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HEALTH AND SAFETY EXECUTIVE

Senior Management Team

Update on the work of the Strategy Action Teams (SATs)

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Issue

1. To update the SMT on the new proposals being developed by the SATs to help deliver the strategy goals (see annex 1).

Timing

2. Routine.

Recommendation

3. The Senior Management Team considers whether, taken together, the proposals set out in the attached annexes demonstrate that HSE is responding effectively to the challenges set out in the new strategy.

Background

4. At its meeting on 7 October, the SMT decided to defer the discussion on the work of the SATs to the November SMT meeting (see SMT/09/101).

Argument

5. The attached annex contains a one-page summary of the main initiatives being developed by four of the five SATs – SME, leadership and worker involvement, competency, and avoiding catastrophe. The work of the healthier workplace SAT has developed significantly and is the subject of a separate paper for discussion at this meeting (see SMT/09/119). We have not included a healthier workplace summary page in this paper.
6. HSE's 2009/10 business plan was well received by the HSE Board and Ministers. It was presented as a transitional plan with a commitment to develop ideas during 2009 for inclusion in 2010/11 plan and so raised expectations. To help you consider whether HSE's response to delivering the strategy will meet that commitment, a table analysing the SAT initiatives is in annex 2. It does not include the work of the Healthier Workplace SAT.
7. The HSE Board agreed the proposal for more structured reporting on delivering the key strategy goals at its meeting on 21 October. Between now and March, the SMT will also consider each key strategy theme. You may want to seek assurance, as part of those discussions, that the SATs' proposed ideas/initiatives have an agreed lead to develop detailed proposals.

Consultation

8. Consultation has taken place with PFPD and SAT Chairs/Champions.

Presentation

9. None.

Costs and Benefits

10. The costs and benefits of SATs ideas will be considered by the lead D/D responsible for developing the detailed proposal.

Financial/Resource Implications for HSE

11. See 'Resources' under each of the strategy themes in Annex 1.

Environmental implications

12. N/A

Action

13. The SMT is invited to consider whether the initiatives demonstrate a robust response from the SATs in identifying a mix of new and sustainable initiatives.

Customising support for SMEs (see also SMT/09/117)

Introduction

1. The new Health and Safety strategy goal reflects the difficulties SMEs experience in accessing, understanding and implementing guidance on proportionate health and safety management. Reaching and influencing this audience is a considerable challenge given the large number of SMEs (~ 5 million) and their diverse attitude and approach to seeking help.

Main initiatives

2. Developing an environment over the next 5 years where SMEs are enabled and empowered to better manage their h & s is the key objective. A range of work across HSE and LAs to influence SMEs is already in hand for 2009/10, and the SAT has developed a prioritisation framework to establish a more coordinated and longer term approach. On this basis the following 4 priorities have been identified to be taken forward :

a) **Production of fit for purpose information and guidance, badged specifically for SMEs and presented in an accessible format through relevant channels.**

Aimed principally at the low-medium risk businesses this guidance will become the definitive advice for SMEs. Describing the ‘what’ and ‘how’ of complying with duties it will be market tested with customers and stakeholders, including relevant employee representatives, and be clearly identifiable (branded). This phase will be complete by March 2010. A concerted campaign with all delivery agents, including LAs, intermediaries and government websites to make this resource accessible will be developed and rolled-out during 2010-2012. An innovative approach to channel selection, including using modern media will also be employed, e.g. using ‘Hero’ brands to deliver messages and novel digital approaches to marketing such as BT’s **tradespace** and the London Business Network’s Olympic website – **competefor**.

b) **Production of SME-friendly sector specific guidance for key HSE and LA enforced “at risk” sectors.** This work will build upon the review of general guidance (above) and employ the same approach to developing clearly identifiable, definitive advice and effective delivery. The work will focus on two industries within the Manufacturing sector in the first instance, to gain an appreciation of the scale and resource required and will be complete by end 2010/11. Future plans for transforming sector guidance will then be developed.

c) **Specific mechanisms to engage SMEs by face-to-face intervention.** Key “at risk” sectors identified by the prioritisation framework will continue to be targeted for resource intensive face-to-face interventions by HSE and LAs and stakeholders to improve competence and confidence. Improved stakeholder mapping and segmenting tools will enable even better targeting and joined up working.

d) **Targeted enforcement based engagement with rogues elements in key “at risk” sectors.** For this subset of SMEs enforcement will be the default intervention. Work is underway to build on existing initiatives and explore joined up approaches with other regulators based on shared data for those displaying unacceptable behaviour.

