Evaluation of guidance for directors and board members

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In late 2007, the Health and Safety Executive (HSE) and Institute of Directors (IoD) jointly published guidance for directors encouraging them to lead on health and safety in their organisations; the publication was entitled '*Leading Health and Safety at Work: leadership actions for directors and board members*' (INDG417) .

Databuild Ltd was commissioned by the Central Office of Information (COI) to conduct research on behalf of the HSE to establish:

■   The level of awareness of the new guidance among its target market.
■   How directors and board members had heard about and accessed the guidance.
■   The number of directors that have read the guidance.
■   Whether the guidance is considered relevant and influential.
■   Whether action has been taken (or planned) as a result of the guidance.

This report outlines the key findings from the research and identifies opportunities for the Health and Safety Executive to further promote the guidance.

HSE Books

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1   EXECUTIVE SUMMARY

1.1   INTRODUCTION

The Health and Safety Executive (HSE) aims to protect people's health and safety by ensuring risks in the changing workplace are properly controlled. The HSE does this through research, information and advice, promoting training, new or revised regulations and codes of practice, inspection, investigation and enforcement[2].

In October 2007, the HSE and Institute of Directors (IoD) jointly published guidance for directors encouraging them to lead on health and safety in their organisations; the publication was entitled '*Leading Health and Safety at Work: leadership actions for directors and board members*' (INDG417)[3]. The guidance sets out an agenda for the effective leadership of health and safety and is designed for use by all directors, governors, trustees, officers and their equivalents in the private, public and third sectors across Great Britain[4]. It has also been endorsed for use in Northern Ireland.

The guidance has been distributed via four routes:
1. It has been sent to all 52,000 IoD members
2. It was included in 1,000 delegate packs at the Confederation of British Industry (CBI) Conference
3. A further 30,000 hard copies have been issued by HSE books (end March 2008)
4. The guidance is available on the HSE website both as a PDF version of the guide for download and as a series of web pages. This area of the site has had 50,000 hits (end March 2008) – some of these will have resulted in downloads of the guide.

In order for the HSE to consider where and how to address further promotion of the guidance to directors and board members, research was undertaken to assess the current levels of awareness of the publication, and to determine ways of increasing its distribution and penetration among directors and board members. The key aims of the research were to determine:

- The level of awareness of the new guidance among its target market
- How directors and board members had heard about and accessed the guidance
- The number of directors that have read the guidance
- Whether the guidance is considered relevant and influential
- Whether action has been taken (or planned) as a result of the guidance.

Databuild was commissioned by the Central Office of Information (COI) to conduct this research on behalf of the HSE. Databuild Ltd is a market research consultancy specialising in researching businesses for government and the public sector. Further information about Databuild can be found at http://www.data-build.co.uk.

This report outlines the key findings from the research and identifies opportunities for the Health and Safety Executive to further promote the guidance.

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[2] *The Health and Safety Executive website, 'About the HSE' (http://www.hse.gov.uk/aboutus/index.htm)*
[3] *We refer to INDG417 throughout this report as 'the guidance'; it can be accessed via the HSE website: http://www.hse.gov.uk/leadership/*
[4] *Institute of Directors and Health and Safety Commission., Leading health and safety at work; leadership actions for directors and board members (Published by the Health and Safety Executive,10/07) p.1*

1.2 METHODOLOGY

The research comprised a quantitative telephone survey of 1,600 organisations in Great Britain (England, Scotland and Wales) across the public, private and third sectors; organisations with less than five employees were excluded as the guidance is not intended for use by directors with no or few employees.

The individuals spoken to in the survey were directors or board members within organisations, either:

1. The board level person with specific responsibility for health and safety; or
2. Another person at board level where no-one on the board has specific responsibility for health and safety.

The data have been weighted using market data provided by the Office of National Statistics (ONS) to enable conclusions to be drawn about the population of all organisations in Great Britain with five or more employees in the sectors covered by the research. All of the results presented in this report are weighted unless otherwise stated.

1.3 SUMMARY OF RESULTS

We estimate that by September 2008 a quarter (25%) of organisations in Great Britain with five or more employees are led by directors who are aware of the guidance. The findings indicate that around half of these (13% of all organisations in Great Britain with five or more employees) have read the guidance (~53,000 organisations), with the majority having read the guidance in hard copy format.

Figure 1 below summarises the estimated level of awareness and use of the guidance among directors and board members of organisations in Great Britain with five or more employees in the sectors covered by the research[5]; it illustrates:

- the estimated number and proportion of organisations who are aware of the guidance
- the estimated number and proportion who have read the guidance
- the estimated number of organisations accessing the guidance via each delivery mechanism[6].

Market: Organisations in Great Britain with five or more employees 412,200	Aware of the guidance 25% 101,000	Read 13% 53,000	Website 15,000
			Downloaded 10,000
			Hard copy 30,500
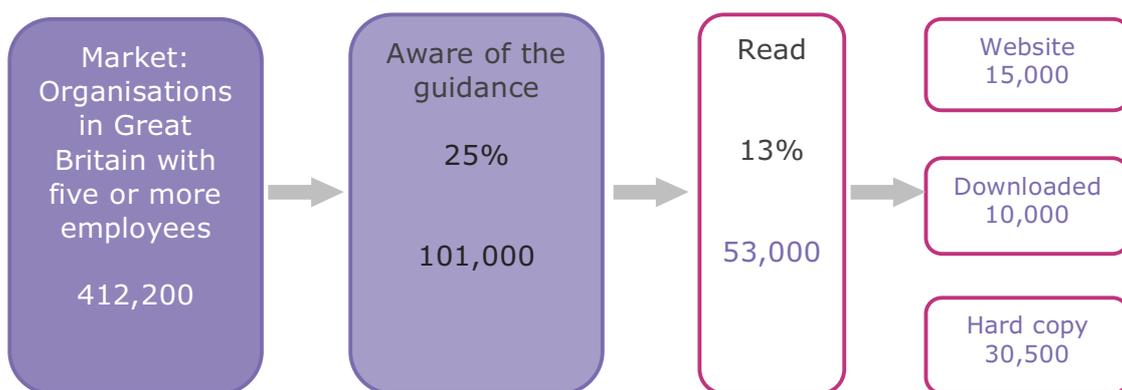
Figure 1 Overall awareness and use of the guidance among organisations with five or more employees in Great Britain (N=412,200; n=1,600)

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[5] *The research covered the majority of business activities in the public, private and third sectors; the data presented are grossed up to the population of organisations with five or more employees in Great Britain in the activity sectors covered by the research as indicated by the Office of National Statistics (412,200 organisations).*
[6] *The reader should note that a small number of organisations are led by directors that have accessed the guidance via more than one delivery route.*

Awareness of the guidance

Board level awareness of the guidance is higher in the public sector (38%) when compared to the private (24%) and voluntary (27%) sectors.

When size is considered alongside sector, awareness of the guidance is greatest amongst directors/board members of large organisations (250+ employees) in the private (48%), public (59%) and voluntary sectors (30%).

Awareness of the guidance is higher among directors/board members leading organisations in Scotland (32%) and Wales (30%) compared to organisations in England (24%).

There is a significant degree of variation in awareness by activity sector; awareness of the guidance is highest in the NHS (54%) and lowest in the hotels and catering sector (19%).

Awareness of the guidance is over two times higher amongst directors/board members who are aware of recent health and safety legislation than amongst those that are not; 34% of directors/board members who are aware of recent health and safety legislation changes are aware of the guidance compared to 14% who are not aware of recent health and safety legislation.

The most common way in which directors and board members first became aware of the guidance was from their colleagues, typically a sub-ordinate health and safety manager or co-ordinator (18%); this was followed by coverage in the press (16%) and recommendations from external parties, such as consultants (13%).

Use of the guidance[7]
In general, use of the guidance is much higher among large organisations when compared to use by smaller organisations; in the private sector, the proportion of large organisations using the guidance (36%) is three times the proportion of small (12%) and medium (12%) organisations.

There is a great degree of variation in use of the guidance by activity sector; whilst over a third of NHS organisations are led by directors that have used the guidance (35%), less than one in ten (7%) of organisations in the hotels and catering sector in Great Britain with five or more employees are led by directors that have done so.

Hard copy was found to be the most popular format among directors; 58% of organisations led by directors who have read the guidance did so in hard copy format.

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[7] *Throughout this report we adopt the term 'use' to denote having read the guidance (INDG417) in whole or in part.*

Impact of the guidance
Nearly half of directors/board members (48%) who have read the guidance have subsequently taken action and a further 2% are planning to.

A large proportion of directors and board members that had read the guidance strongly agreed that the guidance has improved their understanding of their responsibilities for health and safety in the organisation (39%); and has reassured them that they are compliant with health and safety regulations (37%). Just under half of directors/board members that had read the guidance agreed or strongly agreed that the guidance has changed the way they will approach health and safety in their organisation (45%).

The majority of directors/board members that had read the guidance had positive views about the guidance (60%). A minority of directors/board members that had read the guidance were negative about the guidance (3%). Over a third of directors/board members were neither positive nor negative about the guidance (37%).

2   INTRODUCTION

2.1   BACKGROUND AND OBJECTIVES

The Health and Safety Executive (HSE) aims to protect people's health and safety by ensuring risks in the changing workplace are properly controlled. The HSE does this through research, information and advice, promoting training, new or revised regulations and codes of practice, inspection, investigation and enforcement[8].

In October 2007, the HSE and Institute of Directors (IoD) jointly published guidance for directors encouraging them to lead on health and safety in their organisations; the publication was entitled '*Leading Health and Safety at Work: leadership actions for directors and board members*' (INDG417)[9].

The guidance sets out an agenda for the effective leadership of health and safety and is designed for use by all directors, governors, trustees, officers and their equivalents in the private, public and third sectors across Great Britain[10]. It has also been endorsed for use in Northern Ireland.

The guidance has been distributed via four routes:
1. It has been sent to all 52,000 IoD members
2. It was included in 1,000 delegate packs at the Confederation of British Industry (CBI) Conference
3. A further 30,000 hard copies have been issued by HSE books (end March 2008)
4. The guidance is available on the HSE website both as a PDF version of the guide for download and as a series of web pages. This area of the site has had 50,000 hits (end March 2008) – some of these will have resulted in downloads of the guide.

The HSE's inspectors have the power to enforce against directors and the courts are able to disqualify directors convicted of health and safety issues. Additionally, the Corporate Manslaughter Act came into force in April 2008. These factors should combine to raise the awareness of health and safety among directors and board members and to increase the pertinence of the HSE's guidance.

The key aims of the research were to determine:

- The level of awareness of the new guidance among its target market
- How directors and board members had heard about and accessed the guidance
- The number of directors that have read the guidance
- Whether the guidance is considered relevant and influential
- Whether action has been taken (or planned) as a result of the guidance.

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[8] *The Health and Safety Executive Website, 'About the HSE' (http://www.hse.gov.uk/aboutus/index.htm)*
[9] *We refer to INDG417 throughout this report as 'the guidance'. It can be accessed via the HSE website http://www.hse.gov.uk/leadership/*
[10] *Institute of Directors and the Health and Safety Commission; Leading health and safety at work; leadership actions for directors and board members (Published by the Health and Safety Executive,10/07) p.1*

2.2 METODOLOGY

2.2.1 Method

The work was carried out through a quantitative telephone survey of 1,600 organisations in Great Britain (England, Scotland and Wales) across the public, private and third sectors.

The interview was carried out only with enterprises that had five or more employees, or equivalent, as the guidance is less relevant to those with fewer employees.

The individuals spoken to in the survey were directors or board members within organisations, either:

1. The board level person with specific responsibility for health and safety; or
2. Another person at board level where no-one on the board has specific responsibility for health and safety.

In smaller businesses, this was typically the owner/ partner; in very large firms this was typically the Health and Safety Director[11]. In other organisations, the responsibility falls under one of the directors, but this is not always explicit in their job title. For example:

- In the NHS, we spoke to the Head of Trusts
- In charities, we spoke to the Head Co-ordinator.

The appropriate director in each organisation was asked a series of questions to determine whether they were aware of the guidance and, if so, whether they had looked at or read it. If they had looked at or read the guidance in whole or in part, they were considered to be a user.

Directors who had used the guidance were interviewed in more depth to find out about their use of the publication and whether they have taken any subsequent action.

All interviews were conducted on a confidential basis; no individual responses were fed back by Databuild to the HSE.

2.2.2 Sample structure

The majority of our sample was drawn at random from the Inter-Departmental Business Register (IDBR) on our behalf by the Office of National Statistics (ONS); the National Health Service (NHS) sample was obtained from Binleys, a commercial database provider.

Respondents to the survey were selected at random from each segment to be covered in the study (country, sector, activity sector and size), therefore providing us with a robust representative sample from which results can be extrapolated with confidence to draw conclusions about the population as a whole.

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[11] *For simplicity we use the term 'directors' throughout to denote individuals in a board level or equivalent position in their organisation.*

The sample was stratified to:

- Provide good coverage of enterprises in the private, public and voluntary sector to allow comparison across sectors;
- Boost the samples of enterprises interviewed in Scotland and Wales to enable more robust conclusions about each devolved administration, and to enable comparisons with England;
- Ensure that a sufficient number of larger organisations were included in our sample to allow comparison between organisations of different sizes.

2.2.3 Data collection

Data collection took place between 28th July and 9th September 2008.

It is important to obtain a good response rate to minimise the risk of drawing a biased sample. In order to maximise the response rate, we took steps to present the study in a way that the respondent felt it was relevant to them, and monitored the strike rate in each segment covered by the study. In addition we provided potential respondents with an email (where requested) outlining the purpose of the work and directing them to the HSE website which confirmed that the study was taking place and was legitimate.

Where we were able to locate and speak to an appropriate potential respondent director, they were generally willing to participate. We received 133 refusals from target respondents; this equates to a refusal rate of 8%, calculated by dividing the number of refusals from target respondents by the number of completed interviews:

$$\frac{133 \text{ (Number of refusals by target respondent)}}{1600 \text{ (Completed interviews)}} = 8\%$$

The refusals were spread across the activity sectors included in the research; therefore, we believe the sample can be considered representative and unbiased. The table below illustrates the number of refusals received from the target respondent in each activity sector covered in the research:

Activity sector	Total
Agriculture	6
Manufacturing	13
Construction	9
Wholesale and Retail	23
Hotel and Catering	13
Transport and Communications	16
Business Services	27
Personal Services	11
NHS	1
Other public sector	5
Voluntary	9
Total	**133**

Table 1 Number of refusals from the target respondent by activity sector

The key challenge in securing an interview with an appropriate director was determining an appropriate time in their busy schedules that they could accommodate the interview.

The research included interviews with companies and subsidiaries of companies listed on the FTSE 100 including Stagecoach plc, Diageo Scotland Ltd and Rexam Plastic Containers Ltd[12].

The number of interviews completed in each segment covered by the study can be found in the appendix of this report.

