be made to establish health and safety as a prime commitment of management at all levels of the organization, but particularly at the top.
- Organizing (Plan) – A framework of roles and responsibilities for health and safety must be created within the organization, from senior management down to the front-line workers, including the appointment of specialist staff.

- Planning and implementing (Do) Detailed arrangements must be made for the management of health and safety. Central to this idea is the concept of risk assessment and the identification and implementation of safe systems of work and protective measures.
- Evaluation (Check) – Methods must be devised to monitor and review the effectiveness of the arrangements put into place. This might be done reactively (e.g. by reviewing accident and ill-health statistics), or actively (e.g. by reviewing inspection reports).
- Audit (Check) – Arrangements must be made for the independent, systematic and critical examination of the Safety Management System (SMS) to ensure that all parts are working acceptably well.
- Action for improvement (Act) – Any shortcomings identified by the review process must be corrected as soon as possible by making whatever adjustments are necessary to the policy, organisation and arrangements for implementation.
- Continual improvement – The intention is that the SMS will not remain static but will develop over time to become increasingly appropriate and useful to the organisation that it exists to serve.

ISO 45001:

ISO 45001 is the world's international standard for occupational health and safety, issued to protect employees and visitors from work-related accidents and diseases. ISO 45001 certification was developed to mitigate any factors that can cause employees and businesses irreparable harm. Its standards are the result of a great effort by a committee of health and safety management experts who looked closely at a number of other approaches to system management including ISO 9001 and ISO 14001. In addition, ISO 45001 was designed to take other existing occupational health and safety standards, such as OHSAS 18001, into account as well as the ILO's labor standards, conventions and safety guidelines.

Especially geared toward senior management, ISO 45001 has the ultimate goal of helping businesses provide a healthy and safe working environment for their employees and everyone else who visits the workplace. This goal can be achieved by controlling factors that could potentially lead to injury, illness and in extreme situations even death. As a result, ISO 45001 is concerned with mitigating any factors that are harmful or that pose a danger to workers' physical and/or mental well-being.

According to many health and safety experts including the professionals who worked on the ISO committee, ISO 45001 represents a landmark breakthrough. For the first time internationally, businesses of all sizes can now access a single framework that offers them a clear pathway to developing better and more robust occupational health and safety measures.

ISO 45001 has seen a 97.3% increase in worldwide certificates in 2020, showing the growth and importance of UKAS-accredited certification in recent times. Statistics straight from the most recent ISO Survey. ISO standard for management systems of occupational health and safety (OHS), published in March 2018. The goal of ISO 45001 is the reduction of occupational injuries and diseases, including promoting and protecting physical and mental health.

ISO 45001 follows the High-Level Structure of other ISO standards, such as ISO 9001:2015 and ISO 14001:2015, which makes integration of these standards easier.

- Context of the organisation (management system framework) requires that the OHSMS is designed and operated so as to be appropriate to the organisation and its operational environment.
- Leadership and worker participation (management system framework) requires that the OHSMS is driven by those at the top of the organisation with the active engagement and participation of workers at all levels. The standard makes it clear that top management must be personally involved in driving and promoting the management system.

1.2 OHSAS 18001

OHSAS 18001, Occupational Health and Safety Assessment Series, was an international standard for occupational health and safety management systems that was subsequently adopted as a British Standard. Compliance with it enabled organizations to demonstrate that they had a system in place for occupational health and safety. Organizations that are certified to OHSAS 18001 were able to migrate to ISO 45001 by March 2021 to retain a recognized certification. Organizations worldwide recognize the need to control and improve health and safety performance and do so with occupational health and safety management systems (OHSMS). However, before 1999 there was an increase of national standards and proprietary certification schemes to choose from. This caused confusion and fragmentation in the market and undermined the credibility of individual schemes.

Difference with ISO 45001: The new ISO 45001 standard encompasses two types of changes from the OHSAS 18001 standard. The first change involves a significant overhaul of the clauses to follow a new organizational structure that is being implemented for all ISO management system standards. ISO developed Annex SL - a framework for a generic management system and the blueprint for all new and revised management system standards. The revised versions of the ISO 14001 and ISO 9001 standards and the new ISO 45001 standard are organized in accordance with this new structure. A Plan-Do-Check-Act model is retained in the new structure for all management system standards, with the clauses organized to facilitate the implementation of an integrated management system.

1.3 Implication of Non-compliance

Violating or failing to implement EHS regulations is a crime. Businesses are required by law to make sure that their workers are safe in their workplaces. If you don't, you risk fines, penalties, punishments, and other negative effects.

A company's reputation may suffer if EHS laws are not followed. Revocation from the sector is a possible outcome that frequently damages businesses' reputations. The potential for the organization to incur penalties for non-compliance is arguably the first and most evident effect. Additional penalties consist of:

1.3.1 Financial Penalties

Initially, the HSE can only issue a notice of improvement or prohibition to an enterprise that's breaching legislation, but the consequences can become more dire. Breaches can incur fines of up to £20,000, while issues that endanger human lives can produce unlimited fines or imprisonment. If an employee is injured at a workplace where best practice wasn't implemented, there's also a chance they could claim against the business.

1.3.2 Industry Disqualification and Reputation Damage

Non-compliance with health and safety regulations can also hurt a business reputation. Disqualification from the industry is a likely consequence, often leaving companies' reputations in ruin. As it's the employer's legal responsibility to protect their employees, it's often those at the top that are targeted when a health and safety incident occurs and prosecutions brought forward by the HSE in the UK have a 94% conviction success rate.

1.3.3 Endangering Lives

The most severe consequence is the potential injury or even death of a worker. Non-compliance is a clear problem in the construction industry. Business owners

are struggling to correctly deal with health and safety incidents, which is directly impacting not only their workers, but their businesses too.

Thus, the question of how companies might satisfy their obligations without suffering the repercussions of non-compliance with EHS emerges. It's crucial to be knowledgeable about this and aware of your responsibilities. One cannot possibly expect to be compliant without such understanding.

The EHS laws are important pieces of legislation to be aware of. This entails duties to care for any contractors or other guests who enter the workplace in addition to its own staff. Any harm that employees of a corporation create to third parties is their responsibility to make the business successful by putting the organization's laws and statutes into practice.

Employees must receive training. Procedures need to be secure and adhered to. Equipment needs to be kept up-to-date and functional. All of these obligations are the business'

If the organization is unsure of its legal responsibilities, it should consult an attorney and think about enlisting the assistance of a certified safety specialist.

Recommended List of Reading:

- International Health & Safety at Work. Hughes & Ferret -Sixth Edition
Publisher: Routledge
- www.ilo.org
- **Self-Assessment Questions:**

- Q.1 What are the consequences of non-compliance?
- Q.2 What are the consequences of non-compliance with health and safety obligations set by the local organizations?
- Q.3 What are the Key Features of Health & Safety Policy?

UNIT-2

KEY FEATURES OF ENVIRONMENT, HEALTH AND SAFETY POLICY

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INTRODUCTION

The EHS Act and the responsibilities of those involved with employee health and safety are the focal points of the second unit's discussion. The organization has a moral obligation to supply the resources necessary to ensure that the necessary equipment is available for the staff members' health and welfare in addition to having a critical role to play in the protection and safety of the environment and the workers. The general statement of intent, which outlines the goals and objectives of the organization's policy for the benefit of its workers and the organization, is also highlighted in this unit.

LEARNING OBJECTIVE

After reading the materials, you will be able to:

- Students will be able to identify the general responsibilities, the EHS Act, and their moral obligation to safeguard workers' welfare at work.

2.1 THE THREE PARTS OF A POLICY DOCUMENT:

Every organization should have a three-part policy on environment, health, and safety, as outlined below:

- Part 1 - Statement of intent
- Part 2 - Responsibilities for EHS
- Part 3 - Arrangements for EHS

Keeping the aforementioned points in mind, any organization should have a clear policy for the administration of EHS so that all parties involved are aware of the organization's goals and objectives for health and safety and how they are to be met. A policy needs to be followed in its whole spirit in order to be effective.

A strong EHS policy also helps the workforce grow personally, lowers financial losses, and improves the organization's performance in non-EHS areas.

In this unit, emphasis is made that every organization no matter has four or fewer employees should have a health and safety policy – it simply means that it does not have to be written down. The number of employees is the maximum number at any time, whether they are full-time, part-time, or seasonal.

This is the duty of the employers to introduce the HSW Act that relates to the employers' reliance on the Act on self-regulation to improve health and safety standards rather than on enforcement alone.

A good health and safety policy involves developing, monitoring and review of the standards needed to address and reduce the risks to health and safety produced by the organization.

2.2 GENERAL STATEMENT OF INTENT:

The health and safety policy statement of intent is often referred to as the health and safety policy statement or simply as the health and safety policy. It should contain the aims and objectives of the organization. The statement should be written in clear and simple language to be easily understood. It should also not be too lengthy and broken down into a series of smaller statements or bullet points.

The statement should be signed and dated by the most senior person in the organization. This will demonstrate management's commitment to health and

safety and give Authority to the policy. It will reveal where ultimate responsibility lies and how frequently the policy statement is reviewed.

The most senior manager in an organization is normally the Chief Executive Officer (CEO) or the Managing Director. It is the responsibility of the CEO, under the HSW Act, to ensure that the health and safety policy is developed and communicated to all employees in the organization.

They will need to ensure the following key functions of health and safety management, such as

- Monitoring and audit, accident investigation and training, are included in the organizational structure; adequate resources are available to manage health and safety effectively.
- The production of various health and safety arrangements in terms of rules and procedures. Arrangements for the welfare of employees; the regular review and, if necessary, updating of the health and safety policy.

The policy statement should be written by the organization and not by external consultants, as it needs to address the specific health and safety issues and hazards within the organization.

In large organizations, it may be necessary to have health and safety policies for each department and/or site with an overarching general policy incorporating the individual policies. Local authorities and multinational companies often use such an approach.

It is important that arrangements for fire and other emergencies and for information, instruction, training, and supervision are also covered. Local codes of practice (e.g. for fork-lift truck drivers) should be included.

2.3 Organization (EHS Roles and Responsibilities)

In this part of the unit, discussion is made on how to ensure the health, safety and welfare of its employees, and the health and safety of the visitors and contractors. As such, organization Executive and management have OHS responsibilities, authority and accountabilities as outlined in position descriptions, guidelines and procedures and as summarized in the organization document.

The organization strives to foster the development of safety consciousness in all members of its community to minimize the risk of injury to persons or damage to

property or facilities. In addition, the organization has a moral and legal responsibility to provide a safe and healthy environment in which to work comfortably.

All staff the responsibility and authority to ensure that a safe working environment exists within the organization and that they can fulfill their OHS obligations. All staff will be held accountable for ensuring that they fulfill their OHS responsibilities.

The organization will ensure that the requirements outlined by the Occupational Health and Safety Act (2000) and associated legislation are complied with at all organization facilities. Legislated and other accredited standards in health and safety are accepted by the organization as minimum standards.

Resultant policies and procedures are considered binding upon all staff. The organization will develop, implement, evaluate, and improve occupational health and safety policies, procedures, and programs according to legislative requirements and policies.

The organization is committed to keeping abreast of changing safety standards and communicating these standards within the organization via OHS consultation arrangements.