Resources

3. The direct costs so far in pursuing the Strategy goal have been met from existing resources. Across HSE there are a range of current and planned initiatives that will

be delivered within HSE's existing budget allocations for the 2009/10 and 2010/11 work years. An additional 1 x FTE Communications Project Manager post to develop and deliver the engagement campaign with delivery agents (workstream (a)) will be funded from the Communications Directorate's budget for the 2010/11 work year with potential funding for 2011/12. As further initiatives are identified and more detailed plans are developed, the appropriate mechanisms for obtaining any additional funding (if required) over and above indicative allocations will be followed.

The need for Strong Leadership

Introduction

1. A goal of the strategy is *to encourage strong leadership in championing the importance of, and a common-sense approach to, health and safety in the workplace; and to focus on the core aims of health and safety.* In June 2009 the Board was informed of HSE's early response to the strategy.

Main initiatives

2. Following the Board's steer, further development work has led to a clear package of work emerging for 2010/11 that comprises:

a. Strategic Co-ordinators (previously called national account managers). There is already a wide range of senior strategic relationships with large organisations. HSE will however build a modest but worthwhile increase in this portfolio, with a particular focus on the leadership objective of the strategy. The new relationships will be a mix of those with potential strategy/partnership benefits, and those aimed at health and safety performance improvement. The list of those who made the strategy pledge will provide a useful quarry for these new relationships. We are aiming to establish a "cohort" of senior staff, including those with existing relationships, to help shape the initiative and to share experiences. This initial cohort will number around 20-25.

b. Tailored approaches to industry sectors with the aim of enabling the industry leaders to take the initiative to improve health and safety performance. Work is ongoing in a number of sectors to plan initiatives for 2010/11. The board asked that we prioritise the public sector and, in particular, local authorities and their leadership role across all facets of business – ie as co-regulators, employers, commissioners of services and clients for infrastructure/construction work. We have begun work on how best to take this forward and will come back to the Board.

c. Put the assessment of leadership and effective management of both health and safety at the heart of inspection by end of 2010/11. HSE Inspectors and LA officers already use a range of techniques to influence Directors. We will ensure that there is a coherent support package for inspectors that draws together existing practices, with any necessary benchmarks, enhanced guidance, training and mentoring to provide confidence that current best practice is applied consistently. The initial view is that there is the existing support may need some reinforcing, FOD will run a workshop to confirm this and identify any gaps that may need to be addressed

3. All of the above work will be supported by a **package of research and work with partners to build on *Leading Health and Safety at Work* guidance, to better define and communicate what effective leadership behaviours** for both health and safety look like in practice (eg producing examples of best practice). This will allow us and our partners to develop further tools to help equip leaders to deliver the strategy, and inspectors and others to assess organisations' H&S leadership capabilities (and will also be underpinned by work on revision of HSG65 – see Competence Annex).

Resources

a. Strategic Co-ordinators –20-25 organisations @ ~£3 - 10k per organisation per year = £143k per year.

- b. Sector work – further costing work required.
- c. Inspection – Plan is to deliver briefings by using existing cascade meeting time. New guidance ~ £15k. Further resource may be required (not yet costed) if FOD gap analysis indicates further support/training is needed. Resource to deliver any support required by LAs not yet costed.
- d. Additional – research budget ~£20k (this is an initial figure and is a very early estimate). Partnership and communications work ~£50k.

The Directorate leading on developing the proposal will consider funding for work being taken forward into 2010/11.

Involving the workforce

Introduction

1. HSE's strategic goal on worker involvement reflects the evidence that effective consultation is associated with lower levels of injury. HSE is working with Local Authorities and other stakeholders to reinforce and promote this area.