2.3 ANALYSIS

2.3.1 Weighting

As the sample has been stratified (i.e. it is not a random sample) it is necessary to weight the data to reflect the populations from which it was drawn. This allows us to draw conclusions about the population rather than just the sample of respondents we interviewed.

We have assigned a weight to each response to reflect the population from which it was drawn. The weight was applied to each interview to simultaneously perform two functions:

1. Adjust for any under or over –representation in the sample compared to the population (e.g. the fact that our sample included a greater proportion of large businesses with 250+ employees compared to the population)
2. Gross up the results to the population as a whole.

All interviews are assigned a weight based on the total number of enterprises in each segment using the latest available market data compiled by the Office of National Statistics. The weight was calculated as follows:

$$\frac{\text{Number of organisations from segment X according to the ONS IDBR market data}}{\text{Number of organisations from segment X in the sample}}$$

The population data used in weighting the dataset can be found in the appendix of this report.

2.3.2 Significance testing

The level of awareness and use of the publication has been measured in each of the following segments:

- Private sector (in England, Scotland, Wales and overall for Great Britain)
- Public sector
- Third sector.

In addition to this it has been measured in each of the three size categories: small (5-49 employees), medium (50-249 employees) and large (250+ employees).

Statistical significance tests have been conducted to determine whether there are significant differences between the groups and sub-groups; in particular, differences in awareness and use of the guidance between:

- The private, public and third sectors in Great Britain
- Private sector enterprises of different sizes in Great Britain

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[12] *Permission was obtained from the respondent to include the names of these organisations in this report.*

- Private sector enterprises in different activity sectors
- Private sector enterprises in different countries.

All differences reported in the body of the report are statistically significant at the 95% confidence level unless otherwise stated.

2.3.3 Assumptions and limitations

In conducting this research we have spoken to only one director in each organisation; however, where applicable, it is possible that other directors in the business may have been aware of and/or used the guidance without the knowledge of our respondent.

To minimise the risk associated with this we have attempted in all cases to locate the director taking responsibility for health and safety (whether this is explicit in their job title or not). However, there is a possibility that the level of awareness and use of the guidance may be understated for this reason. We would therefore consider the results presented in this report to be a conservative estimate of the overall level of awareness and use.

In choosing any sample there is always a risk of bias; to minimise the risk of bias in the results we have:

1. Drawn our sample from the Inter-Departmental Business Register (IDBR)
2. Taken steps to minimise the refusal rate from the target respondent (8%)

These steps can give us further confidence in the validity of the results.

The research covers organisations in Great Britain with five or more employees only, as this was considered by the HSE to be the principal target audience for the guidance.

We were aware from the outset of the risk of respondents' exaggerations leading us to overstate current behaviour and the level of awareness of the guidance; we took the following steps to minimise these risks:

- Emphasising the independence and confidential nature of the research – so respondents were confident that they would not be identified

- Ensuring that all questioning and introductions were value free – so respondents did not feel defensive or that there were correct answers

- Where respondents made claims for action we have tested their claims as far as possible by probing for further details; for example, for each respondent we randomly selected one of the behaviour questions where they had indicated action and probed for further information from respondents to ascertain what they were currently doing

- We took care to describe the guidance in detail and to ask questions that would enable us to determine whether they had in fact heard about and/or read the guidance.

The reader should note that the 'local authority' sample was interpreted widely. It comprises enterprises registered with the local authority legal status on the IDBR; therefore the local authority sample ranges from parish councils (with five or more employees) through to unitary authorities with thousands of employees, and includes affiliated organisations such as housing associations.

3 CURRENT HEALTH AND SAFETY BEHAVIOUR

3.1 WHO TAKES RESPONSIBILITY FOR HEALTH AND SAFETY

We estimate that 76% of organisations in Great Britain with five or more employees are led by a director with explicit responsibilities for health and safety as part of their job role; however, less than 1% (~2,400 organisations) have a director with 'health and safety' in their job title.

In small businesses, the responsibility for health and safety is generally retained by the business owner, partner, managing director and/or CEO of the organisation; as the majority of businesses in Great Britain are small, this is in fact the case for 63% of all organisations with five or more employees. In approximately 13% of organisations in Great Britain with five or more employees, responsibility for health and safety lies with another director/board member, typically one of the following:

- Finance director
- Operations director
- Company secretary
- General director

3.2 INTRODUCTION TO QUESTIONS USED TO EXPLORE BEHAVIOUR

This research measured the current behaviour of directors and board members across eight behaviour questions; the behaviours that we selected were based on actions recommended in the guidance:

1. Does health and safety appear on the agenda for board meetings?
2. Has your board nominated a member to "champion" health and safety at board level?
3. Does your board set targets for health and safety?
4. Does your board ensure your organisation has health and safety standards for the procurement of goods, equipment and services?
5. Does your board ensure your organisation assesses the health and safety arrangements of partners, key suppliers and contractors?
6. Does your board monitor the sickness absence and workplace health of your workers?
7. Does your organisation publicly report its performance on health and safety in annual reports?
8. Do you benchmark your organisation's health and safety performance against that of other organisations?

We have looked at behavioural differences among different segments of the population (for example, organisations in different sectors, activity sectors, size bands and countries in Great Britain).

The reader should note that all reported behaviour is a snapshot at the time of interview, and is based solely on the responses provided in the telephone interviews and has not been subject to verification (e.g. through site visits).

The research also looked at directors' and board members' awareness of recent changes in health and safety regulations; the Corporate Manslaughter and Homicide Act 2007 and changes made to the Companies Act in 2006.

3.3 CURRENT BEHAVIOUR

We found board level monitoring of sickness absence and workplace health (88%) to be the most prevalent of the behaviours explored in this study among organisations in Great Britain with five or more employees. Benchmarking of health and safety performance against that of other organisations (10%), and the public reporting of health and safety performance (9%) were found to be the least prevalent.

Figure 2 below illustrates the estimated proportion of organisations in Great Britain with five or more employees that have implemented each health and safety behaviour covered in the study; it also indicates whether the action was first implemented before or since October 2007[13]:
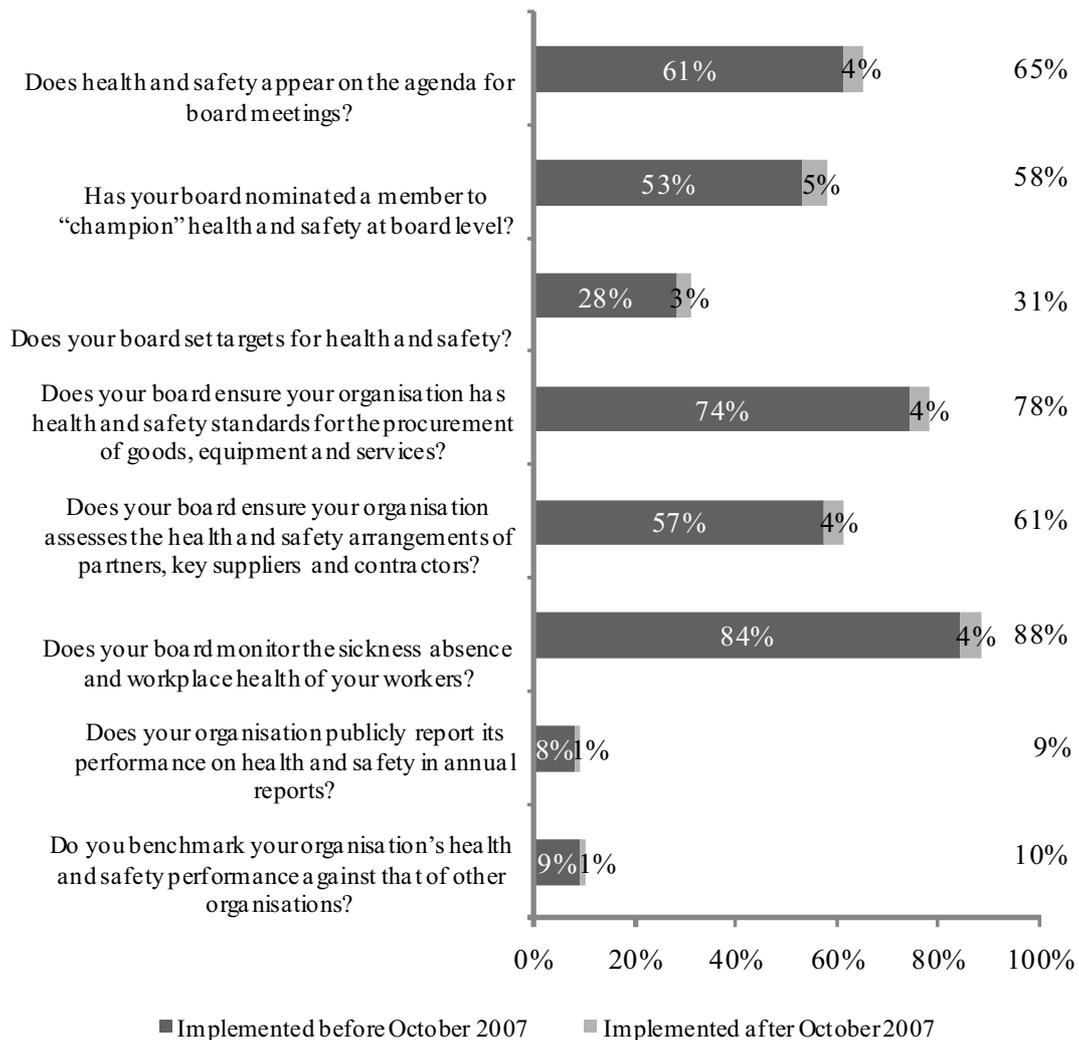
Figure 2 Proportion of all organisations in Great Britain with five or more employees that have implemented each behaviour before and since October 2007 (N=412,200; n=1,600)

As Figure 2 illustrates, where directors indicated that their organisation had implemented a particular behaviour, they had typically done so before October 2007.

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[13] *The guidance was published in October 2007.*

In each interview we selected one of the indicated behaviours at random and probed for further details using the following questions:

    a. You mentioned that Health and Safety appears on the board's agenda. How often does health and safety appear on the board's agenda? What prompts it to appear?

    b. You mentioned that you have appointed someone to champion health and safety. Who did you nominate to champion health and safety [job title]? Why did you nominate someone to act as a champion?

    c. You mentioned that you set targets for health and safety. What prompted you to set health and safety targets?

    d. You mentioned that you ensure your organisation sets health and safety standards for procurement. What prompted you to ensure health and safety standards are set for procurement?

    e. You mentioned that you ensure your organisation assesses the health and safety arrangements of partners. What prompted you to ensure the health and safety arrangements of partners are assessed?

    f. You mentioned that you monitor the sickness absence and workplace health of your workers. How do you do that?

    g. You mentioned that your organisation reports on health and safety in your annual report? What do you report (with respect to health and safety)?

A selection of verbatim responses to these questions is included in the appendix to illustrate each of the behaviours covered in this study.

We estimate that 10% of organisations benchmark their health and safety against that of other organisations (see Figure 2). These organisations typically benchmark against companies in their sector, specifically against their competitors.

Other benchmarks include companies that belong to the same group, industry averages (rather than specific companies within a sector), clients (particularly in the construction sector) and companies of similar size who respondents felt had comparable health and safety risks.

3.4 DIFFERENCES IN CURRENT BEHAVIOUR BY SECTOR

A greater proportion of organisations in the public sector have implemented the health and safety behaviours covered in this study when compared to the private and voluntary sectors. The only exception is the board level monitoring of sickness absence and workplace health, where a marginally greater proportion in the private sector (89%) had implemented the behaviour when compared to the public (88%) and voluntary (85%) sectors[14].

Figure 3 below illustrates the estimated proportion of organisations in Great Britain with five or more employees that have implemented each health and safety behaviour covered in the study, split by sector:

Private (N=380,000; n=1,188)　Public (N=3,600; n=214)　Voluntary (N=29,000; n=198)
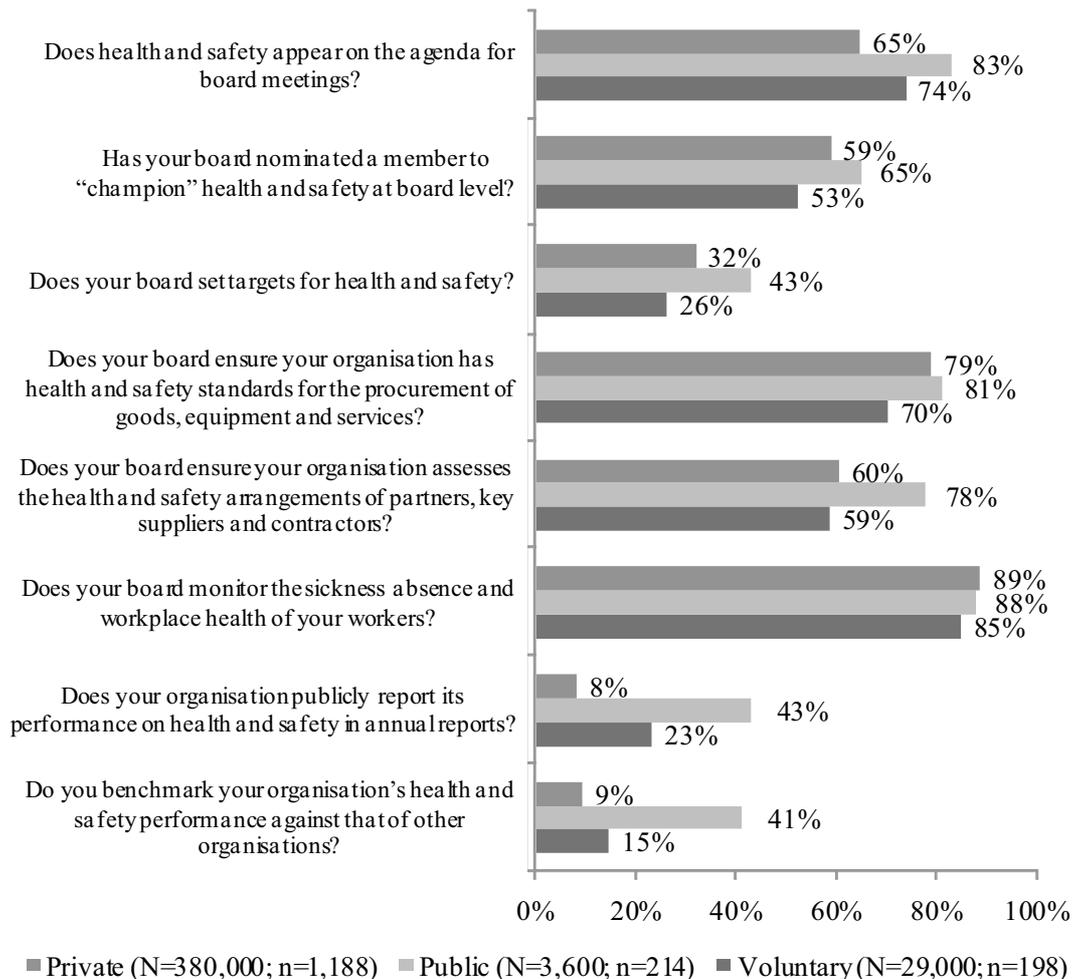
Figure 3 Proportion of all organisations in Great Britain with five or more employees that have implemented each behaviour, split by sector (N=412,200; n=1,600)

A greater proportion of organisations in the public sector publicly report on their health and safety performance (43%) than organisations in the private (8%) and voluntary (23%) sectors. This is also true for the benchmarking of health and safety performance against other organisations which is much more prevalent in the public sector (41%) when compared to the private (9%) and voluntary (15%) sectors. The observed differences can be largely attributed to the fact that a greater proportion of organisations in the public sector are large organisations with 250 or more employees.