Here's a detailed discussion on the responsibilities of employers and employees in ensuring workplace safety:

2.3.1 Employer's Responsibilities:

- **Establishing a Safety Culture**

Create a workplace culture that prioritizes safety. This involves fostering an environment where employees feel empowered to voice safety concerns without fear of reprisal.

- **Developing and Communicating Policies**

Formulate comprehensive safety policies and procedures. Clearly communicate these policies to all employees and provide accessible documentation for reference.

- **Providing Training and Education**

Ensure that employees receive adequate training on safety protocols, equipment

usage, and emergency procedures. Regularly update training to align with evolving safety standards.

- **Supplying and Maintaining Safety Equipment**

Provide necessary personal protective equipment (PPE) and ensure its proper maintenance. This includes items such as helmets, gloves, safety glasses, and respiratory protection.

- **Regular Inspections and Audits**

Conduct regular workplace inspections and safety audits to identify and address potential hazards. Promptly correct any issues found during these assessments.

- **Emergency Preparedness**

Develop and regularly practice emergency response plans. This includes conducting fire drills, establishing evacuation procedures, and providing first aid training.

- **Compliance with Regulations**

Stay informed about and ensure compliance with local, national, and international safety regulations relevant to the industry. This includes regularly updating practices to meet or exceed standards.

- **Risk Assessment and Mitigation**

Perform thorough risk assessments for different tasks and processes. Implement strategies to mitigate identified risks and continuously improve safety measures.

- **Encouraging Reporting**

Encourage and create mechanisms for employees to report safety concerns, near misses, or incidents. Establish a non-punitive reporting system to promote openness.

- **Continuous Improvement**

Act on feedback and incident reports to continually improve safety measures. This

includes adjusting policies, and procedures, and providing additional training as needed.

2.3.2 Employee's Responsibilities

- **Compliance with Policies**

Adhere to all safety policies and procedures established by the employer. This includes following guidelines, using provided safety equipment, and reporting any deviations.

- **Participation in Training**

Actively participate in safety training sessions. This ensures a clear understanding of potential hazards and the correct implementation of safety protocols.

- **Proper Use of PPE**

Wear and use personal protective equipment correctly and consistently. Report any issues with the provided equipment to supervisors for prompt replacement or repair.

- **Reporting Hazards and Incidents**

Report potential hazards, near misses, or accidents promptly. Early reporting enables employers to address issues before they escalate and ensures a safer workplace.

- **Safe Work Practices**

Follow safe work practices while performing tasks. This includes using proper techniques, following established procedures, and using the provided tools and equipment appropriately.

- **Participation in Emergency Drills**

Actively participate in emergency drills to understand evacuation procedures and other emergency protocols. This preparedness contributes to a swift and organized response in real emergencies.

- **Collaboration with Employers**

Engage in open communication with employers about safety concerns. Collaborate in identifying and implementing improvements to enhance overall workplace safety.

- **Responsible Behavior**

Demonstrate responsible behavior by avoiding shortcuts, refraining from risky activities, and promoting a safety-first mindset among colleagues.

- **Compliance with Regulations**

Be aware of and comply with safety regulations relevant to the job. This includes understanding the importance of compliance in maintaining a safe work environment. Continuous Learning

Stay informed about new safety procedures and best practices. Actively engage in ongoing learning to remain updated on industry-specific safety requirements.

By understanding and fulfilling these respective responsibilities, employers and employees contribute to the creation of a workplace that prioritizes safety, minimizes risks, and ensures the well-being of all individuals. This shared commitment is essential for fostering a culture of safety and preventing workplace accidents and injuries.

Recommended List of Reading:

- International Health & Safety at Work. Hughes & Ferret -Sixth Edition.
Publisher: Routledge
- <http://iosh.com>

Self-Assessment Questions:

- Q1. Does health and safety, policy implementation are your obligations towards your employees made clear?
- Q2. Which senior manager is responsible for implementing health and safety policy, and how to keep it under review?
- Q3. Have the views of managers and supervisors, safety representatives and the safety committee been considered?

UNIT-3

ENVIRONMENT, HEALTH & SAFETY GUIDELINES

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INTRODUCTION

Students must understand the requirements found in both national and international EHS Management System standards, as well as how to apply those standards in a given local environment.

LEARNING OBJECTIVE

After studying the unit, you are expected to be able to:

- Know the International and National Guidelines for EHS management
- Understand the application of these guidelines in the local context

It is crucial that students understand how to integrate and implement an EHS management system into an organization's broader management structure. Discover the importance of the discussion with an employer representative of the organization. The EHS management system's international and national policies, as well as its principles and procedures, will become clearer after reading this section.

3.1 INTERNATIONAL STANDARDS

It is important to note that ISO 45001 is the global OHS standard that was created to safeguard workers and guests from illnesses and accidents related to their jobs. The formulation of ISO 45001 took into consideration the labour norms, conventions, and safety guidelines of the ILO in addition to other OHS standards, such as OHSAS 18001. The purpose of ISO 45001 is to assist enterprises. This objective can be met by managing variables that may cause harm, disease, or in dire circumstances, even death. Consequently, the goal of ISO 45001 is to minimize any elements that could endanger the physical or mental health of employees.

A committee of specialists in health and safety management worked very hard to create standards, carefully examining many alternative methods to system management, such as ISO 9001 and ISO 14001.

Sadly, avoidable cases of unfavorable working circumstances result in thousands of worker deaths every day. In actuality, almost 2.7 million deaths worldwide are attributed to work accidents, according to the ILO and ISO. Furthermore, 374 million non-fatal injuries occur annually, accounting for four or more days of missed work. That being said, it is imperative that all organizations adopt these worldwide norms.

3.2 NATIONAL STANDARDS

The Standards have been developed with specific objectives to establish requirements for the protection of people and the environment from harmful effects. The requirements have the force that is derived from the statutory provisions of the sponsoring organizations and further scope as contained therein.

You're not required by law to implement ISO 45001 or other similar management standards, but they can help provide a structured framework for ensuring a safe and healthy workplace.

If the organization is small or low-risk, it probably be able to demonstrate effective risk management without a formal management system. A simpler and less bureaucratic approach may be more appropriate such as that outlined in HSE's guidance on health and safety made simple.

The National Emergency, Crisis and Disaster Management Authority (“NCEMA”) has launched the National Standard for Occupational Safety and Health Management System almost all over the world in order to reduce risks to staff safety. The standard should be the model for preventing accidents in the workplace

and should be compiled in compliance with the best international standards by a specialized team of nationals.

3.3 NATIONAL POLICY ON OSHMS

The National Policy on Occupational Safety and Health (OSH) Management System is a framework developed by governments to promote workplace safety and health, and to improve the management of occupational hazards and risks.

The policy is based on a set of principles and procedures that guide the development and implementation of OSH management systems in workplaces.

In this response, we will discuss the general principles and procedures of the National Policy on OSH Management System.

3.3.1 Principles of the National Policy on OSH Management System:

- **Prevention:**

The policy emphasizes the importance of preventing accidents and injuries in the workplace through the identification and control of hazards.

- **Participation:**

The policy recognizes the importance of involving workers and their representatives in the development and implementation of OSH management systems.

- **Continuous Improvement:**

The policy promotes a culture of continuous improvement in OSH management systems, through regular review, evaluation, and improvement.

- **Compliance:**

The policy requires organizations to comply with applicable OSH laws and regulations, and to adopt best practices in the management of OSH risks.

- **Responsibility:**

The policy emphasizes the shared responsibility of employers, workers, and government agencies for ensuring a safe and healthy workplace.

3.3.2 Procedures of the National Policy on OSH Management System:

- **Policy Development:**

Organizations are required to develop a policy statement on OSH management, which outlines their commitment to ensuring a safe and healthy workplace.

- **Hazard Identification and Risk Assessment:**

Organizations must identify and assess hazards in the workplace and develop controls to manage these hazards.

- **Training and Education:**

Organizations must provide workers with appropriate training and education on OSH management systems, as well as information on the hazards and risks associated with their work.

- **Communication:**

Organizations must establish effective communication systems to ensure that workers are informed of hazards and risks, and that they are able to report any concerns or incidents.

- **Documentation and Record-Keeping:**

Organizations must maintain accurate records of their OSH management systems, including policies, procedures, training, and incident reports.

- **Evaluation and Improvement:**

Organizations must regularly review and evaluate their OSH management systems to identify areas for improvement and take corrective action as necessary.

- **Compliance Monitoring:**

Government agencies are responsible for monitoring compliance with OSH laws and regulations and taking enforcement action where necessary.

In conclusion, the National Policy on OSH Management System provides a comprehensive framework for the development and implementation of OSH management systems in workplaces. The policy is based on a set of principles and procedures that emphasize the importance of prevention, participation, continuous improvement, compliance, and responsibility. By adopting these principles and procedures, organizations can create a culture of safety and health in the workplace.

and protect their workers from occupational hazards and risks.

3.4 GUIDELINES FOR EHS MANAGEMENT SYSTEM

The guidelines on OSH management systems have been developed by the International Labour Organization (ILO) according to internationally agreed principles defined by the ILO's tripartite constituents. This tripartite approach provides the strength, flexibility, and appropriate basis for the development of a sustainable safety culture in the organization. The ILO has therefore developed voluntary guidelines on OSH management systems that reflect ILO values and instruments relevant to the protection of workers' safety and health.

The practical recommendations of these guidelines are intended for use by all those who have responsibility for occupational safety and health management. They are not legally binding and are not intended to replace national laws, regulations, or accepted standards. Their application does not require certification. The employer is accountable for and has a duty to organize occupational safety and health. The implementation of an OSH management system is one useful approach to fulfilling this duty. The ILO has designed these guidelines as a practical tool for assisting organizations and competent institutions as a means of achieving continual improvement in OSH performance.

The objective of these guidelines should contribute to the protection of workers from hazards and to the elimination of work-related injuries, ill health, diseases, incidents and deaths.

3.4.1 At the national level, the guidelines should:

- Be applied to create a national framework, ideally backed by national laws and regulations, for EHS management systems.
- Offer direction for the creation of optional agreements that will increase adherence to rules and guidelines and result in ongoing enhancements to EHS performance.
- Offer advice on how to create national and specialized EHS management system guidelines that will adequately address the actual demands of organizations based on their size and kind of operations.

3.4.2 At the level of the organization, the guidelines are intended to:

- Offer direction on how to incorporate elements of the EHS management system into the organization as part of policies and management agreements.

- Encourage all organization members in particular, employers, owners, managers, employees, and their representatives to apply the proper EHS management principles and techniques in order to continuously improve EHS performance.
 - **Recommended List of Reading:**
 - Guidelines on Occupational Safety and Health Management System ILO-OSH-2001.
 - www.ilo.org
 - www.iso.org
 - **Self-Assessment Questions:**
- Q1. What are international standards in radiation protection?
- Q2. What are international standards and why they are necessary to implement in our organizations?
- Q3. Why implementation of an ISO 45001 in the management system is important?
- Q4. Why to maintain compliance and achieve ISO 45001 certification?
- Q 5. What is the importance of Health and Safety guidelines in the management system?

UNIT-4

ROLES AND RESPONSIBILITIES OF EMPLOYER & MANAGEMENT

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INTRODUCTION

In order to manage the risk in an efficient and effective manner, the organization makes sure that its personnel have access to sufficient EHS knowledge, skills, and competence. The managers overseeing all related operations might receive training from the organization to stay current on the evolution of the EHS management system.