Main initiatives

2. HSE Divisions and Directorates have considered how they can reinforce and promote worker involvement and the Leadership & Worker Involvement Strategic Action Team (L&WISAT) has been instrumental in coordinating the following activity (divided into three categories):

- I. **Specific interventions.** Delivery of these is dispersed across HSE with information sharing and any necessary coordination through the L&WISAT. These interventions include sector specific campaigns (e.g. construction and dermatitis risks in hairdressing); risk specific initiatives and geographically centred initiatives (e.g. East and South East's Estates Excellence project aimed at improving standards in targeted industrial estates).
- II. **Inspection and enforcement.** Increasing awareness of the power of involvement as a means to improve health and safety with FOD inspectors and, wherever relevant, making it a component of every preventative contact.. In addition this will be supported by an updated worker involvement inspection topic pack including a fresh look at ways of enforcing worker involvement.
- III. **Communication activity.** This will include new and revised guidance aimed at specific audience groups, such as offshore guidance to improve the extent and quality of worker involvement and to promote a positive workforce safety culture.

3. **Worker involvement training initiatives.** The Board paper in April (HSE/09/43) proposed an initiative comprising a communications campaign; subsidised basic safety representative course; follow on support for new representatives and joint training for safety representatives and first line managers. Training elements include "soft" people skills development as a key component. Pilots to trial the new training courses in construction and manufacturing sectors are running throughout Autumn 2009 with current tendering activity leading to a January 2010 launch of the full package of work.

Resources

4. In relation to the training initiatives, HSE staff costs in C-CID, CD, CSAG and PFPD for the two year duration are estimated at £674k. A further £4m has been allocated to the delivery of the training initiatives and supporting communications. Further costing work is required regarding resource implications for the wider HSE initiatives planned for 2010/11. The cost of these will depend on the results of early evaluation of pilots.

Building Competence

Introduction

1. A goal of the strategy is *to encourage an increase in competence, which will enable greater ownership and profiling of risk, thereby promoting sensible and proportionate risk management*. This is potentially a huge area of work encompassing competence of the regulators (HSE and LAs), competence for H&S management and basic understanding of risk as a life skill. It also cuts across all of the themes of the strategy.

Main initiatives

2. At this stage, we have concluded that three areas should be the focus for further efforts:

- a) **Competence of the regulators to deliver the strategy:** We will review whether the existing skills across HSE properly equip us to effectively tackle the strategy themes and to assist LAs (as appropriate) to do the same.
- b) **Competent advice for employers:** There is common agreement that many employers (particularly small firms) feel confused about H&S law and that advice they receive does not necessarily help them. We are commissioning **research** to provide insight to inform the following work (initial results in spring 2010).
 - i) FOD will develop a **competent advice toolkit** to define the issues, provide benchmark standards for inspection and enforcement expectations.
 - ii) C-CID is **facilitating work by the professional bodies to carry out a feasibility study for an accreditation scheme for H&S professionals**.
- c) **Competent management for health and safety:**
 - i) The **managing for H&S project** will focus on refreshing and reinvigorating the regulator's position on managing for H&S. It is expected to deliver a package of work, including a statement of the core elements for managing for H&S and a refreshed and 'reduced' Successful H&S Management (HSG65).
 - ii) The competence of employers, managers, supervisors and employees (especially representatives) to play their part in the management of H&S is a key aspect of all policy development, guidance and enforcement across HSE and LAs. We need to **further consider whether there is an opportunity to improve the impact of work on the competence of individuals** eg by making links between work within HSE, with LAs and with others who can influence.

3. We will seek to bring greater clarity and activity to these areas, including consideration of communications. When these are better defined we will return to the Board for your fuller consideration.

Resources

4. Many areas are not sufficiently developed to provide estimates for resources but we can be specific on the following:
- a) Competent Advice Research – In 09/10 – 1st stage £10k, then 2nd stage £40k, if required.
 - b) Competent advice toolkit - ~£15k staff + small communications costs (assuming it is delivered by the intranet/GRIP)
 - c) Accreditation scheme – In 09/10 we have committed £20k staff + £48k feasibility study [further costs will depend on the decision about how this might be taken forward following the results of the study]
 - d) Managing for H&S project - £213k staff + £85k research.