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[14] *This difference is not statistically significant at the 95% confidence level.*

3.5 DIFFERENCES IN CURRENT BEHAVIOUR BETWEEN COUNTRIES (PRIVATE SECTOR)

There is relatively little variation in behaviour between private sector organisations in each of the constituent countries of Great Britain. However, a smaller proportion of organisations with five or more employees in Scotland (21%) are led by boards that set targets for health and safety when compared to England (33%) and Wales (31%). The results would also suggest that health and safety appears on the board meeting agenda for a smaller proportion of organisations with five or more employees in Scotland (58%) when compared to England (65%) and Wales (66%).

Figure 4 below illustrates the estimated proportion of private sector organisations in Great Britain with five or more employees that have implemented each health and safety behaviour covered in the study, split by country:

■ England (N=335,000; n=691) ■ Scotland (N=29,500; n=297) ■ Wales (N=16,000; n=200)

Figure 4 Proportion of all private sector organisations in Great Britain with five or more employees that have implemented each behaviour, split by country (N=380,000; n=1,188)

3.6   DIFFERENCES IN CURRENT BEHAVIOUR BY SIZE (PRIVATE SECTOR)

A greater proportion of large firms (250+ employees) in the private sector have implemented the behaviours covered by this study when compared to small (5-49 employees) and medium (50-249 employees) organisations.

Figure 5 below illustrates the estimated proportion of private sector organisations in Great Britain with five or more employees that have implemented each health and safety behaviour covered in the study, split by organisation size:

Figure 5 Proportion of all private sector organisations in Great Britain with five or more employees that have implemented each behaviour, split by size (N=380,000; n=1,188)
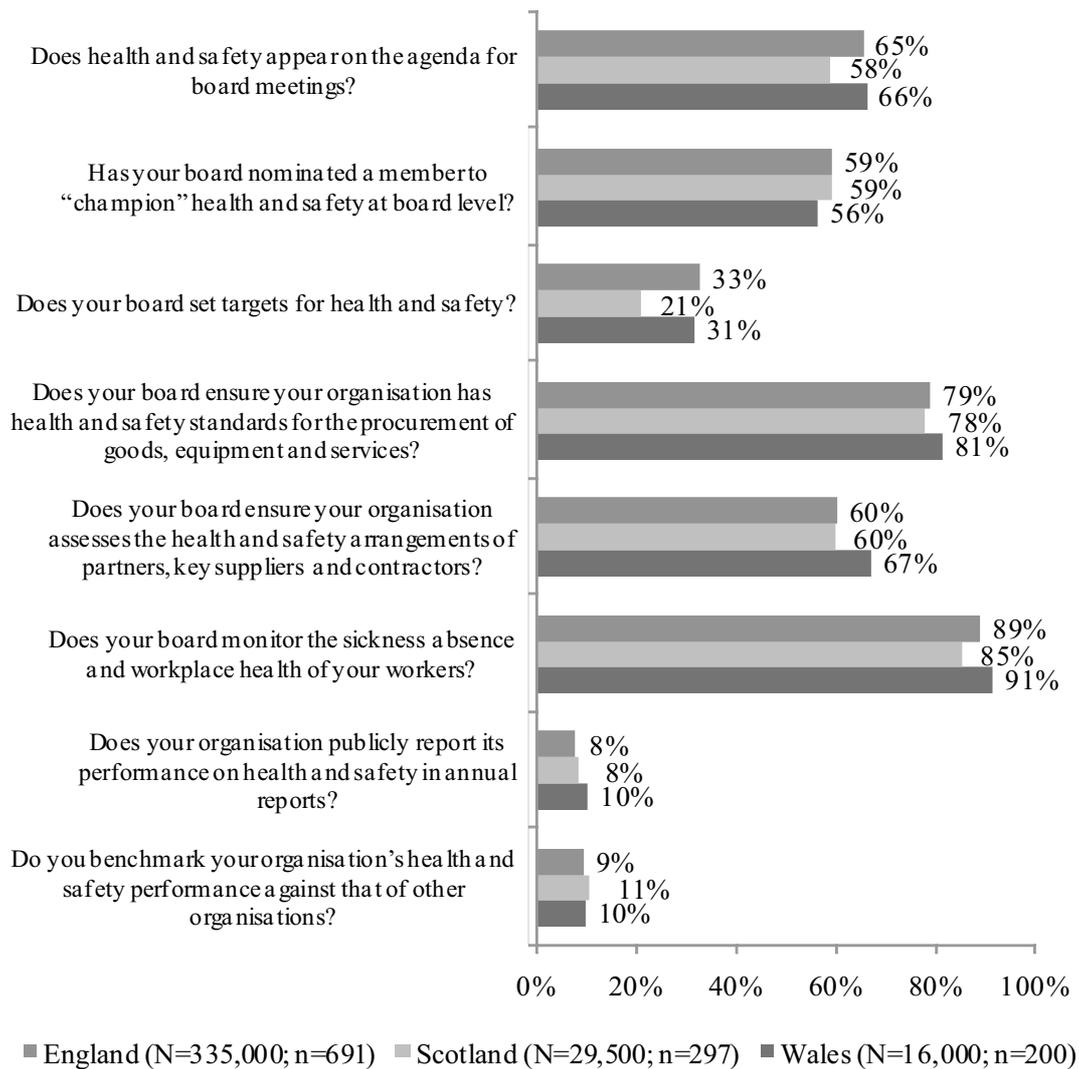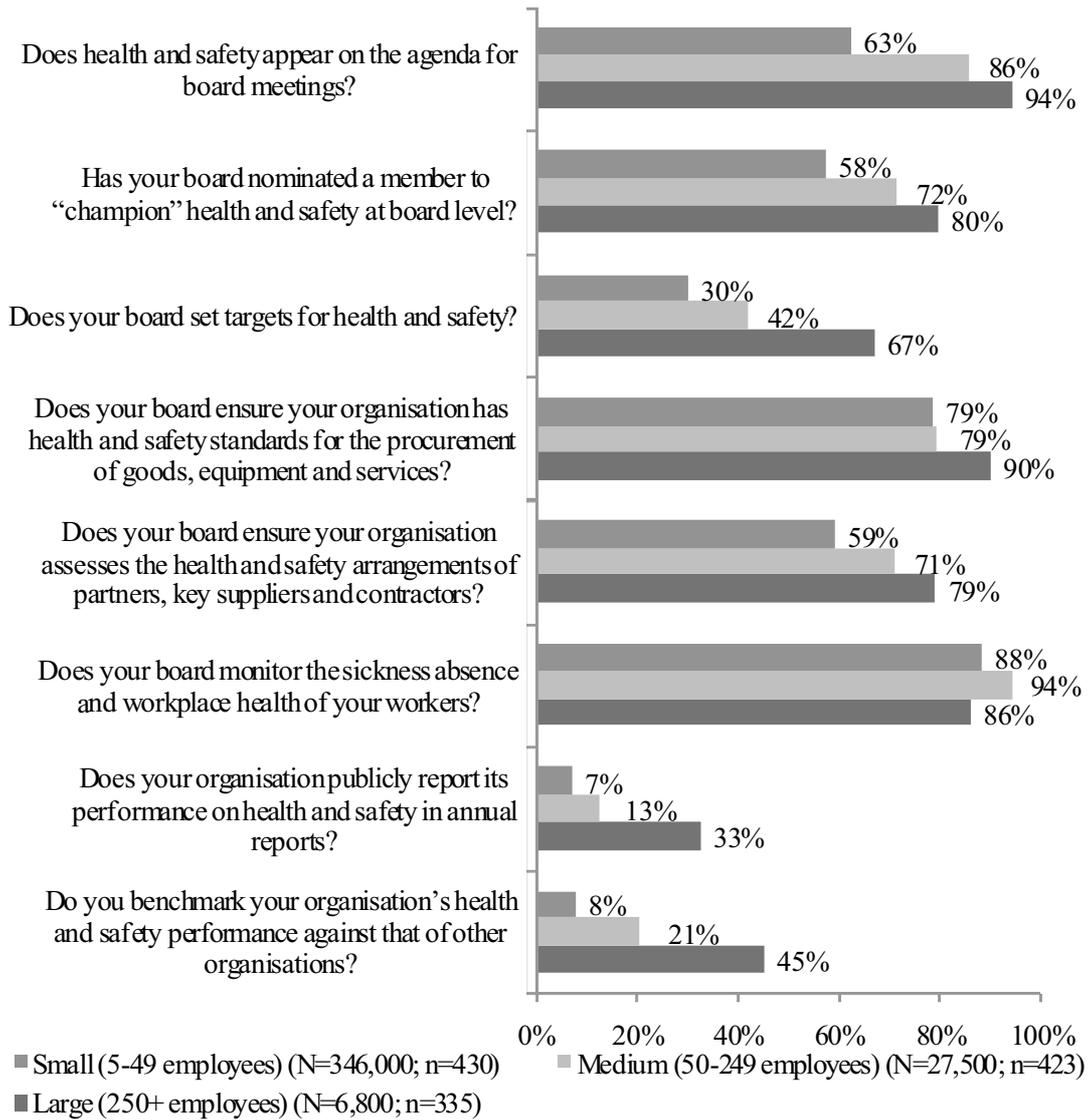
3.7 DIFFERENCES IN CURRENT BEHAVIOUR BY ACTIVITY SECTOR

There is significant variation in behaviour in different activity sectors. Table 2 below illustrates the estimated proportion of all organisations in Great Britain with five or more employees that have implemented each health and safety behaviour covered in the study, split by activity sector:

Behaviour	Activity sector (%)														Overall
	Agriculture/primary (N=10,076; n=66)	Manufacturing (N=58,552; n=267)	Construction (N=41,756; n=183)	Wholesale and retail (N=81,280; n=166)	Hotels and catering (N=41,502; n=104)	Transport and comms (N=16,792; n=108)	Business services (N=99,411; n=183)	Other services (N=30,734; n=111)	NHS (N=330; n=65)	Local Authority (N=1,835; n=45)	Other public sector (N=740; n=104)	Charity (N=12,394; n=84)	Social enterprise (N=2,951; n=20)	Other not-for-profit (N=13,870; n=94)	
Does health and safety appear on the agenda for board meetings?	51	66	79	55	65	66	67	68	72	82	90	75	65	74	**66**
Has your board nominated a member to "champion" health and safety at board level?	71	68	73	45	44	59	63	63	75	58	79	55	50	51	**58**
Does your board set targets for health and safety?	33	40	43	17	43	34	28	36	51	40	47	27	20	27	**31**
Does your board ensure your organisation has health and safety standards for the procurement of goods, equipment and services?	73	79	88	81	93	69	67	87	78	82	80	68	65	73	**78**
Does your board ensure your organisation assesses the health and safety arrangements of partners, key suppliers and contractors?	63	55	78	53	73	52	60	55	80	76	83	56	65	60	**60**
Does your board monitor the sickness absence and workplace health of your workers?	93	91	90	82	88	95	90	92	97	84	94	88	85	82	**88**
Does your organisation publicly report its performance on health and safety in annual reports?	7	9	14	4	10	14	4	16	71	38	42	26	10	23	**11**
Do you benchmark your organisation's health and safety performance against that of other organisations?	1	13	20	7	1	9	7	16	48	42	33	15	10	15	**11**

Table 2 Proportion of all organisations in Great Britain with five or more employees that have implemented each behaviour, split by activity sector (N=412,200; n=1,600)

3.8 AWARENESS OF LEGISLATION

We asked all respondents the following unprompted question to explore whether they were aware of the Corporate Manslaughter and Homicide Act and changes to the Companies Act that affected their responsibilities[15]:

> Are you aware of recent legislation that affects the responsibilities of directors? If so, what legislation are you aware of?
> - Corporate Manslaughter and Homicide Act 2007
> - Companies Act 2006
> - Aware of changes, but cannot recall the name of the legislation
> - Not aware of any recent legislation changes

We deliberately avoided using a prompted question as we felt that there was a risk that directors would indicate that they were aware of specific legislation whether or not that was indeed the case. The reader should therefore treat the results presented in this section with caution as the awareness of individual legislation was not explicitly tested.

Bearing these limitations in mind, we estimate that around 54% of all organisations in Great Britain with five or more employees are led by directors who are aware of recent changes in legislation that affect their responsibilities, as illustrated in Figure 6 below:
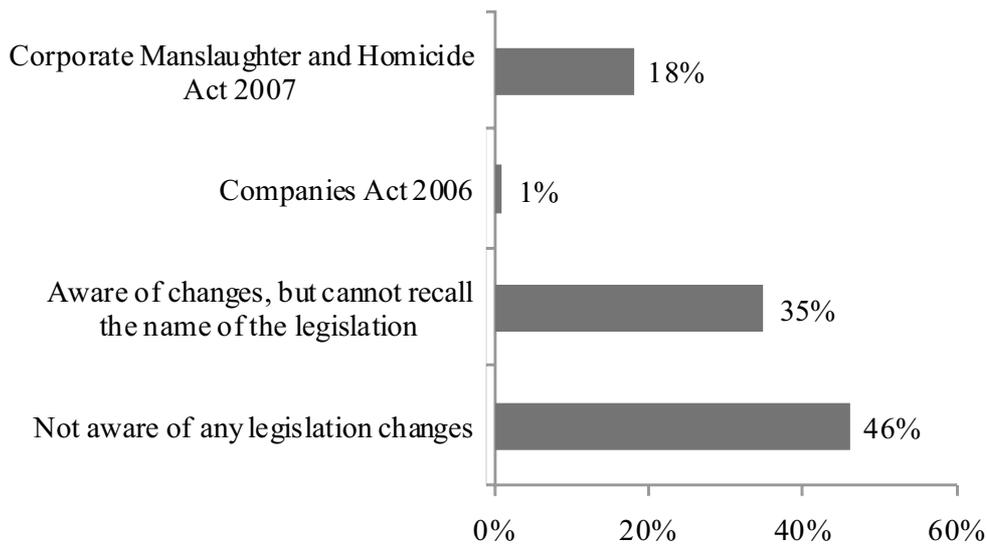
Figure 6 Proportion of all organisations in Great Britain with five or more employees that are aware of recent changes in legislation impacting on directors' responsibilities (N=412,200; n=1,600)

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[15] *Whilst the Companies Act makes no explicit reference to 'health and safety', its requirements could be interpreted as making implicit reference.*

18

3.9   DIFFERENCES IN AWARENESS OF LEGISLATION BY SECTOR AND SIZE

We found that awareness of recent legislation changes that affect the responsibilities of directors is considerably higher amongst large businesses with 250+ employees; for example, 90% of large businesses in the private sector are led by directors who are aware of recent changes compared to just over half (51%) of small organisations with 5-49 employees.