LEARNING OBJECTIVE

After studying the unit, you are supposed to be able to

Understand the roles and duties that employers and managers have at various levels in relation to EHS based on the organizational structure.

The topics of EHS management strategies, coaching, instruction, problem-solving, and risk awareness as a manager's responsibility are further explored in this course. To inform and educate the students, facts about organizational planning, measuring, reviewing auditing, and the perceived financial and economic benefits of health and safety were also covered.

Roles and Responsibilities of Employer & Management

4.1 THE EMPLOYER

The primary duty of an employer is to ensure that the workplace is safe and that no one is injured or exposed to dangers while doing their job.

The employee's role and obligations will be the main topic of this unit. The employer is responsible for organizing safe working practices and ensuring that workspaces, tools, and machinery are maintained in a safe manner. Employees need knowledge, guidance, training, and supervision in order to perform their jobs safely.

The employer is responsible for ensuring that all tools and materials are used, stored, moved, and disposed of in a safe manner. They should also follow the guidelines, policies, and procedures set forth by the EHS Act and offer a workplace free from significant known dangers.

Employers have a crucial role to play in ensuring the health and safety of their workers at the workplace. Their responsibilities include:

4.1.1 Providing a Safe and Healthy Work Environment:

Employers have a legal obligation to provide a safe and healthy work environment for their employees. This includes ensuring that the workplace is free from hazards that could cause injury, illness, or death.

4.1.2 Conducting Risk Assessments:

Employers must identify, assess and manage risks to health and safety in the workplace. This involves conducting regular risk assessments to identify potential hazards and taking appropriate measures to control and mitigate those risks.

4.1.3 Providing Training and Information:

Employers are responsible for providing their employees with the necessary training, information, and instruction to carry out their work safely. This includes providing information on hazards, safety procedures, and the proper use of equipment and machinery.

4.1.4 Providing Personal Protective Equipment:

Employers must provide appropriate personal protective equipment (PPE) to their employees to protect them from hazards that cannot be eliminated or controlled by other means.

4.1.5 Developing and Implementing Health and Safety Policies and Procedures:

Employers must develop and implement health and safety policies and procedures that are appropriate for the workplace. These policies and procedures should address specific hazards and risks in the workplace, and they should be regularly reviewed and updated as necessary.

4.1.6 Consultation and Collaboration:

Employers should consult and collaborate with their employees on matters relating to health and safety. This includes providing opportunities for employees to raise concerns and provide input on health and safety policies and procedures.

4.1.7 Reporting and Investigating Accidents and Incidents:

Employers must report and investigate accidents and incidents that occur in the workplace. This includes taking appropriate measures to prevent similar incidents from occurring in the future.

4.1.8 Monitoring and Reviewing Health and Safety Performance:

Employers must monitor and review their health and safety performance regularly. This includes setting goals and objectives for improving health and safety outcomes, measuring progress, and making necessary changes to policies and procedures.

4.1.9 Providing Adequate Facilities:

Employers must provide adequate facilities such as restrooms, first aid kits, and clean drinking water to their employees.

4.1.10 Ensuring Adequate Staffing:

Employers must ensure that there are enough staff members to carry out work safely and that they are not overworked, which can lead to accidents and injuries.

4.1.11 Encouraging Employee Participation:

Employers should encourage employee participation in health and safety initiatives, such as safety committees or safety drills.

4.1.12 Ensuring Compliance with Regulations:

Employers must comply with relevant health and safety regulations and laws, and

ensure that their workers also comply with these regulations.

4.1.13 Providing Rehabilitation and Return to Work Programs:

Employers must have policies and procedures in place to help employees who are injured or ill to return to work safely and effectively.

4.1.14 Encouraging a Culture of Safety:

Employers should create a culture of safety in the workplace by emphasizing the importance of safety, recognizing and rewarding safe behavior, and promoting safety as a core value of the organization.

4.1.15 Continuously Improving Health and Safety:

Employers should continuously strive to improve health and safety in the workplace by identifying and addressing new hazards, reviewing and improving policies and procedures, and investing in new technologies and equipment to improve safety.

Afterall, employers have a significant responsibility to ensure the health and safety of their workers at the workplace. They must comply with legal requirements and implement appropriate policies, procedures, and practices to create a safe and healthy work environment. Failure to fulfill these responsibilities can result in serious harm to workers, legal liabilities, and damage to the reputation of the organization.

4.2 DIRECTORS AND SENIOR MANAGERS

Senior management's duties are to ensure that the EHS programme has enough resources to be implemented, maintained, and improved. Assign managers and supervisors to management positions with clear responsibilities, authority, and functions. This includes assigning them to oversee the EHS programme.

Directors and senior management must create and carry out the EHS policy inside their company. Additionally, they guarantee that workers and worker representatives can actively engage in the program's development and upkeep and are advised. Here are some of the key responsibilities of management regarding the implementation of safety and health in the organization:

4.2.1 Establishing a Culture of Safety:

Management must create a culture of safety in the organization by setting clear

expectations for safety and health, providing leadership and support for safety initiatives, and promoting a positive safety culture through communication and engagement with employees.

4.2.2 Developing Safety Policies and Procedures:

Management must establish and communicate safety policies and procedures that comply with relevant laws, regulations, and industry standards. This includes developing hazard identification and risk assessment procedures, emergency response plans, and procedures for incident reporting and investigation.

4.2.3 Allocating Resources:

Management must ensure that adequate resources are allocated to support safety and health initiatives in the organization. This includes providing funding for safety equipment, training programs, and safety-related capital expenditures.

4.2.4 Providing Training and Education:

Management must ensure that employees receive appropriate training and education on safety and health issues. This includes providing general safety awareness training, job-specific safety training, and ongoing training to maintain and update employees' skills and knowledge.

4.2.5 Conducting Safety Audits and Inspections:

Management must conduct regular safety audits and inspections to identify hazards and assess risks in the workplace. This includes identifying and addressing potential hazards before they become a threat to employee safety and health.

4.2.6 Monitoring and Evaluating Safety Performance:

Management must monitor and evaluate safety performance in the organization to identify areas for improvement and measure the effectiveness of safety initiatives. This includes tracking incident rates, conducting safety surveys, and reviewing safety-related metrics and KPIs.

4.2.7 Encouraging Employee Involvement

Management must encourage employee involvement in safety initiatives and promote a culture of open communication and collaboration. This includes providing opportunities for employees to provide feedback on safety policies and procedures, encouraging employees to report hazards and incidents, and

recognizing employees who contribute to safety improvement initiatives.

4.2.8 Leading by Example:

Management must lead by example when it comes to safety and health. This includes following safety policies and procedures, wearing appropriate personal protective equipment, and actively promoting safety awareness and good safety practices.

4.2.9 Encouraging Continuous Improvement:

Management must encourage continuous improvement in safety and health management. This includes reviewing and updating safety policies and procedures, seeking feedback from employees, and adopting new best practices and technologies to improve safety performance.

4.2.10 Communicating Safety Expectations:

Management must communicate safety expectations clearly and consistently to all employees. This includes providing regular safety training and education, reinforcing safety messages through posters and other communications, and addressing safety issues in team meetings and other forums.

4.2.11 Holding People Accountable:

Management must hold employees accountable for following safety policies and procedures. This includes setting performance expectations, monitoring compliance, and providing feedback and corrective action when necessary.

4.2.12 Addressing Employee Concerns:

Management must address employee concerns related to safety and health in a timely and effective manner. This includes providing channels for employees to report safety concerns and incidents, investigating concerns promptly and thoroughly, and taking appropriate corrective action.

Overall, the responsibility for safety and health in the workplace rests with management. By taking a proactive and strategic approach to safety and health management, organizations can create a safe and healthy work environment that protects the well-being of employees and contributes to the success of the organization. By fulfilling these responsibilities, management can create a strong safety culture and ensure that safety and health are integrated into all aspects of the organization. This can help to protect employees from workplace hazards and improve overall organizational performance.

4.3 MIDDLE MANAGERS AND SUPERVISORS

Supervisors and middle managers are in charge of overseeing, guiding, and helping employees comprehend and adhere to EHS policies and procedures. Supervisors and middle managers may function as "officers" in an organization. Officers are expected to be responsible and diligent in making sure that their company complies with all applicable laws and regulations.

The plans and policies determined by upper management must be carried out by this level of management. Positioned between supervisory management and top management is middle management. The following general administrative goals are carried out by middle management in accordance with management's tasks, working alongside and beneath top management:

- To carry out the numerous organizational tasks in a way that allows the top management adequate time to attend to their duties.
- To work together, with supervisors and upper management, to ensure the smooth operation of the organization.
- To comprehend how departments are interconnected in key policies.
- To accomplish coordination amongst the different organizational components.
- To train and develop staff members to improve the organization's performance and to fill any future openings.
- To foster a culture of teamwork where employees strive to deliver a good or service that the general public wants. (More information will be covered in class.

4.4 SUPERVISORY MANAGEMENT

Within the organization, supervisory management is situated beneath middle management but above the workforce. Because they interact directly with the average worker, these executives have a responsibility to ensure that the work is done correctly. The individuals working at this level are very important to the company. The dedication, self-control, and dependability of the staff at this level of management are crucial to the successful execution of the plans and policies, the caliber of the work, the caliber of production, and the general success of the company. Additionally, the workers are represented by this level of management

before they are by higher levels of management and vice versa.

Since the supervisor is their direct boss, they look to him for directives, guidelines, policies, instructions, support, and other things. A supervisor's ability to succeed is reliant on his or her employees' preferences, cooperation, effort, contentment, and loyalty. For instructions, knowledge of policies, support, and direction, the supervisor in turn looks to his middle management superior.

4.5 SAFETY SPECIALISTS

EHS professionals assist in preventing harm to the public, employees, property, and environment. For instance, they might assess the quality of the air, inspect machinery, or provide safe work areas. Specialists strive to minimize costs by cutting insurance premiums, workers' compensation payments, and government fines in addition to increasing worker safety and productivity by decreasing absenteeism and equipment stoppage.

Government specialists carry out safety checks and administer penalties. To guarantee worker safety, EHS personnel frequently collaborate with specialists.

Experts can carry out assessments and notify the management of an establishment about any aspects that don't align with local, state, and federal regulations or employer guidelines. They also offer management advice on the price and efficacy of EHS initiatives. Some offer instructions on how to identify hazards or on new rules and procedures.

They assess the likelihood and seriousness of mishaps and determine which areas require the installation of controls in order to lower or completely eliminate risk. If a new procedure or programme is needed, they suggest it to management and keep an eye on the outcomes if it is put into place.

They might also draft documents for use in court and offer testimony. Experts in particular fields may create EHS systems, such as manuals, procedures, and policies. Certain experts organize funds required for the execution of initiatives aimed at achieving safe work practices.

Recommended List of Reading:

- International Health & Safety at Work. Hughes & Ferret -Sixth Edition.
Publisher: Routledge
- www.hse.gov.uk

Self-Assessment Questions:

- Q.1 What is senior management's role in safety and health?
- Q.2 Who is a "senior officer" at an organization?
- Q.3 What are the Rights and Responsibilities of Employers and Employees?
- Q.4 Who are safety Specialists? Define their role and responsibilities.