Creating healthier workplaces

Please see SMT/09/119

Avoiding Catastrophe

Major hazard industries

1. The Nuclear (ND) and Hazardous Installations (HID) Directorates will continue to deliver their statutory permissioning regimes and significant regulatory programmes aimed at preventing major accidents and minimising their consequences in major hazard (MH) industries, including the provision of advice to Local Authorities on developments in the vicinity of MH installations.
2. ND and HID's strategies will continue to focus effort on the key challenges facing the industries they regulate including the proposed nuclear new-build programme, de-commissioning, implementation of the Buncefield recommendations, ageing plant, ensuring the competence of the workforce, and emerging energy technologies. Process safety leadership across MH industries and the drive to increase the use of leading and lagging key performance indicators will also feature large as well as contributing to the HSE Strategy Leadership Goal.
3. ND and HID will also continue their programmes of organisational and process change and improvement in the light of the above environment, eg. the creation of the Nuclear Statutory Corporation and in HID, COMAH Remodelling.

Maximising impact across MH regimes

4. The Directorates programmes will also include initiatives involving continued and more closer working where there are opportunities to learn from their respective permissioning regimes and industry sectors with a view to developing methodologies, standards and regulatory approaches aimed at maximising impact, efficiency and effectiveness across the MH regimes. This will also involve engagement with other MH regulators eg. ORR, CAA.

A more coherent approach to MHs across industry sectors

5. There is also significant scope for sharing MH approaches and developing a more coherent approach to avoiding catastrophe in all industry sectors. This complements and broadens the approach adopted in response to ICL with respect to LPG hazards, and in some instances builds on work being progressed under ICL Response Programme. Looking ahead, Emerging Energy Technologies (eg. hydrogen fuels and CCS) may also be deployed initially in the FOD and LA enforced sectors.

New initiatives

6. Three workstreams have so far been identified that can be taken forward quickly and have the potential to improve awareness of and the management and control of catastrophic potential in non-MH industries (HSE and LA enforced). They are:
 - A scoping study to identify the scale and nature of major accident potential in industries not subject to MH regimes to provide a key part of the evidence base to inform future regulatory and stakeholder engagement strategies, and HSE capability needs.
 - Building on existing work and developing the thinking on the features and regulatory benefit of permissioning regimes, and to develop tools and techniques for duty holders in non-MH industries to better identify, assesses

and manage catastrophic potential, and for regulators to judge proportionate intervention strategies.

- Creation of a 'storyboard' of lessons learned from past incidents with a view to encouraging the sharing of learning from major incidents across non-MH industry sectors.

Resource

7. The resource required to deliver this initial phase of work is currently being determined. Early proposals/estimates are as follows:

- Catastrophic potential scoping work: OPSTD STSU lead with support from others in OPSTD, HID CID and SID and CSAG. Small FOD resource (c. 5 staff-days) in peer reviewing initial data capture.
- Lessons from permissioning regimes: HID and ND lead. Delivered through existing operational strategy capabilities with input from STSU. Some HSL input on evaluation/benefits realisation
- Story-board of incidents: Potentially delivered by way of an extension to work recently proposed for FOD by the HSL Knowledge Management Team and funded by CSAG

Summary of key initiatives (not including healthier workplaces)

Type of initiative	Strategy theme	Initiative
Frontline/Sectors	SME SME Leadership Leadership Leadership Workforce Workforce Competency	<ol style="list-style-type: none"> 1. Face to face interventions re: at risk sectors 2. Targeted enforcement, eg rogues 3. Tailored approach to industry sectors, prioritising LAs and public sector 4. Strategic coordinators (mainly operational senior managers, but open up to others) 5. Leadership at heart of inspection (links to workforce and competency) 6. Specific interventions including sector specific campaigns, risk specific and geographical. 7. WI inspection topic pack, including a fresh look at ways of enforcing 8. Review competency of regulators (inc. LAs)
Guidance/Tools	SME SME Workforce Competence AC	<ol style="list-style-type: none"> 1. Produce fit for purpose information and guidance, badged specifically for SMEs. 2. SME-friendly sector specific guidance 3. New and revised guidance aimed at specific group eg offshore 4. Managing for H&S project – package of work, including refreshed and reduced HSG65 5. Develop tools/techniques for duty-holders in non-MH industries
Research/scoping studies	Leadership Competency AC	<ol style="list-style-type: none"> 1. Package of research to build on existing guidance to better define effective leadership 2. Research to inform competent advice toolkit and accreditation of H&S professionals work 3. Scoping study to look at scale and nature of major accident potential in non-MH regimes
Training/accreditation	Workforce Competency	<ol style="list-style-type: none"> 1. Worker involvement training initiative 2. Facilitating feasibility study for an accreditation scheme for H&S professionals.