Figure 7 below illustrates the estimated proportion of organisations in Great Britain in each sector/size segment that are led by directors who are aware of any recent changes in health and safety legislation that affect their responsibilities:

Figure 7 Proportion of all organisations in Great Britain with five or more employees that are aware of any recent changes in legislation impacting on directors' responsibilities, split by size and sector (N=412,200; n=1,600)

3.10 DIFFERENCES IN AWARENESS OF LEGISLATION BY COUNTRY (PRIVATE SECTOR)

Overall awareness of recent changes in legislation affecting the responsibilities of directors appears to be higher in England (54%) and Scotland (53%) compared to Wales (49%)[16].

Figure 8 below illustrates the estimated proportion of private sector organisations with five or more employees in each country that are led by directors who are aware of any recent changes in health and safety legislation that affect their responsibilities:

Figure 8 Proportion of all private sector organisations in Great Britain with five or more employees that are aware of any recent changes in legislation impacting on directors' responsibilities, split by country (N=380,000; n=1,188)

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[16] *This difference is not statistically significant at the 95% confidence level.*

3.11 DIFFERENCES IN AWARENESS OF LEGISLATION BY ACTIVITY SECTOR

There is a great deal of variation in awareness of recent changes in legislation affecting the responsibilities of directors by activity sector. Overall awareness of recent changes in legislation affecting the responsibilities of directors is highest in the NHS (94%) and lowest in the hotels and catering sector (31%).

Figure 9 below illustrates the estimated proportion of all organisations in Great Britain with five or more employees that are led by directors who are aware of any recent changes in health and safety legislation, split by activity sector:
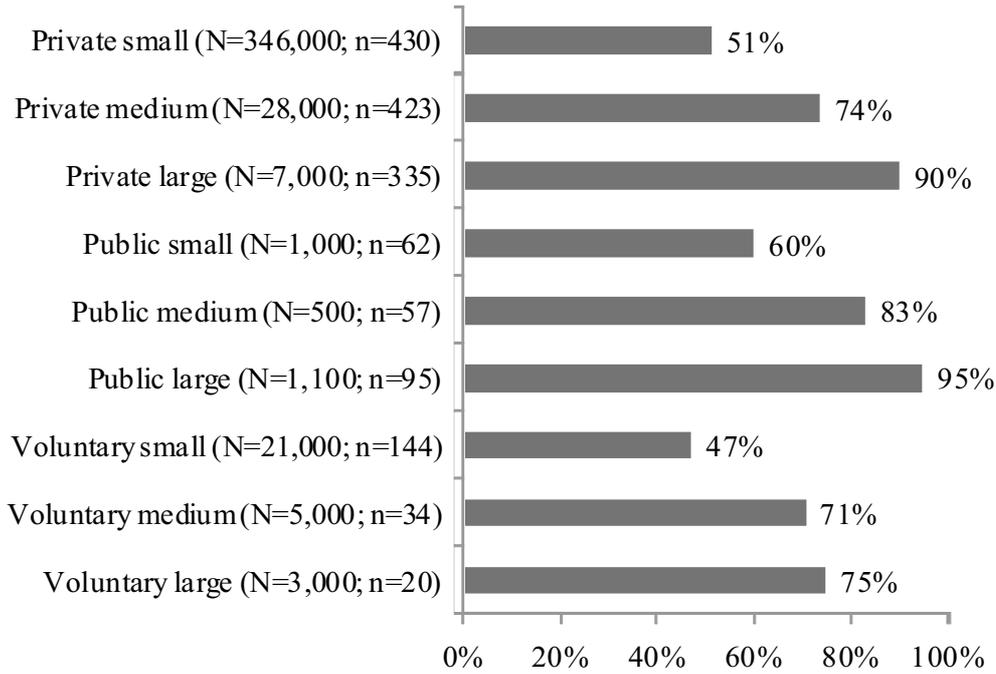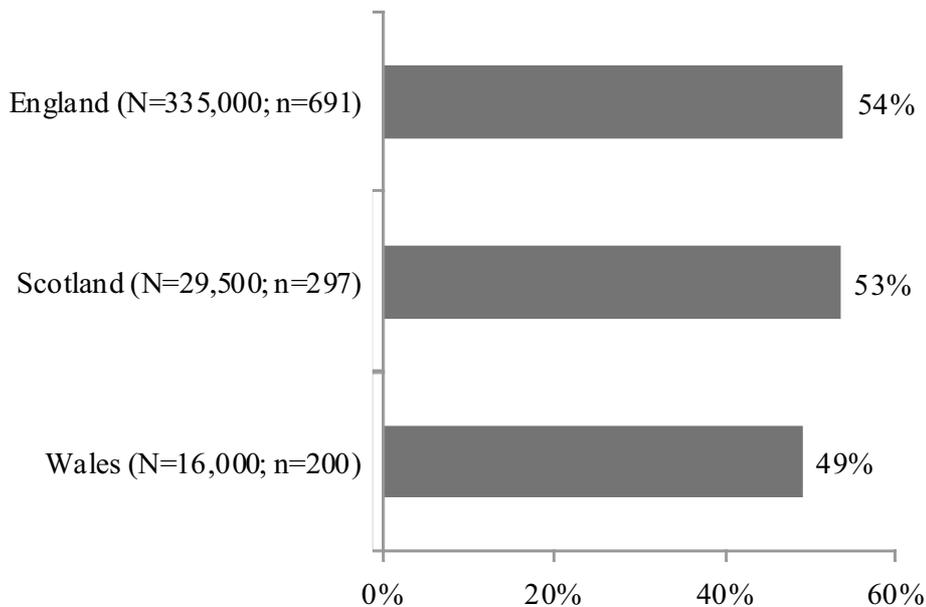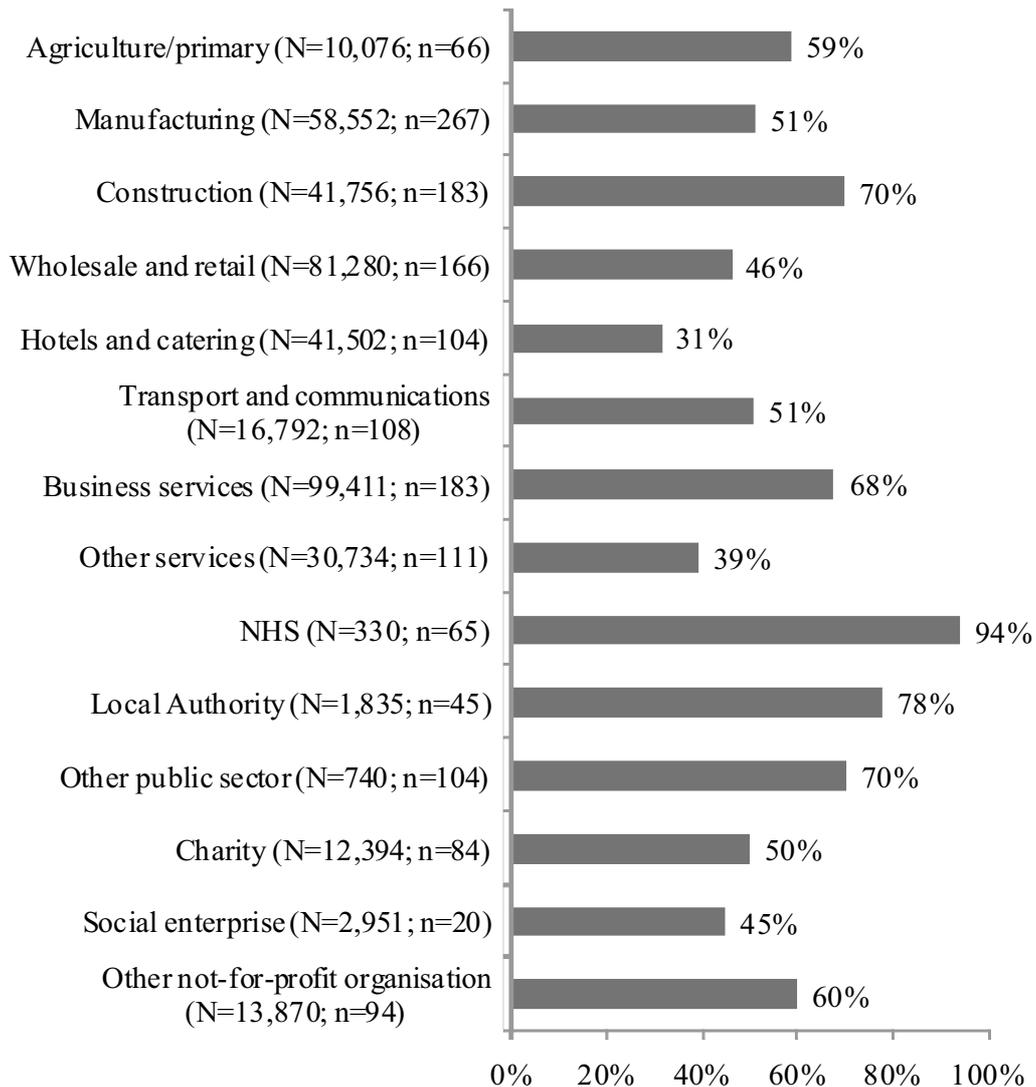

Figure 9 Proportion of all organisations in Great Britain with five or more employees that are aware of any recent changes in legislation impacting on directors' responsibilities, split by activity sector (N=412,200; n=1,600)

3.12 CURRENT BEHAVIOUR: INTERPRETATION

As illustrated in Figure 2, a large proportion of organisations are taking basic steps to improve health and safety, such as monitoring sickness and workplace health and ensuring standards are put in place for procurement; however, a comparatively small proportion are taking 'best practice' actions such as benchmarking (10%) or publicly reporting (9%) on health and safety performance. Those that are taking such actions tend to be larger organisations.

The public sector appears to be taking a particular lead on health and safety (though this is due in part to the fact that a greater proportion of public sector organisations are large (with 250+ employees) when compared to the private and voluntary sectors). The difference between the private, public and voluntary sectors is particularly marked for the public reporting and benchmarking of health and safety performance; we found the proportion of public sector organisations implementing each of these behaviours to be approximately four times that in the private sector overall.

Awareness of recent legislation changes that affect the responsibilities of directors is considerably higher amongst larger businesses, and particularly those with 250+ employees; this leads to a marked difference between the private, public and voluntary sectors due to the fact that the vast majority of private sector businesses are small.

There is a great deal of variation in awareness of recent changes in legislation affecting the responsibilities between organisations in different activity sectors. Overall awareness of recent changes in legislation affecting the responsibilities of directors is highest in the NHS (94%) and lowest in the hotels and catering sector (31%).

4 AWARENESS OF THE GUIDANCE

4.1 INTRODUCTION

This section looks at awareness of the guidance among directors and board members by sector, size, country, and activity sector. It also illustrates how directors and board members first became aware of the guidance.

4.2 OVERALL AWARENESS OF THE GUIDANCE

We estimate that 25% of all organisations in Great Britain with five or more employees are led by directors that are aware of the guidance. Board level awareness of the guidance is higher in the public sector (38%) when compared to the private (24%) and voluntary (27%) sectors.

Figure 10 below illustrates the estimated proportion of all organisations in Great Britain with five or more employees that are led by directors who are aware of the guidance, and includes a breakdown by sector:
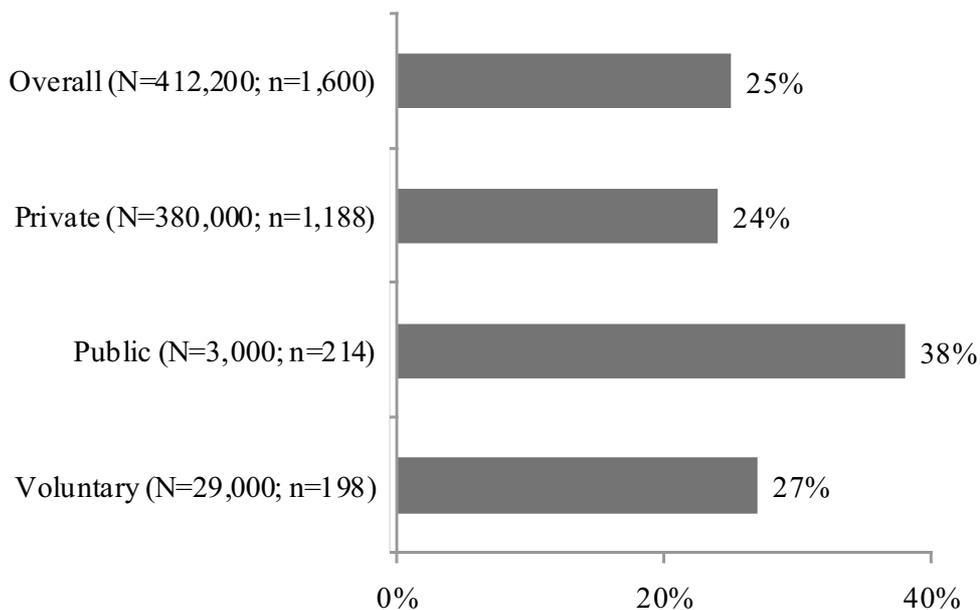
Figure 10 Proportion of all organisations in Great Britain with five or more employees led by directors who are aware of the guidance, split by sector (N=412,200; n=1,600)

4.3 DIFFERENCES IN AWARENESS OF THE GUIDANCE BY SECTOR AND SIZE

When size is considered alongside sector, awareness of the guidance is greatest amongst directors/board members of large organisations (250+ employees) in the private (48%), public (59%) and voluntary sectors (30%).

Figure 11 below illustrates the estimated proportion of all organisations in Great Britain with five or more employees that are led by directors who are aware of the guidance, split by sector and size:

Figure 11 Proportion of organisations with five or more employees led by directors who are aware of the guidance, split by sector and size (N=412,200; n=1,600)

There is a greater distribution of awareness amongst directors/board members of organisations in the public sector compared to the private and voluntary sectors; whilst awareness is highest amongst directors/board members in large public sector organisations (59%), it is lowest amongst directors/board members of small public sector organisations (21%).

The lowest amount of variation by organisation size in awareness of the guidance is in the voluntary sector.

4.4 DIFFERENCE IN AWARENESS BY COUNTRY (PRIVATE SECTOR)

Awareness of the guidance is higher among directors/board members leading organisations in Scotland (31%) and Wales (31%) compared to organisations in England (23%).