UNIT-5

ROLES AND RESPONSIBILITIES OF WORKERS

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INTRODUCTION

Employers place a high priority on employee safety since they are primarily responsible for the health and well-being of their employees and fellow employees. The employee has the right to work without putting themselves in danger and should be fully aware of and accountable for their own safety while on the job.

LEARNING OBJECTIVE

Students will be able to:

- Understand the legal rights, workplace safety, and duties of workers after completing this unit.
- Recognize how firms develop and apply EHS policies to safeguard each employee at work.

In order to help the students better grasp and use this knowledge in their everyday lives, this unit includes a discussion of the roles and duties of workers in organizations, including their health care and roles.

Roles and Responsibilities of Workers

5.1 WORKERS RESPONSIBILITIES

Ensuring that all employees understand their rights and obligations is crucial for building a solid foundation for transparent communication and collaboration inside the company.

As an employee, you should anticipate that your company will provide health and safety equipment, proper training, and information, as well as procedures to assess, manage, and control risk in the workplace. Workers should have the freedom to take breaks and time off for their own well-being. They should also be able to quit or refuse work if it poses a risk to their safety and raise concerns without worrying about facing repercussions.

Rights and obligations for workers are closely related. Everyone is entitled to a secure and healthy workplace as well as the assurance that one another is watching out for their best interests. Taking responsibility for your coworkers' health and safety will guarantee that your company has a strong culture of trust and commitment.

5.2 CONTROLLERS OF PREMISES

A person who has authority over property that is utilized by others for employment, including those with restricted control, is referred to as a controller of premises. Under any lease or contract, the controller is also responsible for the upkeep and repairs of the property.

5.3 SELF-EMPLOYED

Self-employed individuals are also accountable for meeting EHS standards, as does everyone else involved in corporate activities. EHS concerns for independent contractors are frequently disregarded. This is due to a widespread assumption that self-employed individuals only have to deal with themselves and don't need to manage risks or worry about EHS. However, you must take your health and safety carefully if you work for yourself.

When working for yourself, you are considered self-employed. Therefore, all of your initiatives should have health and safety safeguards. Having to miss work due to illness or injury sustained at work is the last thing that should happen. Time off is equivalent to money lost, and if one suffers from severe injuries or persistent illnesses as a result of one's work, this could destroy one's career.

People who work for themselves must also think about how their job may influence others. Everybody's health and safety will be impacted by their actions when working on a huge project involving contractors and workers or when dealing with other independent contractors. In order to safeguard not just yourself

but also any site visitors, members of the public, or homeowners, you must take precautions to limit EHS hazards, even if you're working alone on a project.

5.4 CONTRACTORS AND SHARED RESPONSIBILITIES

Since everyone engaged in job activities shares responsibility for EHS in a workplace, it can be challenging to assign blame for contractor health and safety. This implies that everyone is expected to reduce risks, including employees, executives, contractors, employers, and business owners. It is possible to provide an EHS briefing to site visitors and expect them to adhere to regulations and procedures. Because those in positions of authority are expected to perform more than employees, the burden of EHS is not distributed equally. Because of this, employers typically bear the greatest responsibility for EHS.

However, in sectors like construction where suppliers and subcontractors are employed to deliver goods or services, they are either ill-informed about health and safety regulations or lack the necessary training. Contractors are not subject to the same obligations that apply to employees. They are somewhat responsible for contractor health and safety in different ways. The crucial thing to remember is that they still have a duty of care and must fulfil a number of risk management responsibilities in order to safeguard others as well as themselves and contractors. While contractors have health and safety obligations as well, they are slightly different from those of employers. Employers/clients and contractors share the majority of the duty, although each has obligations of their own.

5.5 EMPLOYER RESPONSIBILITIES FOR CONTRACTOR HEALTH AND SAFETY IS TO HIRE SUITABLE CONTRACTORS:

Employers must ensure that any chosen contractors have the abilities, know-how, background, and training needed to carry out duties in a safe and efficient manner. To guarantee their competence, it is important to review the EHS policies and procedures of contractors.

5.5.1 Carry-out a Risk Assessment

Employers must conduct a risk assessment of the workspace and job activities before contractors starting work. Employers must identify hazards and think about how and to whom they could cause injury or ill health by following the five steps of risk assessments. The next step is to develop and implement control measures to get rid of or manage these risks.

The following actions need to be taken informing contractors about EHS information; reviewing EHS in the workplace on a regular basis; supervising contractors; designating a principal contractor; and making sure contractors are

aware of their responsibilities (further information will be covered in lectures).

5.5.2 Contractor Responsibilities

The following tasks need to be accomplished by every contractor working on a project:

Plan, Manage, and Monitor: Take Into Account All EHS Risks; Inform Other Parties of EHS Information; Provide Welfare Facilities; Manage Contractors and Workers; Ensure Clients Are Aware of Their Responsibilities; Choose Appropriate Subcontractors / Employees (more specifics will be covered in lectures).

Recommended List of Readings:

- Occupational Health and Safety Law: Text and Materials By: Brenda Barret and Richard Howell

Self-Assessment Questions:

- Q.1 What are the various responsibilities that employees must remember?
- Q.2 What are the responsibilities of employees?
- Q.3 Why Self-Employed Health and Safety is Important?
- Q.4 Who is Responsible for Contractor Health and Safety?

UNIT- 6

ENVIRONMENT, HEALTH AND SAFETY CULTURAL INDICATORS

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INTRODUCTION

As of now, the EHS policy, rules, and roles and responsibilities have shaped the conversation. Nonetheless, there exist certain markers concerning the EHS culture, its markers, and the correlation between Safety and cultural performance. These cultural indicators will be covered in this unit.

LEARNING OBJECTIVES

After completing this course, you need to be able to:

- Understand how an organization's culture (both positive and negative) evolved among its employees.
- Because they recognize the value of their own and others' safety in an organization, the majority of workers believe that workplace health and safety are important.

Environment, Health and Safety Cultural Indicators

6.1 EHS CULTURE

Many businesses refer to their employees' propensity to follow regulations or behave in a safe or unsafe manner as part of their "EHS culture." However, we discover that management culture and style are far more important, such as an innate, unconscious leaning towards productivity over safety or a propensity for hyper-reactivity and short-term thinking.

6.1.1 Symptoms of poor cultural factors can include:

- Inadequate design of procedures
- Infractions of routine procedures
- Management choices that repeatedly prioritize cost or productivity over environmental health and safety

6.1.2 Key aspects of an effective EHS culture

Management commitment:

The organization as a whole becomes more motivated and concerned about EHS as a result of this dedication. It is shown by the percentage of resources (people, money, and time) and support devoted to EHS management as well as by the standing EHS is accorded in relation to other factors like cost and production. Senior management's active participation in the EHS system is crucial.

Visible management:

When it comes to EHS, managers must be seen to set an example. Good managers make frequent appearances on the "shop floor," talk about EHS, and show their commitment in practice by halting production when necessary to address problems. Perceived sincerity in management's commitment to EHS is crucial. If not, cynicism will weaken EHS initiatives or programmers and employees will often assume that they are expected to prioritize business interests.

Good communication between all levels of employees

It is crucial for employees to actively participate in the EHS system in order to foster a culture of safety at all levels and to capitalize on the particular knowledge that comes from doing their own work. This can include having an active EHS culture, consistent messaging from management and staff, and the perception of an effective EHS system as a collaborative endeavor.

Inspection

Interviews with a representative sample of the organization, preferably a sufficient number of employees, must be conducted as part of the inspection process. These interviews must be conducted in a non-threatening way. Since the EHS inspector has a great deal of firsthand experience trying to address EHS culture, it would be appropriate to just reflect on what has been discovered and offer broad recommendations rather than detailed recommendations on how to improve it.

6.2 RELATIONSHIP BETWEEN EHS CULTURE AND PERFORMANCE

The following elements are the important components of a positive EHS culture:

- The understanding is that, as part of an organization's long-term plan, high EHS standards are attainable.
- A thorough evaluation of the organization's EHS risks and the creation of suitable control and monitoring mechanisms.
- The EHS policy statement, outlines the agency's short- and long-term goals. Codes of conduct, necessary EHS standards, pertinent employee training programs, and communication and consultation protocols should all be included in such a policy.
- Systems for keeping an eye on tools, methods, and processes, as well as for quickly fixing any flaws.
- The timely investigation of all mishaps and accidents, along with reports outlining any corrective measures that may be required.

The organization will have a foundation for strong EHS performance if these components are followed. But in order to perform at this level, the EHS function needs adequate funding and manpower, and this needs to happen at all organizational levels.

6.3 INDICATORS USED TO ASSESS EHS CULTURE

The EHS culture inside an organization is a subset of the broader corporate or organizational culture. It is a reflection of the beliefs, attitudes, abilities, and actions of the employees. It displays the organization's dedication to and emphasis on EHS, as well as the efficiency of its EHS management system. The EHS culture of an organization is shaped by competent EHS management, EHS oversight, and EHS leadership.

- A major motivator is the managerial style and devotion.
- Employee participation is essential.
- Competence and training are important factors in employee satisfaction.
- Effective communication is crucial.
- Autonomously operating work teams and protocol compliance must coexist.
- The entire system, not just the operator, should be the focus of an incident investigation.
- Sharing organizational learning is necessary.

6.3.1 Positive EHS Culture:

Where the majority of employees believe that EHS is crucial, and everyone works and behaves properly because they recognize how important it is to their own and others' safety. Strong rules and unambiguous leadership from the top management permeate the entire organization from top to bottom.

Supervisors consider the ramifications of EHS, and employees have the same perspective and operate safely. Individuals who do not behave in a safe manner are a minority and are likely to be fired for their unsafe work practices or to quit because they do not feel like they belong.

6.3.2 Negative EHS Culture:

Where the bulk of employees act dangerously because they don't know any better and believe that EHS is unimportant.

- They lack a solid education in EHS and believe it to be unneeded or irrelevant.
- Senior management's leadership and direction are ambiguous.
- Managers let other priorities guide their decisions instead of considering EHS while making decisions.
- Employees who are concerned about safety are a minority, and they may quit if they feel unsafe at work or because they disagree with the organizational EHS culture.

6.4 THE INFLUENCE OF PEERS

Our peers are those who are similar to us in terms of age, status, or aptitude. These might be our coworkers at work, friends, acquaintances, or family. They inspire us to aspire to be like them and have a significant impact on our social and emotional growth. Recognizing peers encourages a proactive EHS approach. Many organizations' operations pose serious risks to their workers, clients, communities, and the environment. Peer recognition is a powerful tool for helping staff members stay safe and uphold the reputation of the company.

The majority of us grow up with parents who constantly compare our social habits or academic achievement to that of our friends. This leads us to feel that it's normal to judge ourselves against our peers and try to talk, look, and act like them.

Peer pressure is the term used to describe this pressure. Peer pressure has an impact on people as they get older and enter the workforce. When peer pressure inspires us to work harder and better ourselves, it's beneficial. However, the same instances of peer pressure can be detrimental to our well-being if they cause us to feel defeated or inadequate, or if we begin to worry that our peers can do tasks that we find difficult. Peer pressure has a major impact on our capacity to establish and sustain meaningful connections.

6.4.1 Managing Peer Pressure

We feel comfortable and secure when we are in an environment where peers have a similar impact and share our beliefs, tastes, and actions. But in real life, we have to interact with others who have various attitudes, routines, and behaviors, which exposes us to peer pressure models.

Know where you stand, act accordingly, and take courage from that. Pressure to act against your better judgement could be felt. Examine the possible repercussions of attempting to alter your behaviors and decisions due to peer pressure.

It's OK to turn away from people or leave uncomfortable situations. Always act in your own best interests.

Do You Think This Seems Right to You? "Is There Anything I Could Gain by Following Along?" "Am I Just Giving In To Peer Pressure?"

You cannot be coerced or forced to do something you don't want to do by others. Never Allow Someone to Embarrass or Criticize You for Your Decisions. Refrain from Associating with Individuals Who Act in This Way.

6.4.2 Peer Pressure at the Workplace

Workplaces are frequently closed networks with their own set of standards, conventions, and beliefs. There can be a lot of pressure to fit in in a setting that values kinship, ambition, advancement, and job stability. You can even be expected to modify your behavior to fit in with others around you.

Recommended List of Readings

- International Health & Safety at Work Hughes & Ferret -Sixth Edition.
Publisher: Routledge
- www.cosh.co.uk/getfunding

Self-Assessment Questions

- Q1.) What is organizational EHS Culture?
- Q2.) What influences EHS behavior at work?
- Q3.) What are the indicators used to Assess EHS Culture?
- Q4.) Who are Peers? Discuss the difference between Peer Pressure and Peer influence.

UNIT-7

IMPROVING EHS BEHAVIOR

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INTRODUCTION

The EHS culture of an organization is seen by employees as the most crucial element. As a result, an organization should implement a successful behavior-based EHS programmer. Appropriate training and effective communication are crucial for fostering positive relationships between employees and workers. Employees should be encouraged to make good behavioural changes at work and behavior-based EHS programmers should be supported by the organizational EHS culture. Supervisors and managers are responsible for making sure that all employees follow tight guidelines for a safe working environment and wear protective gear or suits as needed.

LEARNING OBJECTIVE

You should be able to:

- Observe worker habits and behaviours for the purpose of worker safety after completing this unit.
- To gain knowledge on how to create a solid working relationship between supervisors and employees in order to promote health and safety at work.
- Recognize the leadership roles that management plays in an EHS management system.

7.1 BEHAVIOUR ISSUES

Problematic employees might be found anywhere. They require the greatest maturity and patience to handle. A worker who exhibits a "problem attitude" is a nightmare for the team managers as well as the company as a whole.

Don't bring your ego to work. There is no room for ego in organizations. Respect is owed to everyone connected to the organization, whether directly or indirectly. You can't afford to treat someone rudely just because they are an executive or take public transport to get to work. In work environments where productivity speaks for itself, such things seldom matter. Talk gently and courteously.

Few common employee behavioral issues.

- Employees disregard workplace policies and procedures. Some workers often arrive late, do nothing, and leave on schedule.
- They would spend the entire day wasting their time gossiping and hanging around, or they would be on the phone talking with pals.

These people only work when their bosses are there; they don't take responsibility for their work; instead, they rely solely on assigning blame. The only reason they go to work each month is to receive their paycheck.

Long-term benefit will not come from such a mindset. You must take your work seriously if you want to go up the success ladder as quickly as possible.

People are reluctant to share their knowledge and information with others and prefer to work alone. They frequently get lost in their own world and have no belief in helping others. Teams must be formed in order for workers to complete tasks on time, generate ideas, think creatively, and come up with novel solutions that will ultimately help the company.

A single employee's bad behaviour has the power to destroy the entire workplace culture. It is necessary to act responsibly and adhere to the organization's policies. Employees must conduct themselves as responsible adults and uphold workplace civility. Irrational behaviour at work reflects poorly on your upbringing as well as harms your rapport with your reporting bosses.

It is the responsibility of team leaders to facilitate communication among their members. Even if someone would not open up to their manager right away, they would still talk to their coworkers about their issues.

- Having a conversation with the employee in question is the best

method to handle concerns.

- Ignoring issues only makes them worse; addressing them early on is essential to averting more serious issues down the road.
- Not every worker is the same. Everybody has distinct problems and worries.
- Identify the underlying reason for their issues.
- Avoid airing problems and complaints in public.
- Request that they meet in the conference/meeting room or the cabin.
- Demonstrating to staff members that there are other ways to handle employee issues besides using the exit door.
- Encourage them to be honest and disclose their issues.
- Most of the time, workers don't even realize they have bad habits and think their actions are morally acceptable in the workplace. You must help the other individual see how their unreasonable actions are harming other workers and the workplace culture as a whole.
- Never treat unruly coworkers badly. I promise you, the issues will get worse.

Employees should be informed of the organization's rules and regulations at the moment of hire. Give them employee handbooks so they have them for future use. Inform them that everyone should be subject to the same rules, regardless of their position.

7.2 MANAGEMENT COMMITMENT AND LEADERSHIP

A strong commitment to the program, effective management leadership, and a desire to enhance the workplace EHS culture are all necessary components of an effective EHS program. Businesses with strong EHS performance are characterized by leadership that will not accept a mediocre outcome. Although collaboration and agreement are crucial for gaining employee support for initiatives, management's dedication and leadership are ultimately what drive the process. The following items will be evaluated as part of the audit in order to gauge the organization's leadership and commitment to EHS:

- A current written EHS policy that outlines the employer's objectives, as well as the duties of managers, supervisors, employees, and the

employer. It also ensures that all organizational levels are aware of these individual obligations.

- A framework for holding EHS positions and responsibilities accountable at all organizational levels. What to do when a valuable employee deviates from the system is frequently one of the most difficult situations for any business.
- The programmer participation levels of workers and senior and middle management;
- The degree of knowledge and awareness of relevant laws that are suitable for an employee's needs.
- The amount of money set aside for EHS.
- The degree of dedication shown by senior management, including the CEO, to enhancing the EHS culture at work.

Organizations must be open and honest about the value of EHS in order to foster a culture of respect for it throughout the workplace. Proper worker engagement in all facets of EHS, including planning, execution, and daily operations, facilitates this transparency.

7.3 COMPETENT STAFF

EHS competency should not be considered an afterthought or an add-on, but rather an essential part of daily job activity. The only requirement is that a person's level of competence appropriate for their position and workplace. You must designate a "competent person" as an employer to assist you in fulfilling your EHS obligations.

Someone who is competent is not just someone who can perform a certain task safely. A competent person is often defined as having the abilities, background, and understanding required to manage an EHS system.

7.3.1 The role of a competent person

Employers are required to abide by all applicable EHS laws and rules. A legally binding obligation that cannot be transferred or assigned to another person. The majority of business owners, however, aren't EHS experts, which is why the legislation mandates that employers designate a helper.

Therefore, the competent person's job is to use their knowledge, abilities, and

experience to assist you in adhering to all applicable laws and regulations and, in the end, ensuring the EHS of the workplace, employees, clients, guests, and everyone else who might be impacted by activities.

The competent person or people must be able to recognize potential risks in the environment or under working conditions and must have authorization to act quickly to remove those risks.

Practically speaking, though, there are a few questions that need to be answered in order to determine whether someone may be deemed "competent":

- Have they completed any pertinent training, such as a programmer approved by the organizations that oversee EHS?
- Do they possess relevant knowledge?
- Do they possess the knowledge and expertise needed to create solutions to issues?
- Do they possess real-world experience?
- Are they acquainted with the company and what it does? For instance, they need to be aware of the risks associated with scaffolding if they are working on it.
- Have they been granted power? The person you choose ought to be able to either directly address any hazards or have the ability to persuade someone else to do so.

A competent individual should be able to identify risks in your company and assist you in putting reasonable controls in place to keep employees and other people safe. They should also possess the necessary knowledge, expertise, and abilities.

7.4 KEEPING UP TO DATE WITH LEGAL REQUIREMENTS

Ensuring safe workplaces for workers is crucial, but staying abreast of federal, state, and local laws pertaining to health and safety at work can be difficult. Every year it seems like new regulations are implemented, and employers are required to notify staff members and revise policies and processes accordingly. It can be beneficial to rely on the data supplied by reliable sources such as federal, state, and local organizations as well as EHS-related businesses.

For the most recent EHS at work laws, one can always rely on the EHS administration.

It offers a high-level summary of the rules that resulted from the EHS at work law, an introduction to recognizing and minimizing workplace hazards, and guidance on setting up an EHS program that includes employee training, documentation, and incident reporting.

There are numerous methods available for gathering current data, including:

- Get podcasts and industry newsletters.
- Check out the EHS website
- Talk to staff
- Review the current EHS policy on a regular basis
- Attend events
- Consult with experts

Recommended List of Readings

- International Health & Safety at Work. Hughes & Ferret -Sixth Edition. Publisher: Routledge
- www.osha.gov
- www.hse.gov.uk

Self-Assessment Questions

- Q.1) what are the common behavioral issues of safety during work?
- Q.2) Discuss the role of Leadership and commitment in EHS.
- Q.3) Why Education and Training is important in EHS?

UNIT-8

INCIDENT INVESTIGATION

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INTRODUCTION

Nearly every day, many types of incidents and mishaps occur both at home and at work. It is critical that workers conduct their own EHS investigations at work. You go through the steps of the investigation procedure with this.

Initially, information must be gathered, then analyzed, and finally, risk control strategies must be determined. An organization's EHS management is responsible for organizing, planning, controlling, implementing, overseeing, and reviewing its EHS policies and procedures. EHS investigations are therefore a crucial part of this procedure. This unit's topic will center on research, including its types, functions, and applications.

LEARNING OBJECTIVES

Following your study of this subject, you ought to be able to:

- Assist learners in understanding the significance of incident investigation, as well as its justification and methods.
- Use the incident investigation report to determine the risk management system's weaknesses.

In order to create a more user-friendly workplace, improvements and remedies for incident/accident-free organizations were also explored.

8.1 INTRODUCTION TO INCIDENT INVESTIGATION

A formal process for investigating incidents, including staffing, carrying out, recording, and tracking investigations of process safety incidents, is known as incident investigation.

- It is a procedure for reporting, tracking, and looking into incidents.
- The data trending of incidents and incident investigations to find incidents that keep happening.

The resolution and recording of the suggestions made by the investigations are also handled by this procedure. In certain establishments, personnel implicated in an incident are assigned responsibility using the incidents element. This method leads to the implementation of a recommendation that is ineffectual. Creating recommendations that deal with the systemic causes of the incidents is a more successful strategy. The events element is a process to create workable recommendations to solve the underlying causes of incidents that are related to the system, not a method to place blame.

Through incident investigation, facilities can learn from mistakes made over their lifetime and share those lessons with internal staff and other relevant parties. This feedback may be applicable to the particular incident under study or to a collection of incidents at one or more sites that have similar root causes, depending on the depth of the analysis. Businesses determine the proper frequency and combination of punishments for each kind of incident feedback process.

- Formal investigation (Root cause analyses [RCAs])
- Less formal investigation (apparent cause analyses [ACAs])
- Trending of incident data with no immediate investigation performed

Strictly focusing on the primary variables (also known as direct causes) of an incident may limit the amount of information that limited investigations can offer regarding the particular incident scenario. By addressing the underlying reasons for the incident, one can lessen its frequency and/or the fallout from future occurrences that are comparable.

Investigations are usually carried out and teams are led by individuals with formal training in RCA methodology or incident investigation. For event investigations with more significant ramifications and hazards, a multidisciplinary team is appropriate. Incidents with less effects and risk may be investigated by one person alone, or by a two-person investigative team.