Figure 12 below illustrates the estimated proportion of all private sector organisations in Great Britain with five or more employees that are led by directors who are aware of the guidance, split by country:
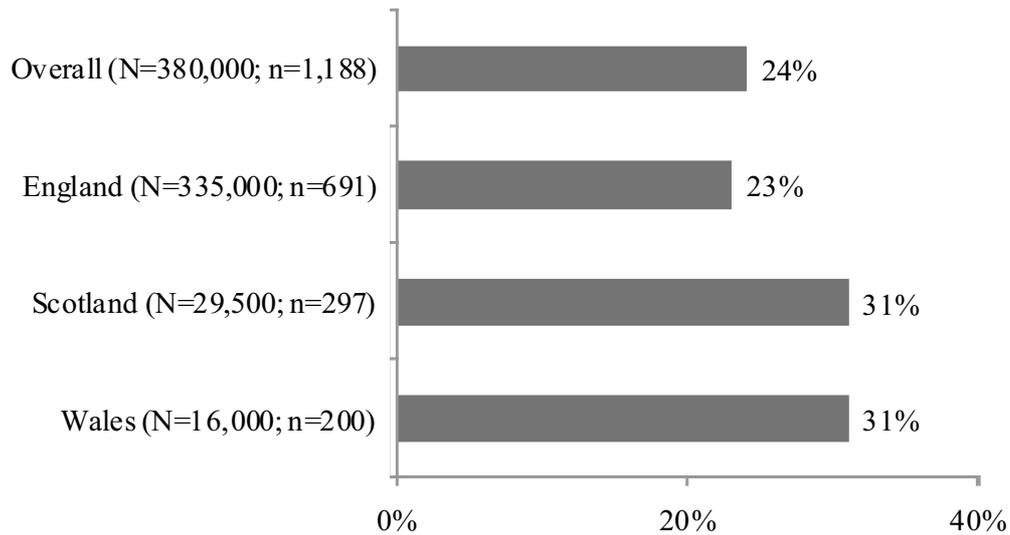
Figure 12 Proportion of private sector organisations with five or more employees led by directors who are aware of the guidance, split by country (N=380,000; n=1,188)

4.5 DIFFERENCES IN AWARENESS BY ACTIVITY SECTOR

There is a significant degree of variation in awareness by activity sector; awareness of the guidance is highest in the NHS (54%) and lowest in the hotels and catering sector (19%).

Figure 13 below illustrates the estimated proportion of all organisations in Great Britain with five or more employees in each activity sector that are led by directors who are aware of the guidance:
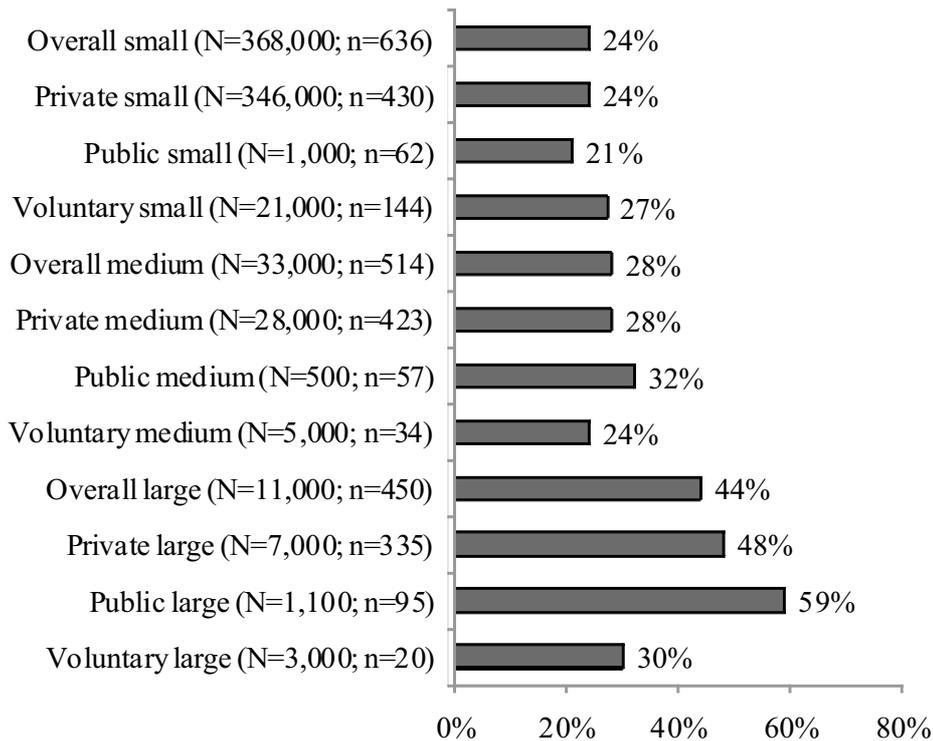

Figure 13 Proportion of organisations with five or more employees led by directors who are aware of the guidance, split by activity sector (N=412,200; n=1,600)

Amongst directors/board members of organisations in the private sector, awareness is highest in the agriculture / primary sector (37%) and construction sector (33%); two sectors which, due to their accident and ill-health records, have received particular attention from the Health

and Safety Executive. Awareness amongst directors/board members of organisations in the private sector is lowest in the wholesale and retail (21%) and hotels and catering sectors (19%).

In the public sector, awareness of the guidance amongst directors/board members in the NHS is noticeably higher than amongst other activity sectors.

Amongst organisations in the voluntary sector, awareness of the guidance is highest amongst directors/board members in charities.

4.6   DIFFERENCE IN AWARENESS OF THE GUIDANCE BY AWARENESS OF LEGISLATION

Awareness of the guidance is over two times higher amongst directors/board members who are aware of recent health and safety legislation than amongst those that are not; 34% of directors/board members who are aware of recent health and safety legislation changes are aware of the guidance compared to 14% who are not aware of recent health and safety legislation.

37% of organisations led by directors/board members who are aware of the Corporate Manslaughter and Homicide Act are aware of the guidance compared to 22% amongst directors /board members that are not aware of the Act.

4.7 HOW DIRECTORS AND BOARD MEMBERS FIRST BECAME AWARE OF THE GUIDANCE

The most common way in which directors and board members first became aware of the guidance was from their colleagues, typically a subordinate health and safety manager or co-ordinator (18%); this was followed by coverage in the press (16%) and recommendations from external parties, such as consultants (13%).

Figure 14 below illustrates the estimated proportion of organisations in Great Britain with five or more employees that are led by directors who are aware of the guidance, split by how they first became aware of the guidance:
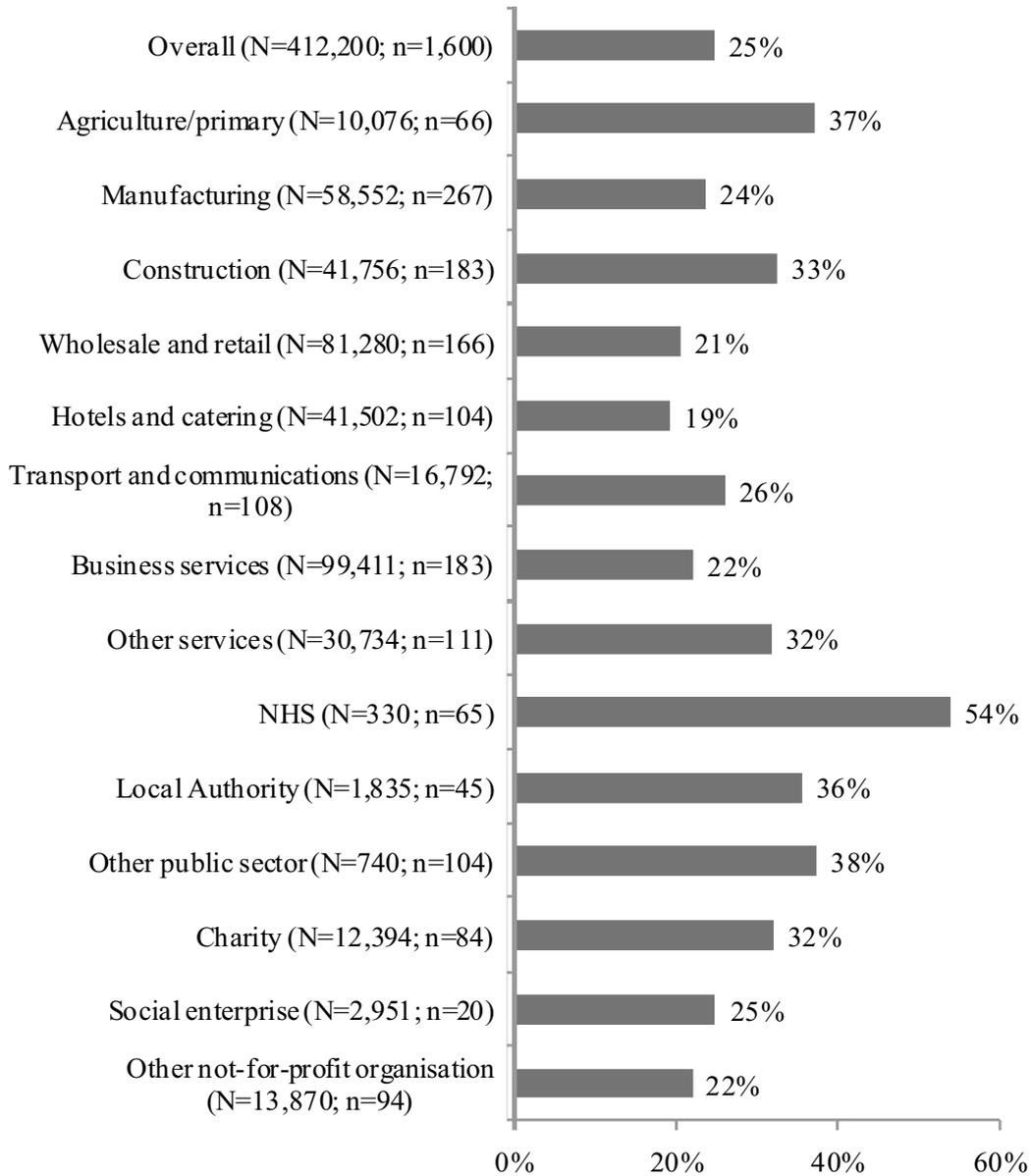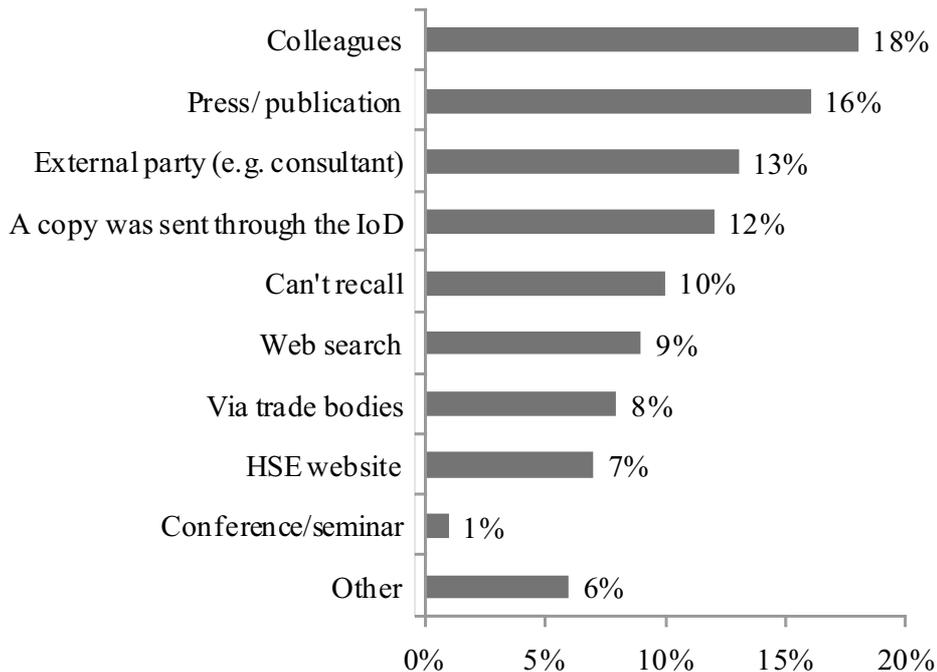

Figure 14 Proportion of organisations in Great Britain with five or more employees led by directors that are aware of the guidance, split by how they became aware of the guidance (N=101,000; n=572)

Recommendations from colleagues were particularly common in the NHS (52%) and not-for-profit organisations other than charities and social enterprises (48%).

In the private sector, accessing the website or finding the guidance through a web search (i.e. finding out about the guidance online) tended to be common in the wholesale and retail (28%), business service (30%), and other service sectors (12%).

Only a minority of individuals found out about the guidance via a conference, seminar or event (1%); local authorities were the most likely to be led by directors who found out about the guidance at an event (19%).

4.8 AWARENESS OF THE GUIDANCE: INTERPRETATION

Awareness of the guidance is greatest amongst directors/board members:
- In public sector organisations, noticeably the NHS
- In larger organisations, in all sectors, but particularly the private and public sectors
- In agriculture/ primary and construction activity sectors
- Who are aware of the recent health and safety legislation.

The results presented in this section have illustrated the mechanisms that are most successful in reaching directors/board members in organisations with five or more employees in Great Britain. It is interesting that the most common way in which directors/board members hear about the guidance is through their colleagues, typically a subordinate with health and safety responsibilities, as this indicates that marketing targeted at senior management can be successful in raising board level awareness; consultants and other third party advisors are another useful mechanism by which to reach directors/board members. Issuing hard copies of the guidance through the IoD has proven to be particularly successful in raising overall awareness.

In the private sector, use of the Internet for information and advice varies between different activity sectors; use of online mechanisms would appear to be most effective for the wholesale and retail, business service and other service sector businesses.

There are opportunities for the Health and Safety Executive to increase awareness of the guidance amongst private sector organisations in the wholesale and retail and hotels and catering sectors, and we would recommend that HSE consider future promotion targeted at these activity sectors.

5   USE OF THE GUIDANCE

5.1   OVERALL USE OF THE GUIDANCE

We estimate that 13% of all organisations in Great Britain with five or more employees (~53,000 organisations) are led by directors that have read a copy of the guidance (hard copy, download or on the website) in whole or in part, as illustrated in Figure 15 below:
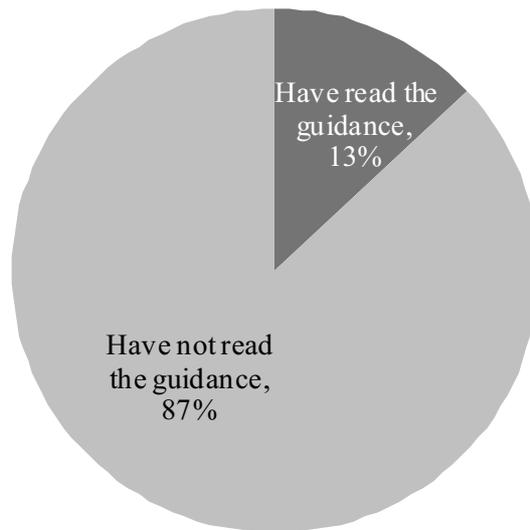
Figure 15 Proportion of all organisations in Great Britain with five or more employees that are led by directors that have read a copy of the guidance in whole or in part (N=412,200; n=1,600)

Throughout this chapter, we adopt the terms 'read' and 'use' interchangeably to refer to a director/board member having read a copy of the guidance in whole or in part.

5.2 DIFFERENCES IN USE OF THE GUIDANCE BY SECTOR AND SIZE

Taking sector and size into consideration, we found that use was highest amongst directors in large public sector organisations (48%), and lowest amongst directors of small voluntary organisations (10%). In general, use of the guidance is much higher amongst directors of large organisations when compared to use by directors of smaller organisations; in the private sector, the proportion of large organisations led by directors that had read the guidance in whole or in part (36%) is three times the proportion in small (12%) and medium (12%) organisations.

Figure 16 below illustrates the estimated proportion of organisations in each sector/size segment that are led by directors that have read the guidance, in whole or in part; it also illustrates the conversion rate from awareness to use:

Figure 16 Proportion of organisations in each sector/size segment that have read a copy of the guidance (N=412,200; n=1,600)

5.3 DIFFERENCES IN USE OF THE GUIDANCE BY COUNTRY (PRIVATE SECTOR)

The proportion of private sector organisations in Scotland that are led by directors that have read the guidance in whole or in part (14%) is marginally higher than the proportions in England (13%) and Wales (12%)[17].

Figure 17 below illustrates the estimated proportion of private sector organisations in each country that are led by directors that have read the guidance in whole or in part; it also illustrates the conversion rate from awareness to use:
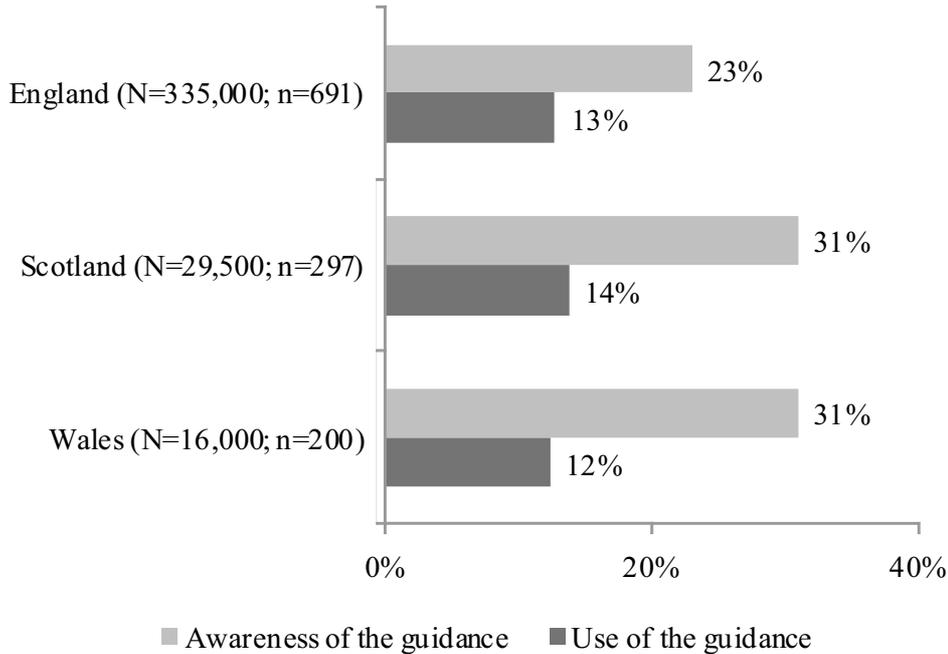
Figure 17 Proportion of all private sector organisations in Great Britain with five or more employees that are led by directors that have read a copy of the guidance, split by country (N=380,000; n=1,188)

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[17] *This difference is not statistically significant at the 95% confidence level.*

5.4 DIFFERENCES IN THE USE OF THE GUIDANCE BY ACTIVITY SECTOR

There is a great degree of variation in use of the guidance by activity sector; whilst over a third of NHS organisations are led by directors that have read the guidance in whole or in part (35%), less than one in ten (7%) of those in the hotels and catering sector in Great Britain with five or more employees are led by directors that have done so.

Figure 18 below illustrates the estimated proportion of organisations in Great Britain with five or more employees that are led by directors who have read the guidance, in whole or in part, split by activity sector; it also illustrates the conversion rate from awareness to use:
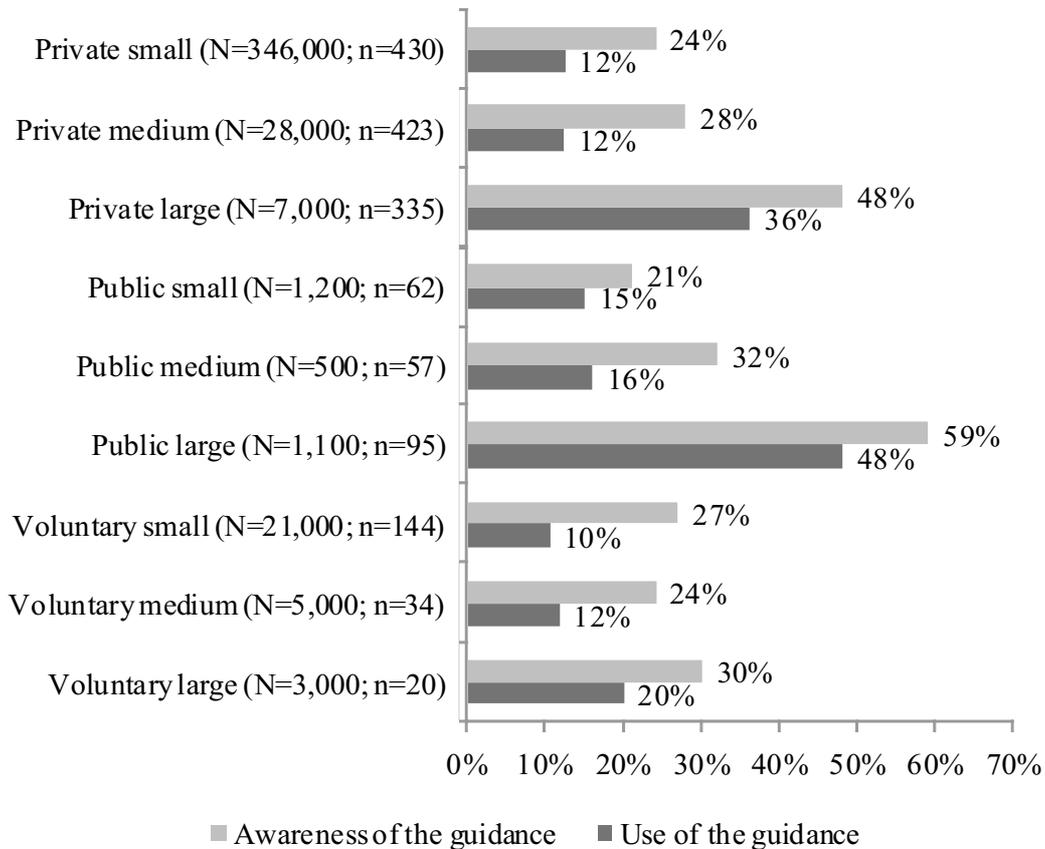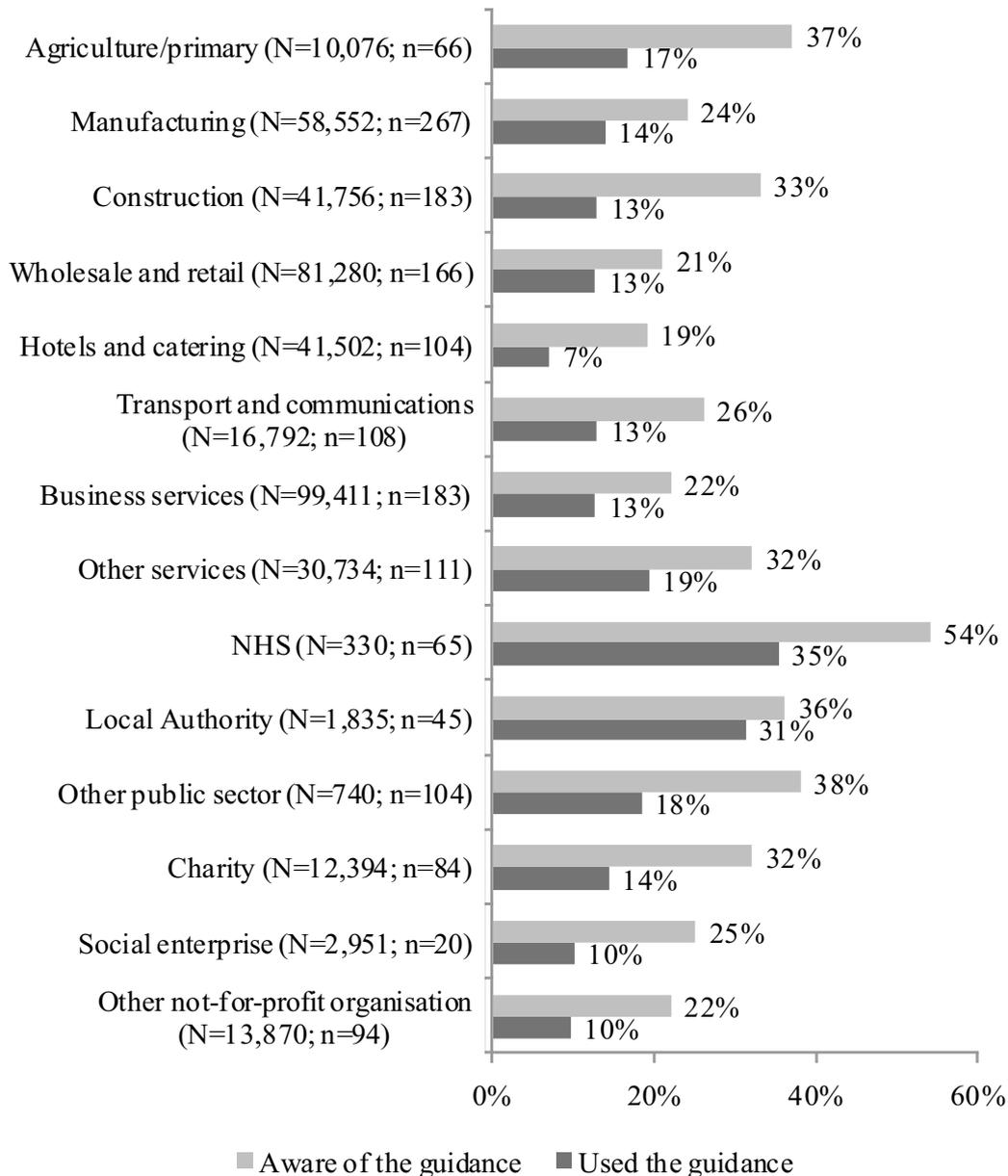

Figure 18 Proportion of all organisations in Great Britain with five or more employees that are led by directors that have read a copy of the guidance, split by activity sector (N=412,200; n=1,600)

5.5 HOW THEY ACCESSED THE GUIDANCE

We found that hard copy has proven to be the most popular format among directors; directors in 58% of organisations that had read the guidance did so in hard copy format.

Figure 19 below illustrates the estimated proportion of organisations in Great Britain with five or more employees that are led by directors who are aware of the guidance that have in fact read the guidance in whole or in part, split by delivery route:
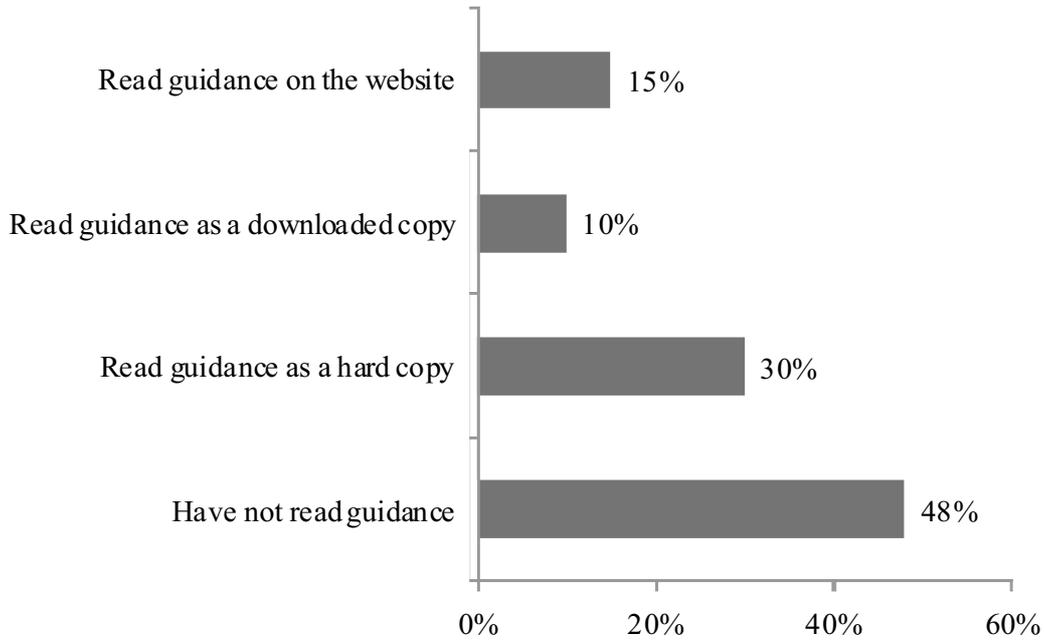
Figure 19 Proportion of all organisations in Great Britain led by directors who are aware of the guidance that have read the guidance, split by format used (formats are multiple response) (N=101,000; n=572)

There is a degree of variation in how organisations in different sectors access the guidance, as illustrated in Table 3 below:

Activity sector	Proportion accessing the guidance in each format (%)		
	Website	**Downloaded copy**	**Hard copy**
Agriculture/primary (N=1,682; n=12)	1	1	98
Manufacturing (N=8,085; n=47)	22	8	71
Construction (N=5,337; n=53)	27	11	65
Wholesale and retail (N=10,277; n=30)	25	4	73
Hotels and catering (N=2,846; n=16)	76	5	20
Transport and communications (N=2,154; n=27)	2	3	96
Business services (N=12,549; n=36)	35	55	26
Other services (N=5,913; n=21)	40	1	60
NHS (N=117; n=23)	13	39	57
Local Authority (N=571; n=14)	14	21	64
Other public sector (N=135; n=19)	26	16	58
Charity (N=1,771; n=12)	0	42	58
Social enterprise (N=295; n=2)	0	0	100
Other not-for-profit organisation (N=1,328; n=9)	22	22	67

Table 3 Proportion of organisations in Great Britain with five or more employees in each activity sector accessing the guidance in each format (multiple response) (N=53,000; n=321)

Hard copy has proven to be a particularly successful format in all activity sectors, but particularly for directors/board members in the agriculture/primary (98%), transport and communications (96%), and social enterprise (100%) activity sectors.