Team members from around the organization support the inquiry group. In situations where serious injuries to people occur or where there may be regulatory ramifications, the legal department will usually take charge of the investigation's overall administration. The company's public affairs department should be involved in investigations as the main point of contact for journalists and other outside organizations.

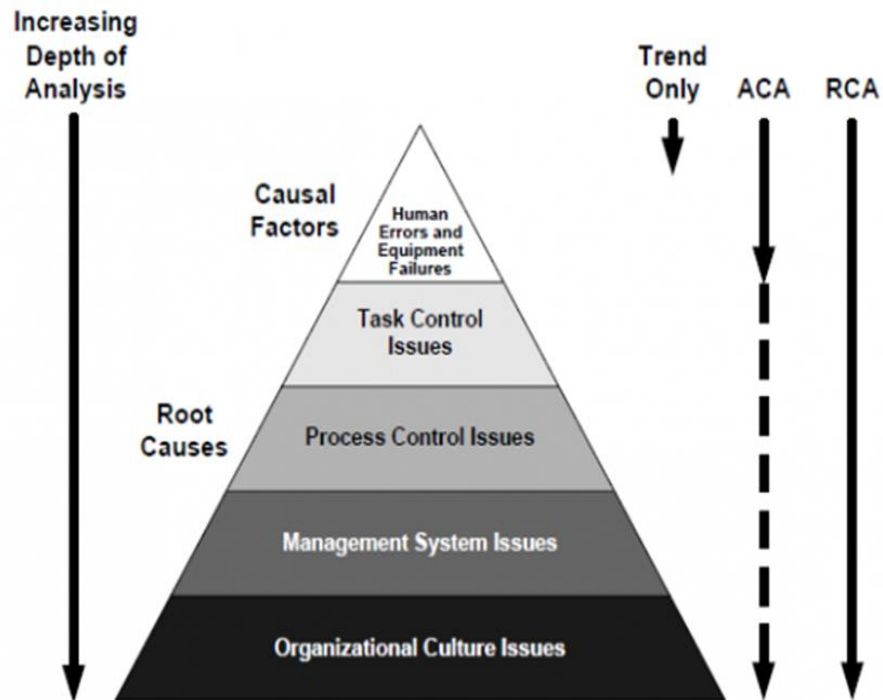


Figure: Incident Investigation Levels of Analysis

The main products of an incident investigation system are:

- Fundamental information about every incident that has been reported, even those that don't require an immediate inquiry (trend-only occurrences).
- Identification of the reasons for the occurrences under investigation
- Implementation of suggestions (lessons learned and action items) that will lower the likelihood of reoccurring incidents.
- Analysis reports for ACAs and RCAs. A standard incident report form should be used to record the findings of the inquiry.

8.2 FUNCTIONS OF INVESTIGATION

Outlining the prerequisites for the organization-level EHS incident investigation is the aim of this procedure. The managers, supervisors, or other individuals tasked with conducting incident investigations at work. It covers every occurrence that occurs within an organization when employees are working in both internal and external workspaces.

Anytime an employee or other individual is involved in a relevant incident, it needs to be reported, looked into, and remedial action needs to be done to keep it from happening again. Participation in the investigation may be mandatory for employees or other individuals. The procedure entails methodically gathering proof, evaluating information, summarizing results, and carrying out remedial measures. Important safeguards for a successful incident investigation consist of:

- Deciding on the goals and depth of the investigation: the investigation's scope and complexity should be commensurate with the risk associated with the occurrence.
- Facts and gathered evidence form the basis of analysis and conclusions.
- The management is in charge of making sure that incident investigations are conducted effectively and that the findings are put into practice.

Problems are looked into in turn to yield suitable remedial measures that reduce the likelihood of reoccurring problems. The incident risk rating and level established at the time of the incident determines the extent of the investigation and the types of instruments needed to finish it.

A Level 1 Investigation is necessary in cases of low- to medium-risk situations. The supervisor of the individual reporting or participating in the incident is responsible for looking into these situations. An organization's Action Plan serves as the documentation for Level 1 inquiries.

A Level 2 Investigation is necessary in the event that an incident is classified as having a "high" risk. The EHS Manager is responsible for looking into these situations and recording the results in the organization. The Basic Investigation tool can be used to document Level 2 investigations.

A Level 3 Investigation is necessary in cases where an incident qualifies as an "Extreme" risk or is notifiable to a regulator (or had a high probability of being notifiable). The EHS Manager is responsible for conducting a formal investigation in addition to reporting the occurrence and implementing corrective actions within the organization.

8.2.1 Investigation team

Although multiple individuals should be involved in investigations, Supervisors alone are required to finish Level-1 investigations. EHS Managers must finish Level 2 investigations. A team of investigators with the necessary qualifications is needed for Level 3 investigations, which are typically more complex. They need to be chosen carefully in order to guarantee a thoughtful and equitable result. To make sure the investigation satisfies all requirements and deadlines, a lead EHS investigator must be assigned.

8.2.2 Report requirements

Considering sensitivity and confidentiality, it is crucial to ascertain who will be reading the investigative report. When scheduling the collection of evidence, it is important to take the reporting deadlines into account.

8.2.3 Evidence collection and recording

a) Recording of evidence

To maintain integrity, evidence must be systematically recorded and classified. This is particularly important for investigations at Level 3.

b) Evidence collection

An incident investigation's supporting documentation must be fact-based. Rumors, conjectures, opinions, and hypotheses are not accepted as evidence and ought not to be employed unless additional research yields concrete proof in favor of them. If the individual evaluating the data is qualified to do so. For example, an engineer interpreting data on load-bearing issues the interpretation may be admissible as evidence.

Perishable and non-perishable evidence are the two primary categories. After an occurrence, perishable evidence such as recollection, the scene of the incident, and real-time recordings can quickly alter. Evidence that is non-perishable is defined as that which remains constant over time and includes things like training records and documents.

A site inspection can be used to gather evidence from the location. As soon as it's feasible, take pictures of the location to document any objects that have been left in place.

c) Interviews

Given that memory deteriorates quickly, interviews should be done as soon as

feasible after the incident and are a crucial component of the evidence used in investigations. Interviews ought to be arranged with:

- **Principal witnesses** – those directly involved in the incident.
- **Eyewitnesses** – those that directly observed the incident, or the conditions immediately preceding or following the incident.
- **General witnesses** – those with knowledge about the activities.
- **Subject matter experts (SME)** – those with a specific process or technical expertise.
- **Witnesses cannot be forced to provide an interview** – it is a voluntary process.

8.2.4 Documentation and Records

Records and documents can be gathered later because they don't expire. Records and documents gathered will vary based on the occurrence but may include things like risk analyses, safe operating guidelines, training manuals, and induction protocols, among other things.

8.2.5 Chain of Evidence

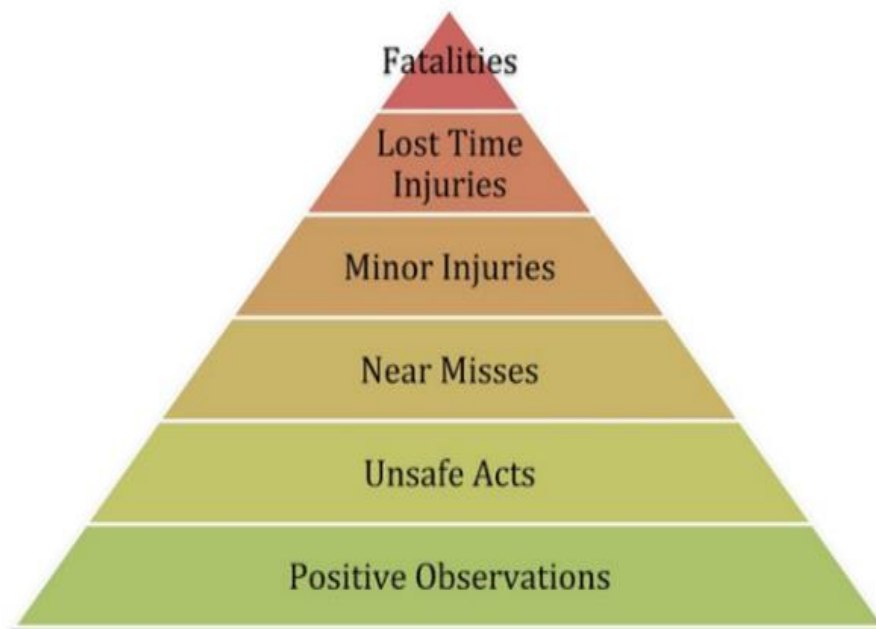
Evidence management needs to be under control and kept safe. To ensure that the chain of evidence is maintained, evidence should be categorized and overseen by a human. Every item needs to be classified together with the day and time that the evidence was gathered or obtained.

8.2.6 Analysis of Evidence

The process of obtaining facts (gathering evidence) and drawing conclusions are connected logically and methodically via analysis. The incident cause analysis method, or ICAM, is used in investigations and is backed by a number of templates. With the use of this technique, investigations can go beyond deliberate and inadvertent acts of human error (active failures) and uncover the context and underlying causes of those actions (latent conditions). It permits the examination of potential contributing elements, such as organizational characteristics, task/environmental conditions, individual or team decisions, and absentee or ineffective defenses (e.g., supervision, guards, etc.), that may have influenced the person to make decisions that resulted in an incident.

8.2.7 Conclusion and Recommendations

The facts and their interpretation will serve as the foundation for the findings. These will be supported by analysis techniques, interviews, and tangible proof. The recommendations will follow from the causative factors and have a clear connection to the data gathered.



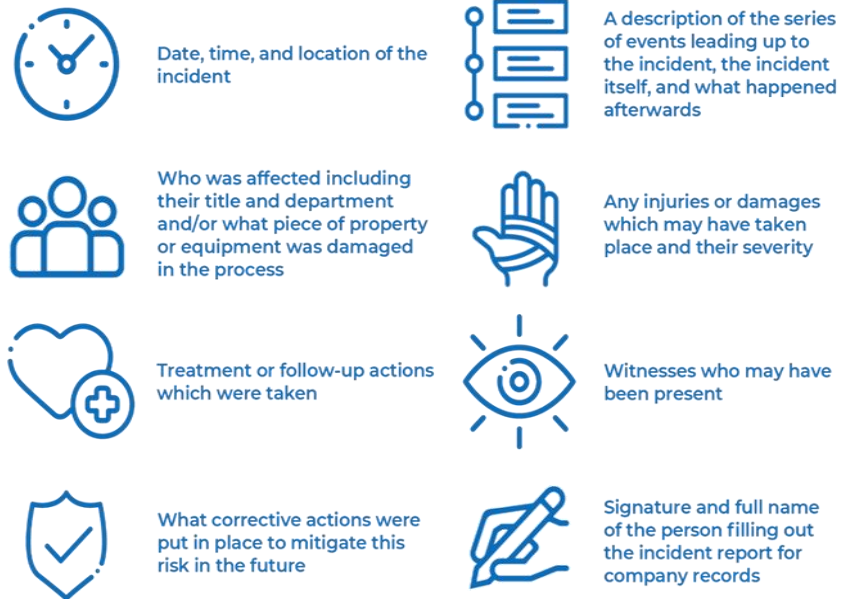
8.2.8 Report and action plan

Recommendations for corrective action must be provided when system flaws are found during the inquiry process in order to lower future risks and enhance health and safety performance. Within three weeks after the incident, action plans must be made and assigned to an individual in charge of carrying them out.