In the majority of activity sectors, online formats were less strong with the exception of the business service sector where 90% of those reading the guidance had looked at the guidance on the website and/or downloaded a copy. The business service sector were also the most likely to use more than one mechanism to access the guidance.

5.6 JOURNEYS OF THE GUIDANCE

We have conducted analysis of directors' responses to where they heard about and what they subsequently did with the guidance.

How they heard about the guidance	What they did with the guidance	Proportion (%)
Website/online	Kept for reference	6
Website/online	Passed to colleague	12
Website/online	Other/don't know	5
IOD sent a copy	Kept for reference	4
IOD sent a copy	Passed to colleague	2
IOD sent a copy	Other/don't know	4
Event/trade body/local council	Kept for reference	7
Event/trade body/local council	Passed to colleague	4
Event/trade body/local council	Other/don't know	0
Internal/colleague	Kept for reference	14
Internal/colleague	Passed to colleague	3
Internal/colleague	Other/don't know	0
External/consultant	Kept for reference	15
External/consultant	Passed to colleague	1
External/consultant	Other/don't know	2
Media	Kept for reference	2
Media	Passed to colleague	5
Media	Other/don't know	4
Other	Kept for reference	3
Other	Passed to colleague	1
Other	Other/don't know	0
Can't recall	Kept for reference	4
Can't recall	Passed to colleague	1

Table 4 Journeys of the guidance (N=53,000; n=321)

Interestingly, there seems to be a greater level of retention of the guidance among directors/board members that heard about the guidance from their colleagues or external consultants when compared to those hearing about the guidance from other sources.

Those finding out about the guidance on the website tended to read the guidance online or download a copy rather than ordering a hard copy. Directors/board members reading the guidance online or downloading a copy of the guidance were more likely to pass the guidance on to their colleagues.

Directors / board members that found out about the guidance whilst looking at the HSE website/via a web search were the most likely to take action in response to the guidance (62%) followed by those that found out about the guidance from colleagues/sub-ordinates (52%).

5.7   USE OF THE GUIDANCE: INTERPRETATION

Use of the guidance is generally in line with awareness; it is greatest amongst directors/board members:
-   In public sector organisations, noticeably the NHS
-   In larger organisations, in all sectors, but particularly the private and public sectors
-   In agriculture/ primary and construction activity sectors

The conversion rate from awareness to use was particularly high among local authorities, and lowest among the hotel and catering, construction and agriculture/primary activity sectors.

Hard copy has proven to be a particularly successful format in all activity sectors, but particularly for directors/board members in traditional activity sectors such as the agriculture/primary sector.

In the majority of activity sectors, online formats were less strong with the exception of the business service sector where 90% of those reading the guidance had looked at the guidance on the website and/or downloaded a copy. The level of use of online formats among business services is however to be expected due to the fact that the use of computers and the Internet is central to the operations of many business service firms.

Of those who had received the guidance, directors/board members of organisations that had implemented more of the behaviours tended to show greater tendency towards passing the guidance to their colleagues after reading it. Directors/board members in less than 5% of organisations that had implemented only two or three of the behaviours covered in this study did this, compared to 55% of organisations that had implemented all of the behaviours.

6   IMPACT OF THE GUIDANCE

6.1   INTRODUCTION

This section looks at the impact of the guidance on directors and board members. It explores what users thought of the guidance, the influence it has had on them and their organisation and action taken by directors and board members as a result of reading the guidance.

6.2   WHAT USERS THOUGHT OF THE GUIDANCE

The majority of directors/board members that had read the guidance had positive views about the guidance (60%). A minority of directors/board members that had read the guidance were negative about the guidance (3%). Over a third of directors/board members were neither positive nor negative about the guidance (37%).

Figure 20 below shows what directors and board members that had read the guidance thought of the guidance:
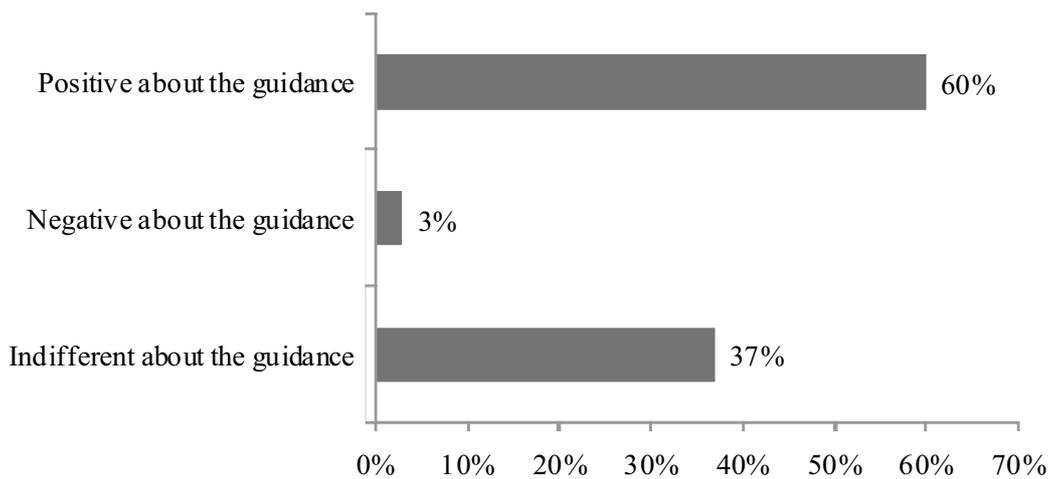
Figure 20 Proportion of directors who have used the guidance and their thoughts of the guidance (N= 53,000; n=319)

The comments below provide evidence of what directors and board members thought of the guidance. We have included a selection of positive and negative comments; as well as suggestions from respondents on how to improve the guidance in the future:

Positive comments

- *'It was practical advice and I think quite helpful to people like myself who are not trained in health and safety, and are not aware of all the reasons why these procedures are in place.'*
  [Private sector, other services, large (250+ employees)]

- *'It was excellent; it makes the legislation easier to understand in simple language. It also clarified the obligations for board members.'*
  [Private sector, business services, large (250+ employees)]

- *'I think it's good, we've been using it as a training resource. In particular the checklist at the back is good, we've been reverse engineering the questions, to see if senior management are comfortable in answering the questions.'*
  [Private sector, construction, large (250+employees)]

- *'I thought it was well written and easy to understand.'*
  [Public sector, other public sector, large (250+ employees)]

- *'Personally I thought it was excellent. Easy to understand on something that can be a technical subject. It also had easy to follow suggestions on good practice.'*
  [Private sector, hotels and catering, large (250+ employees)]

- *'It is fairly concise and readable. I am very busy as you can imagine so if I am to spend time reading it, it needs to be straightforward and it was.'*
  [Private sector, construction, medium (50- 249 employees)]

- *'It is very good as it has examples for different sectors; it was useful in explaining risk management and had examples of how to do a risk assessment.'*
  [Private sector, business services, small (5-49 employees)]

- *'I thought it was good, the benefit is that it sets a clear benchmark or code of practice. So if you fall below it, there's something to refer back to.'*
  [Private sector, agriculture and primary, large (250+ employees)]

Negative comments

- *'I thought it was quite fluffy. I don't think there was anything that we needed to do. There was nothing new in there for me or the company.'*
  [Private sector, construction, large (250+ employees)]

- *'There is nothing in it for organisations that are already committed to health and safety.'*
  [Public sector, education, large (250+ employees)]

- *'It's complicated and hard to apply to your organisation.'*
  [Private sector, retails and wholesale, small (5-49 employees)]

- *'A lot of it is common sense. A lot of new legislation always wants to blame somebody so I don't necessarily agree with it all. The guidance had nothing specific that stood out.'*
  [Private sector, business services, medium (50- 249 employees)]

- *'I think the messages are repeated rather too often, it lacks conciseness. It was rather drawn out and lengthy.'*
  [Private sector, manufacturing, medium (50- 249 employees)]

- *'None of it was relevant; I've made no changes to health and safety policies as a result of reading it.'*
  [Public sector, other public sector, small (5-49 employees)]

- *'In some areas it's very clear in other areas it's very woolly, it's quite contradictory, it appears as if three different people have written it and pieced it together.'*
  [Private sector, construction, medium (50-249 employees)]

- *'I still think that it lacks relevant detail to small organisations.'*
  [Private sector, transport and communications, small (5- 49 employees)]

- *'It seems ridiculous that it has only appeared just now. We were well ahead of it in terms of implementation.'*
  [Third sector, charity, small (5-49 employees)]

Suggestions for improvement

- *'I thought it gave a good explanation of health and safety; it's perhaps not as detailed regarding compliance. There's a big emphasis around the act and the results of it. But there's less about preventing exposure to its effects.'*
  [Private sector, other services, medium (50- 249 employees)]

- *'I thought it was a good basis to start from, which we then adapted internally. It is quite practical but needs adaptation, to make it more appropriate to other businesses.'*
  [Private sector, transport and communications, large (250+employees)]

- *'It was very focused just on health and safety. It should cover broader responsibilities.'*
  [Third sector, charity, medium (50 -249 employees)]

- *'It takes a long time to get into the detail. It needs to be more succinct.'*
  [Public sector, other public sector, small (5- 49 employees)]

- *'One needs to be produced for each sector.'*
  [Third sector, other not-for- profit organisation, small (5- 49 employees)]

- *'Possibly wasn't as good as the issue in 2002 but once I got into it, it was just as good. The new guidance was ok but not very user friendly and didn't hit home as much.'*
  [Private sector, construction, large (50 – 249 employees)]

6.3   RELEVANCE OF THE GUIDANCE

A large proportion of directors and board members that had read the guidance found it to be completely relevant to them personally (31%). A similar proportion found the guidance relevant to their organisation (29%). Only a minority of respondents found the guidance not to be relevant at all.

Figure 21 below shows how relevant directors and board members found the guidance to be to other board members, to their organisation and to them personally:
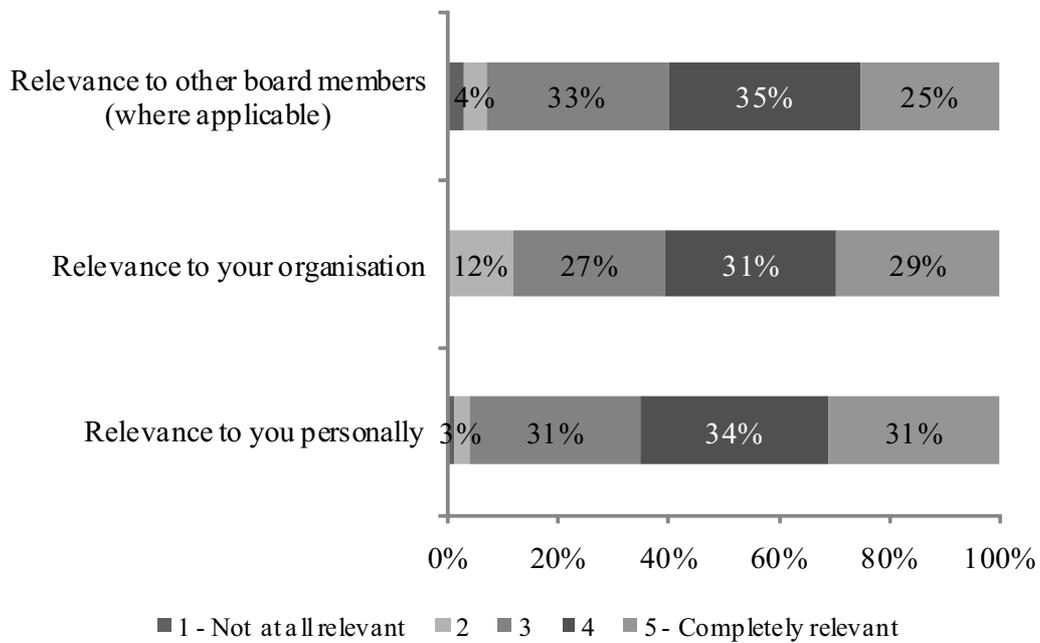
Figure 21 Proportion of directors who have used the guidance and their thoughts on the relevance of the guidance (N= 53,000; n=319)

6.4 INFLUENCE OF THE GUIDANCE

A large proportion of directors and board members who had read the guidance strongly agree that the guidance has improved their understanding of their responsibilities for health and safety in the organisation (39%); and has reassured them that they are compliant with health and safety regulations (37%).

Just under half of directors/board members who had read the guidance strongly agree or agree that the guidance has changed the way they will approach health and safety in their organisation (45%).

Only a minority disagree that the guidance has an influence on them.

Figure 22 below shows what influence the guidance has had amongst directors and board members:

Figure 22 Proportion of directors who have used the guidance and their thoughts of the guidance (N= 53,000; n=319)

6.5   ACTIONS TAKEN FOLLOWING USE OF THE GUIDANCE

Nearly half of directors/board members (48%) who have read the guidance have subsequently taken action and a further 3% are planning to. Figure 23 below what action directors and board members have taken or are planning to take since using the guidance:
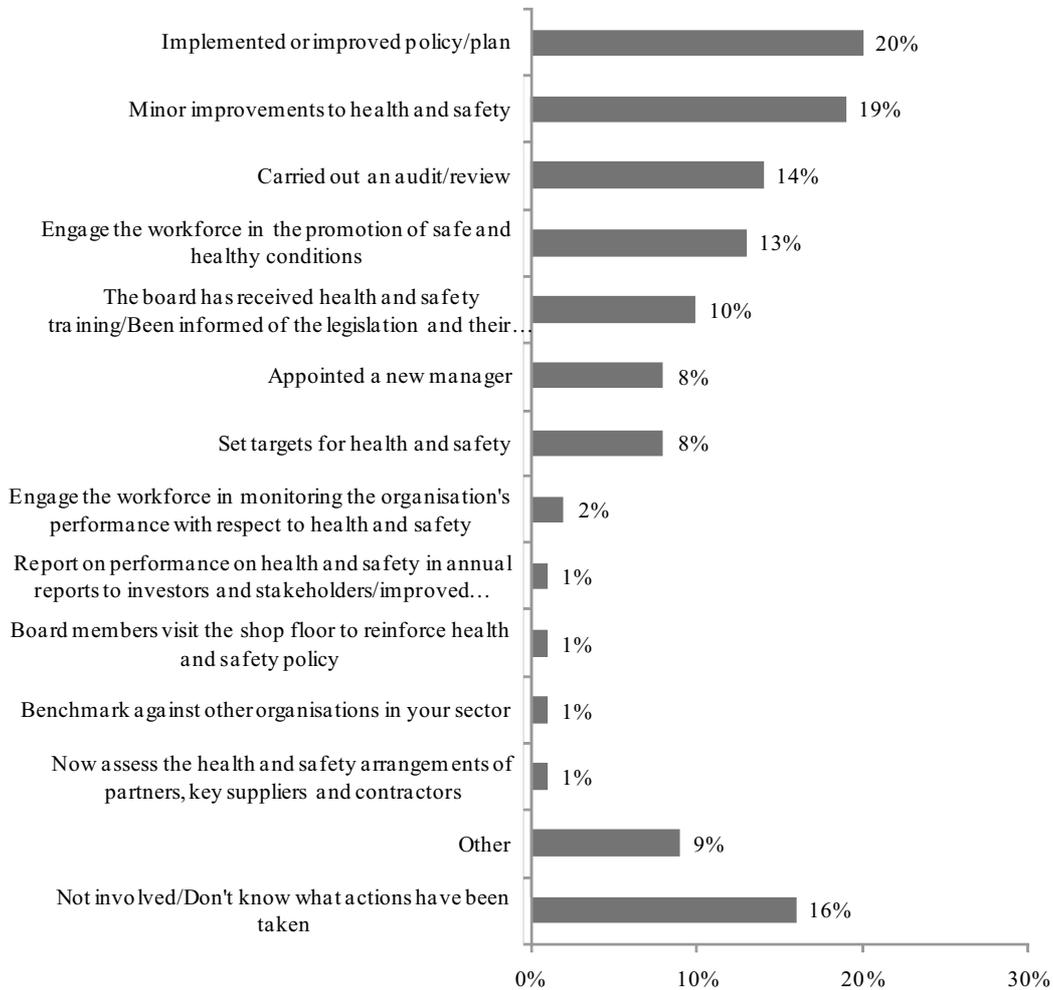
Figure 23 Action taken by directors and board members since using the guidance
(N=26,800; n=172)

Since using the guidance the actions directors and board members have undertaken the most are implementing a health and safety work plan (20%) and minor improvements to health and safety within the organisation (19%). A similar number have also carried out an audit or review in relation to health and safety (14%).