These suggestions need to be connected to the data gathered.

To guarantee that corrective actions are implemented satisfactorily, monitoring procedures must be established together with a timeframe for their

What to Include in Your Incident Report?



implementation. The supervisor must conduct a follow-up to assess the efficacy of the corrective activities and make any necessary adjustments for ongoing progress.

8.2.9 Investigation close-out meeting

After the report is finished, a meeting will be scheduled to go over the report

and go over the findings with the pertinent managers and supervisors. This makes it possible to agree on the action plan and guarantees that the right person is assigned to each corrective action, along with the agreed-upon execution timeline.

8.3 TYPES OF INCIDENTS

Every workplace needs to report incidents, but before writing an incident report, EHS managers need to be aware of the many safety categories and stress the value of positive observations. Continuous reporting is made easier with well-defined predefined categories. In their field activities, this will assist businesses in avoiding and mitigating potential occupational dangers.

8.3.1 Six distinct incident categories

Depending on their position, all potential work-related incidents can be categorized into six groups. Below is an illustration of these categories using a triangle with the most frequent observations or incidences at the bottom and the rarest ones at the top:

The top category is self-explanatory - The most serious occurrences that can occur in the workplace are fatalities. Injuries that result in a permanent or nonpermanent injury that keeps an employee out of the office for a while are included in the second category, "lost time injuries." These kinds of wounds can range from sprained ankles to amputations to fractured bones.

Just minor wounds and near misses are included in the titles. A minor injury is any incident in which the victim is harmed but is not required to miss work. Events that are close to but do not result in injury are referred to as near misses. Consider a scenario where a worker is nearby and a stack of wood panels falls off a shelf. Although he or she is not struck, there is a good chance that something more serious will happen.

Unsafe acts are actions and situations that may not directly endanger anyone but are nevertheless deemed to be problematic. Not donning a helmet on a building site is a prime example of dangerous behavior.

8.4 BASIC INVESTIGATION PROCEDURES

Because they enable Health and Safety personnel to identify areas where an organization's safety programme needs to be improved based on on-site incidents, incident reports are essential to fostering a safer work environment. This will support leaders in their efforts to develop a proactive, fact-based safety plan. You can safeguard more employees and ensure that they return home safely at the end of each workday by putting the proper procedures in place for reporting problems.

An event that may or may not have resulted in damage to a person, piece of company property, or piece of equipment is documented in an incident report by safety experts, such as a supervisor. Whether they are sentinel events or near misses, these incidents need to be documented in order to improve your safety protocol and reduce sickness and injury. Consider these reports as a tool to help you identify areas where your safety programme can be strengthened, making your workplace a safer place to work.

An Incident Report should include:

This report needs to contain information on the incident or unfavorable event, like the whereabouts, the time and date, the impacted parties, the course of action taken, etc.

The procedure of Conducting an Accident Investigation

In the event of an accident or injury at work, it is imperative to swiftly initiate an inquiry in order to acquire precise facts. "Unplanned, undesired event, not necessarily resulting in injury, but damaging to property and/or interrupting the activity in process" is how the National Safety Council (NSC) defines an accident.

Step 1: Assess the Injury

The first step in responding to a workplace accident is to determine whose employees have been hurt and how serious their injuries are. The employer must decide whether to seek emergency medical attention after determining the extent of the injury.

Step 2: Obtain Medical Treatment if Necessary

The employer may move on to Step 3 if first aid alone or no medical attention is needed. Depending on the severity of the injuries, the employer should have management accompany the worker to the closest emergency room or urgent care center, or they can phone 1122 to request medical help at the workplace. Varied states have varied rules when it comes to using panel physicians for non-emergency care in workers' compensation cases. It is imperative for employers to verify if the state mandates that workers choose from a roster of authorized physician panels or grants them the autonomy to select a medical facility or physician of their choice for treatment.

After that, the employer has to give the worker all the paperwork needed for medical care for injuries sustained at work. Any or all of the following forms may fall under this category:

- Consent document for medical treatment.
- The physician panel for workers' compensation.
- Return-to-work authorization following the doctor's approval.
- A copy of the work description (to be given to the doctor) for the employee.

- A copy of the light duty policy of the business.

Filling out these papers will give the employer important information that will enable them to decide how best to support the worker's return to work and encourage a speedy recovery from their injury.

Step 3: Interview Injured Employee and Witness (es)

Interviewing the wounded worker to learn more about the circumstances surrounding the injury including when, how, and why it happened comes next after the worker's medical needs have been met. The wounded worker has to fill out an incident report outlining the events leading up to the mishap. Every witness with direct knowledge of the accident should be questioned by the employer, and each witness should fill out a witness statement. Companies might also require the supervisor to fill up an incident report describing the mishap, including any history of the work environment that might have contributed to it and what they saw. During the investigation, some questions to consider asking could be:

- What was the worker doing when the mishap occurred?
- Was the worker competent to carry out this task?
- Were corporate policies being adhered to?
- Is the procedure or the job new?
- Were the right instruments or apparatuses utilized?
- Was the right kind of monitoring given?
- Before the accident, had the worker received training on this procedure?
- Where did the mishap occur?
- How was the weather at the scene when the accident happened? Was it hot or cold, was there any dirt or moisture outside, was there any debris in the way, or was the area clear?
- What were the witnesses engaged in at the scene of the collision?
- What quick or temporary measure could have lessened the impact of the accident or prevented it?

- What long-term or permanent measure could have reduced the impact of the accident or averted it?
- Had remedial measures been suggested previously but not taken?

Step 4: Observe the Accident Scene and Analyze the Facts

Employers should then view the accident scene and take pictures of everything that may have contributed to the mishap, such as items, wet floors, and equipment (e.g., an employee tripped over an exposed electrical cord, a filing cabinet drawer that was left open, or an uneven surface caused by a crack in the concrete floor).

To guarantee that the work area is safe for both employees and consumers, action plans should be put into place right once. Examples of these include flagging out malfunctioning equipment. While watching the scene, the HR specialist could try to find the answers to the following questions:

Why did the incident occur?

- What are the details of the incident? (This is the core task of the investigation: figuring out who, what, where, when, and why)
- Has the issue been resolved by a prior action? What was it, if any? What went wrong this time?
- What actions should be taken moving ahead to address the issue?
- Should the issue be resolved using a different approach? Is it possible to get rid of the incident's cause or causes?
- Any steps employers have taken to secure a dangerous workplace should be documented.

Step 5: File a Workers' Compensation Claim

Organizations should then get in touch with their insurance providers and submit a report on an injury sustained at work. Employers must also give statements and any other pertinent supporting paperwork, such as available doctor's notes, therapy and medical treatment statements, and a return-to-work statement, in addition to the information requested by the insurance company.

Step 6 : Follow Up

Once the accident inquiry is over, the employer should check in with the worker to see how they are doing. Should the worker be admitted to the hospital, a

representative of the company ought to pay the worker a visit. The employer should verify with the worker that no additional medical care connected to the accident is required if the worker first refuses medical attention.

Step 7: Corrective Action

The best course of action should be determined by considering ways to stop a recurrence and enhance the business's overall operations. Employers are required to follow their company's work rule violation policy and take necessary corrective action if an employee violates a major or minor safety rule.

Corrective action taken right away will guarantee workplace security and contribute to the decrease or elimination of work-related injuries. If a corporation has a safety committee, its members should examine the results of all accident investigations in order to formulate recommendations for suitable corrective action that would stop such incidents in the future. Extensive inquiries can assist employers in determining the reasons behind accidents as well as any patterns in accident patterns.

Recommended List of Readings

- NEBOSH UNIT IGC-1. Management of International Health and Safety
- www.nebosh.org.uk

Self-Assessment Questions:

- Q.1) Write down the reasons why Incidents occur.
- Q.2) What are the procedures to cater to while conducting an accident Investigation?
- Q.3) What are different Kind of Incidents?
- Q.4) Discuss are the main steps of an Incident report.

UNIT- 9

RECORDING AND REPORTING INCIDENTS

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INTRODUCTION

Writing incident reports is essential to an organization's understanding of the nature and function of various incident types. By identifying risks and areas of weakness in the organization's risk management system, the study assists in fostering a safe work environment. It also makes recommendations for enhancements and the development of a fact-based safety strategy. The report must outline the appropriate procedures followed so that the company can lower the frequency and guarantee that every employee returns home safely.

LEARNING OBJECTIVES

After studying this unit, you should be able to:

- Assist the student in understanding the significance of preparing an incident report following an investigation and the necessary steps to follow.
- Understand the specifics of gathering report data, the needs for its analysis, and how it should be shared with the appropriate authorities.

9.1 RECORDING AND REPORTING REQUIREMENTS

The purpose of risk recording and reporting is to ensure that all relevant stakeholders have a shared understanding of risks and risk management activities in due time. Risk reporting is an instrument for decision-making and for effective risk management. The risk reporting is synchronized with regular risk reviews and monitoring within the organization See Risk Monitoring and Review. A higher frequency of project risk monitoring and reporting might be necessary depending on the risk level and context (e.g., innovation projects or projects implemented in high-security risk context, etc.). Risk reporting ensures that relevant risk information is available across all levels of the organization in a timely manner to provide the necessary basis for risk-informed decision-making.

Risk reporting must be carried out on a semi-annual basis at a minimum. A higher frequency of project risk monitoring and reporting might be necessary depending on the risk level and context (.e.g, innovation projects or projects implemented in high-security risk context, etc.). The following reports are required:

- At the corporate level, an annual report to the Executive Group (EG) and semi-annual reports to the Risk Committee (whereby the second semi-annual report is replaced by the annual report) are required. The Risk Committee submits the annual risk report to the EG based on a strategic analysis of the IWP Risk Register.
- The IWP Risk Register is reviewed regularly by the Program Manager to inform decision-making. Risk management must be reflected in mid-term and final evaluations. Program Managers should also review and monitor projects' risks and reflect and incorporate relevant risks in the IWP risk register.
- At the project level, the project Risk Register is used for monitoring as often as needed, but no less than once a year. Reporting on project risk management is included in project progress reports (whatever the reporting cycle is) and reported to the Project Board. Risk management must also be evaluated and included in mid-term and final project evaluation reports.

In addition, ad-hoc reporting is often needed in crisis contexts or for High-level risks that are time-sensitive. The Risk Register is used to monitor these risks and inform ad-hoc reports. These reports must include an analysis of the risk, the initiated treatment/status and a call for action or request for assistance. Using its statutory power, UNDP maintains the right for partial disclosure of risks to the public to avoid any breach of its duty of confidentiality towards its beneficiaries or not to provoke any unwarranted losses of confidence towards its activities or its stakeholders.

Taking a responsible decision when to disclose risk-related information to avoid any breach of its duty of confidentiality towards its beneficiaries or not to provoke any unwarranted losses of confidence towards its activities or its stakeholders.

Risk reporting must be consistent with the size and complexity of each project and programmer and is guided by several key principles:

- **Governance:** Risk reporting is subject to strong risk governance arrangements. Senior management should review and approve risk reports.
- **Data and Accuracy:** Risk reporting reflects on risk profile with a sufficient level of analysis of risk and its dynamic over time. Risk reports must be based on reliable risk data.
- **Comprehensiveness:** Risk reporting should include exposure information about all critical risks across all relevant risk categories. It should also provide information about limits and risk appetite and propose actions to deal with risks.
- **Clarity and usefulness:** Risk reporting should communicate information in a clear manner, leaving no room for ambiguity or misinterpretations. Importantly, the risk reporting should ensure that the information included in the risk report is meaningful and tailored to the needs of different recipients. Next to regular risk reporting, the project or programmer team might have a special risk reporting to a special audience: board, one of the donors, etc.

How to record and report on risks

The format of risk reporting might vary from project to project and from program to program. However, what is important is to ensure that risk reporting is done based on the risk reporting principles highlighted above.

Either as stand-alone or as part of the project or program regular reporting, risk report should include the following:

- Scope and objectives of the report
- Overall risk status
- Top risks, actions, and owners
- Changes since the last review

- Conclusions and recommendations
- Appendix: Complete risk register

9.2 REPORTING OF EVENTS TO EXTERNAL AGENCIES

Rather than coming from management or safety experts, first reports are frequently provided by the frontline staff who were immediately involved in an incident or the acts that preceded it. Therefore, in contrast to more active forms of surveillance like direct provider observation or chart review employing trigger technologies, voluntary event reporting is a passive kind of monitoring for near misses or risky conditions.

The students will discuss the Patient Safety Primer Detection of Safety Hazards and provide a detailed discussion of other methods with tutor during lecture sessions.

Features of Systems for Reporting Incidents

Four essential characteristics of a successful event reporting system are:

- The institution needs to provide a welcoming atmosphere for event reporting while safeguarding the confidentiality of employees who report incidents.
- Reports ought to come in from a variety of staff members.
- Timely distribution of summaries of incidents that have been reported is required.
- There needs to be a formal process in place for analyzing reports and creating action plans.

While traditional event reporting systems have been paper base technological enhancements have allowed the development of Web-based systems and systems that can receive information from electronic medical records.

Specialized systems have also been developed for specific settings, such as the Intensive Care Unit Safety Reporting System and systems for reporting surgical and anesthesia-related errors.

Voluntary event reporting systems need not be confined to a single hospital or organization. For example, the United Kingdom's National Patient Safety Agency maintains the National Reporting and Learning System, a nationwide voluntary

event reporting system, and the MEDMARX voluntary medication error reporting system in the U.S. has led to much valuable research.

The advantages of voluntary event reporting systems include their relative acceptability and the involvement of frontline personnel in identifying safety hazards for the organization. Because event reports usually are submitted by personnel involved in the events themselves, these caregivers may have legitimate concerns about the effects reporting will have on their performance records.

Voluntary event reporting systems are generally confidential, in that the identity of the reporter is known, but legal protection is provided unless professional misconduct or criminal acts took place. Some systems, such as the ICU Safety Reporting System, are entirely anonymous neither the patient nor the reporter can be identified.

Studies of electronic hospital event reporting systems generally show that medication errors and patient falls are among the most frequently reported events.

Using Event Reports to Improve Safety

The best use case for event reporting systems is to pinpoint problems that need more thorough examination. However, the use of event reporting can indicate a positive EHS culture in a company. Without a clear strategy for investigating reported incidents, organizations should avoid encouraging event reporting.

9.3 DATA COLLECTION, ANALYSIS

Occupational accidents are mishaps that occur at work or while working. Accidents are temporally restricted events that cause harm or death to the body by an external impact. Also included are mishaps that occur during direct commutes to and from the place of employment.

Occupational accident classification

It's best to categorize incidents based on how serious they are:

- **Accident that is reportable (severity category 1)**

Although counting each individual accident would boost the statistical data's information worth, this approach frequently proves to be unfeasible due to the time and resources needed to record and enter the data. Determining a threshold for reportable accidents is therefore advised.

- **Paid or catastrophic mishap (severity category 2)**

Another group counts accidents that result in compensation, such as pensions, where a compensation fund is available. This category of accidents also includes more serious incidents.

Fatal mishap (severity classification 3)

Death doesn't usually happen right away following an accident; depending on how severely hurt they were, the victim may pass away while receiving hospital care.

9.4 OCCUPATIONAL DISEASES

As with the previously discussed occupational accidents and commuting accidents, occupational diseases also must be defined within the framework of national legislation. The ILO's List of Occupational Diseases Recommendation, 2002 (No. 194) calls for "a national list of occupational diseases for the purposes of prevention, recording, notification and, if applicable, compensation should be established by the competent authority, in consultation with the most representative organizations of employers and workers, by methods appropriate to national conditions and practice, and by stages as necessary."

The German practice of adopting the ILO definition in national legislation is proven and reliable. It defines occupational diseases as:

- diseases acquired during work
- according to medical science having been triggered by exposure at work significantly
- higher than that of the average population
- classified by legislation.

A national list of all occupational diseases has been defined by German legislators. Diseases not included can be compensated in the same way in Germany if according to the latest medical scientific knowledge, these diseases meet the other conditions listed above. Statistics should take into account the following categories:

- suspected cases of an occupational disease
- confirmed cases of an occupational disease
- compensated cases of an occupational disease
- occupational disease with fatal consequences

In assembling and interpreting statistics, one must keep in mind that many occupational diseases, such as those due to noise at work, crystalline silica or asbestos dust, only show their onset years or decades after exposure has ended. Suspected, confirmed or compensated cases therefore often reflect the workplace situation of many years ago and don't necessarily reflect the current state of health protection at work.

Special care is needed when interpreting reported suspected cases, as the ratios can significantly vary from those of confirmed cases. Examples are noise-induced occupational diseases in contrast to degenerative hardness of hearing or those caused by environmental noise outside work.

9.5 DOCUMENTATION, REPORT WRITING & COMMUNICATION

9.5.1 Reports

Reports are designed to record and convey information to the reader and can be used both internally and externally. Reports serve to document new information for specific audiences, goals, or functions. The type of report is often identified by its primary purpose, as in an accident report, a laboratory report, or a sales report. Reports are often analytical or involve the rational analysis of information. Sometimes they report the facts with no analysis at all. Other reports summarize past events, present current data, and forecast future trends. This section will introduce you to the basics of report writing.

9.5.2 Types of reports

Reports come in all sizes but are typically longer than a page and are somewhat shorter than a book. In this chapter, we're focusing on short reports. The type of report depends on its function, and different industries have reports specific to them. For example, science researchers write lab reports, while incident reports are common in health and safety environments.

Reports vary by function, style, and tradition. Within your organization, you may need to address specific expectations. This section discusses reports in general terms, focusing on common elements and points of distinction. Reference to similar documents at your workplace may serve you well as you prepare your own report.

9.5.3 Progress report

A progress report is used to give management an update on the status of a project. It is generated at timed intervals (for example, once a month) or on completion of

key stages. It records accomplishments to date and identifies any challenges or concerns. It is usually written by the project lead and is one to two pages long.

9.5.4 Recommendation report

A recommendation report is used to help management make decisions. The goal of this report is to identify a solution to a problem or suggest a course of action. In it, the writer might suggest that a procedure be adopted or rejected, assess an unsatisfactory situation, or persuade decision-makers to make a change that will benefit the organization. For example, the report might suggest ways to enhance the quality of a product, increase profit, reduce cost, or improve workplace conditions. The intention of a recommendation report is not to assign blame or be overly critical, but to suggest improvements in a positive manner.

9.5.5 Summary report

A summary report is used to give management information. For example, if you work in the marketing department, your boss might ask you to find out about your competitors' online activities so that your company can effectively compete with them. To do this, you would research your competitors' websites, social media profiles, digital advertising campaigns, and so on. You would then distill what you find down to the key points so that your boss can get the essential information in a short time, and then decide how to act on it. Unlike the recommendation report, the summary report focuses on the facts, leaving it to management to decide on a course of action.

9.5.6 Report organization

Reports vary by size, format, and function. You need to be flexible and adjust your report to the needs of the audience. Reports are typically organized around six key elements:

- Who the report is about and/or prepared for
- What was done, what problems were addressed, and the results, including conclusions and/or recommendations
- Where the subject studied occurred
- When the subject studied occurred

- Why the report was written (function), including under what authority, for what reason, or by whose request
- How the subject operated, functioned or was used

Pay attention to these essential elements when you consider your stakeholders. That may include the person(s) the report is about, whom it is for, and the larger audience of the organization. Ask yourself who the key decision makers are, who the experts will be, and how your words and images may be interpreted. While there is no universal format for a report, there is a common order to the information. Each element supports the main purpose or function, playing an important role in the transmission of information. Some common elements in a report are shown in the Table below:

Page	Description
Title page	Report title; date of submission; name, title, and organization of the person who prepared the report; name, title, and organization of the person receiving the report. No page number.
Table of contents	A list of the sections in the report and their respective page numbers. All headings/sub-headings in the report should be listed on this page.
Executive summary	Summarize the topic, methods, data/evidence, results, and conclusions/recommendations. On its own page.
Introduction	Introduces the topic of the report, states the purpose of the report, and previews the structure of the report. Begins on a new page.

Body	Key elements of the report body may include the background, methods, results, and analysis or discussion. Uses descriptive or functional headings and sub-headings (is not labelled “Body”). Pagination continues from the introduction.
Conclusion and/or recommendations	Concise presentation of findings and/or recommendations. Indicate the main results and their relation to the recommended action(s) or outcome(s). Pagination continues from the body of the report.
References	A list of all references used in the report. All in-text citations included in the report should have an accompanying entry in the reference list. Begins on a new page. Pagination continues from the conclusions and/or recommendations.
Appendix or appendices	Related supporting materials. All materials in the appendix (or appendices) must be referred to in the body of the report. Only one item per appendix. Each appendix begins on a new page, is labelled as Appendix A, B, C, etc, and is given a title. Pagination continues from the reference list.

Here is a checklist for ensuring that a report fulfills its goals:

- Report considers the audience’s needs
- Form follows the function of the report
- Format reflects institutional norms and expectations

- Information is accurate, complete, and documented
- Information is easy to read
- Terms are clearly defined
- Figures, tables, and art support written content
- Figures, tables, and art are clear and correctly labelled
- Figures, tables, and art are easily understood without text support
- Words are easy to read (font, arrangement, organization)
- Results are clear and concise
- Recommendations are reasonable and well-supported
- Report represents your best effort
- The report speaks for itself without your clarification or explanation

Formatting a report

Make it easier for your reader to understand the information in your report by formatting your document cleanly. Here are a few guidelines:

- Use size 10-12 pt type in a standard business font, such as Times New Roman, Arial, or Calibri
- Use a minimum of 1-inch margins on all sides
- Use headings and sub-headings to divide the content into clear sections
- Separate paragraphs using white space
- Use visuals (such as charts, graphs, or diagrams) where they will help in explaining numbers or other information that would be difficult to understand in text form.

Recommended List of Readings:

- Improvement of National Reporting Data Collection and Analysis of Occupational Accidents and Diseases (International Labor Office, Geneva)
- WHO Draft Guidelines for Adverse Event Reporting and Learning System.
- www.info.undp.org

Self-Assessment Questions:

- Q.1) What are the fundamental prerequisites for composing an incident report?
- Q.2) What are the Fundamentals of Risk Reporting?
- Q.3) Describe the features of the incident reporting system in writing.
- Q.4) Talk About How Occupational Accidents Are Classified?