16% of directors/ board members who have read the guidance and subsequently taken action do not know the action that has been taken as a result. This is mostly the case where response to the guidance has been delegated.

Analysis of the types of organisations taking action shows that:

- Directors and board members of organisations in the public sector are more likely to have taken action following their use of the guidance (57%) compared to directors and board members of organisations in the private (49%) and third sectors (44%).

- There was a large variation in levels of action following use of the guidance amongst directors and board members of organisations in different activity sectors. Although few board members and directors of hotel and catering and business service organisations had read the guidance, where they had done so levels of action were high. 87% of directors and board members of hotels and catering organisations and 73% of directors and board members of business service organisation that read the guidance subsequently took action. Only 7% of directors and board members of retail and wholesale organisations that had read the guidance have subsequently taken action.

- 67% of directors and board members of large organisations took action after they had read the guidance compared to 49% of small organisations and 25% of medium sized organisations.

6.6   EVIDENCE OF LEADERSHIP

The guidance encourages directors and board members to lead their organisation in terms of health and safety and take responsibility for their organisation's health and safety performance. One way to measure this is to look at the language that directors and board members use to express the actions that they are taking with regards to health and safety. Those leading their organisation in terms of health and safety may refer to actions they themselves are taking (i.e. use the term 'I'), whereas those taking an organisational response to health and safety may use the term 'we'[18].

Analysis of the language used to express the ownership of actions taken by organisations shows that 14% use 'I' and are, perhaps, showing personal leadership on the issue. In 78% of cases, respondents referred to action taken by a group ('we') and in 8% of cases it was not clear to whom the action was attributed.

Example comments from respondents include:

Use of 'I'
- *"I have made the board aware of its existence and I have been briefing them about the Corporate Manslaughter Act."*
  [Private sector, transport and communications, large (250+ employees)]

- *"I trained the board using the guidance. I discussed with individual board members their responsibilities with regards to health and safety."*
  [Private sector, wholesale and retail, large (250+ employees)]

- *"I've revised our health and safety in terms of looking at targets, good practise, and how we manage it. Health and safety is easy to forget about but it needs to be at the forefront of everyone's mind."*
  [Private sector, business services, small (5-49 employees)]

- *"I have initiated workshops and managers work- books endorsing this publication."*
  [Private sectors, wholesale and retail, large (250+ employees)]

Use of 'We'
- *"We have reviewed our health and safety policy to improve it and make sure everything is in place and that it is better."*
  [Private, construction, small (5- 49 employees)]

- *"We have updated our policies and the handling of health and safety issues."*
  [Public, education, small (5- 49 employees)]

- *"Our internal audit department set up a checklist and we benchmarked ourselves against the guidance."*
  [Public sector, NHS, large (250+ employees)]

- *"We reviewed procedures; we looked at working hours and fatigue following the Corporate Manslaughter legislation. As it is so far reaching we looked at all processes to make sure we were covered."*
  [Private sector, transport and communications, large (250+ employees)]

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[18] *The results of this analysis are indicative only, as many directors might quite appropriately consider 'health and safety' leadership a collective, board responsibility. It does however provide an indication of instances where directors have taken it upon themselves to take action as an individual.*

6.7   IMPACT OF THE GUIDANCE: INTERPRETATION

The guidance has been well received by the majority of directors/board members that have read it; the majority having positive views about the guidance (60%). Only 3% of directors/board members that had read the guidance expressed a negative view.

Directors/board members typically found the guidance to be relevant to them with a large proportion finding the guidance completely relevant to them personally (31%), and to their organisation (29%).

Use of the guidance has translated into action in nearly half of all cases (48% of those that had read the guidance took action), with the most common actions including:

1. Minor improvements to health and safety
2. Implementing or improving a health and safety policy/plan
3. Carrying out an audit or review of health and safety in their organisation
4. Engaging the workforce in the promotion of safe and healthy conditions
5. Board level training/awareness raising about responsibilities for health and safety

Analysis of the language used to express the ownership of actions taken by organisations shows that 14% use 'I' and are, perhaps, showing true leadership on the issue. In 78% of cases, respondents referred to action taken by a group ('we') and in 8% of cases it was not clear to whom the action was attributed.

Directors/board members of 55% of organisations with limited evidence of having implemented the behaviours covered in this study took some action having read the guidance. It appears therefore that directors/board members of organisations with limited health and safety procedures may have felt compelled to take additional action having read the guidance.

7   CONCLUSIONS AND IMPLICATIONS

7.1   IMPRESSIONS AND IMPACT OF THE GUIDANCE

The majority of directors/board members that had read the guidance were positive about it, with many commenting that they felt it was clearly written, well structured and contained practical advice (e.g. the checklist).

Those that were negative about the guidance tended to fall into two categories:
1. Those that were already strongly committed to achieving high performance with respect to health and safety – these organisations felt the guidance did not provide them with anything new; in all instances there was limited scope for improvement.
2. Small organisations that felt that the guidance was complicated and not sufficiently tailored to their needs.

Some respondents made suggestions for improvements ranging from developing a series of sector specific guides to producing a more succinct version; however, as the suggestions were varied, we would recommend that more detailed feedback on the structure, content and language used in the guidance is obtained in subsequent research.

Almost half (48%) of organisations led by directors/board members that have read the guidance have taken subsequent action; the most common actions were:

1. Minor improvements to health and safety
2. Implementing or improving a health and safety policy/plan
3. Carrying out an audit or review of health and safety in their organisation
4. Engaging the workforce in the promotion of safe and healthy conditions
5. Board level training/awareness raising about responsibilities for health and safety

A key aim of the guidance was to encourage directors/board members to lead on health and safety in their organisations. Analysis of the language that they used in describing the actions taken tends to suggest that a relatively small proportion of directors/board members has adopted a personal leadership role in their organisation following use of the guidance - though individuals may see their personal role as being expressed through the board collective. This should be explored in more detail in follow up research to determine the impact the guidance has had on individual leadership behaviour.

Analysis of the behaviour of the market with respect to health and safety presented in Figure 2 of the report would suggest that there is a great deal of scope to further encourage directors/board members to lead on health and safety; however, we found that a large proportion are already taking steps to go beyond the basics.

Only two directors/board members interviewed that had read the guidance did not see the relevance of the guidance at any level; both were responsible for small organisations. Responses from both of the directors would suggest that they had not looked at the guidance in detail.

7.2   FUTURE MARKETING OF THE GUIDANCE

A quarter of organisations in Great Britain with five or more employees are led by directors that are aware of the guidance. Around half of this awareness has resulted in use of the guidance; 13% of all organisations in Great Britain with five or more employees are led by directors/board members that have looked at or read the guidance in whole or in part.

Issuing hard copies through the Institute of Directors (IoD) has proven to be particularly useful in reaching the target audience (12% of those who were aware of the guidance found out about it in this way); however, word-of-mouth recommendation from colleagues, typically sub-ordinates with responsibilities for health and safety was found to be the most successful promotion route (18%).

This suggests that future marketing targeted at senior management teams encouraging them to pass the guidance on to their superiors may be an effective means of increasing awareness.

Based on our experience of talking to senior management en route to appropriate board level respondents, we would recommend that the messages used in promoting the guidance through this route concentrate on the benefits to the senior management team as much as the benefits to the directors (e.g. "guidance to help you to make your board aware of its health and safety responsibilities").

We would also recommend that the HSE separately evaluates each of the mechanisms used to promote the guidance to determine the strengths and weaknesses of each, in particular to determine the coverage by activity sector. For example, it is likely that membership of the IoD will vary by activity sector.

This will enable the HSE to identify areas where alternative promotion routes to market will need to be found.

8 APPENDIX

8.1 GLOSSARY OF KEY TERMS

Term	Definition
'the guidance'	INDG417: Leading Health and Safety at Work: leadership actions for directors and board members
'user'	Defined as being a director or board member who has looked at, or read the guidance in whole or in part (INDG417)
'director or board level'	Used to indicate the type of respondent that the research was conducted with; in some enterprises (e.g. smaller enterprises with unlimited liability) the term is not entirely accurate. In smaller organsiations it is typically the owner/partner who has ultimate responsibility for health and safety
'leadership'	Directors and board members taking it upon themselves to direct action with regard to health and safety
'HSE'	Health and Safety Executive
'IoD'	Institute of Directors
'HSC'	Health and Safety Commission
'CBI'	Confederation of British Industry
'RoSPA'	Royal Society for the Prevention of Accidents
'ONS'	Office of National Statistics
'IDBR'	Inter-Departmental Business Register

Table 5 Glossary of terms used in this report

8.2 QUESTIONNAIRE

Introduction to gatekeeper[19]:
Good morning/afternoon. My name is X and I am calling on behalf of the Health and Safety Executive.

IF RESPONDENT ASKS FOR CLARIFICATION ON THE HSE;
"The Health and Safety Executive (HSE) is the Government agency responsible for promoting better health and safety at work in Great Britain"

For organisations with less than 50 employees;
Can I just check, is this your only site, or do you have other sites?
- a. Only site – continue
- b. Multi-site – can I confirm that this is the head office?

     If not head office;
Could you give me the number for your head office (corporate headquarters)?

     If single site or head office;
Could I speak to the owner or Director of the organisation?

For organisations with 50 employees or more;
Can I just check, is this your only site, or do you have other sites?
- a. Only site – continue
- b. Multi-site – can I confirm that this is the head office?

     If not head office;
Could you give me the number for your head office (corporate headquarters)?

     If single site or head office;
Do you have a board member who is responsible for Health and Safety?
- o Yes – obtain contact name and number
- o No or don't know:
  - Rotate through a list of Director titles to obtain contact name and number
    - Managing Director
    - Operations Director
    - HR Director
    - Finance Director

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[19] Note that the approach in the introduction may varied where we had a director contact name. In these instances we aimed to speak to the named contact to check whether there was a director with specific responsibility for health and safety; if not, we interviewed the named contact (provided they are a board level respondent).

Introduction to the respondent:

Good morning/afternoon. My name is X and I am calling on behalf of the Health and Safety Executive. We are doing some work looking into the awareness and use of one of their publications that was published towards the end of last year, and would like to have a chat with you to find out about your organisation, how you deal with health and safety and whether you've heard about/used the new guidance?

This interview is entirely anonymous and no individual responses will be fed back to the HSE.

Is now a good time? It should take no more than 15 minutes of your time.

IF RESPONDENT ASKS FOR CLARIFICATION ON THE HSE;
"The Health and Safety Executive (HSE) is the Government agency responsible for promoting better health and safety at work in Great Britain"

Questions for the respondent

1. What is your job title? (Record verbatim and categorise)
   a. Owner/Partner/Managing Director
   b. Health and Safety Director
   c. Other Director with responsibility for Health and Safety
   d. Other Director – what is your job title?

2. Is your organisation based in:
   a. Private sector
   b. Public sector
   c. Third sector - non-governmental organisations that are value-driven and which principally reinvest their surpluses to further social, environmental or cultural objectives. (It includes voluntary and community organisations, charities, social enterprises, cooperatives and mutuals).

3. **If private sector**; what does your organisation do? (Record verbatim and categorise)
   a. Agriculture/primary
   b. Manufacturing
   c. Construction
   d. Wholesale and retail
   e. Hotels and catering
   f. Transport and communications
   g. Business services
   h. Other services

4. **If public sector**; what does your organisation do?
   a. NHS
   b. Local Authority
   c. Other public sector

5. **If third sector**; what does your organisation do?
    a. Charity
    b. Social enterprise
    c. Other not-for-profit or voluntary organisation – what?

6. How many people does your organisation employ in total in Great Britain (incl. full and part time)? (Capture number and categorise – if unable to provide figure prompt with bands)
    a. 0-4 employees – close interview
    b. 5 – 49 employees (Small)
    c. 50 – 249 employees (Medium)
    d. 250+ employees (Large)
    e. Don't know – close interview – information required for weighting
    f. Refused – close interview – information required for weighting

7. **BEHAVIOUR QUESTIONS: (rotate)**
    a. Does health and safety appear on the agenda for board meetings?
    b. Has your board nominated a member to "champion" health and safety at board level?
    c. Does your board set targets for health and safety?
    d. Does your board ensure your organisation has health and safety standards for the procurement of goods, equipment and services?
    e. Does your board ensure your organisation assesses the health and safety arrangements of partners, key suppliers and contractors?
    f. Does your board monitor the sickness absence and workplace health of your workers?
    g. Does your organisation publicly report its performance on health and safety in annual reports?
    h. Do you benchmark your organisation's health and safety performance against that of other organisations?

    Select from: (Yes; started in or since October 2007 / Yes; started before October 2007 / No/ Don't know/ Not applicable)

8. Where they say yes to one or more, CATI software to select one at random for interviewer to ask how. Capture verbatim.
    a. You mentioned that Health and Safety appears on the board's agenda. How often does health and safety appear on the board's agenda? What prompts it to appear?
    b. You mentioned that you have appointed someone to champion health and safety. Who did you nominate to champion health and safety [POSITION, NOT NAME]? Why did you nominate someone to act as a champion?
    c. You mentioned that you set targets for health and safety. What prompted you to set health and safety targets?
    d. You mentioned that you ensure your organisation sets health and safety standards for procurement. What prompted you to ensure health and safety standards are set for procurement?

e. You mentioned that you ensure your organisation assesses the health and safety arrangements of partners. What prompted you to ensure the health and safety arrangements of partners are assessed?

f. You mentioned that you monitor the sickness absence and workplace health of your workers. How do you do that?

g. You mentioned that your organisation reports on health and safety in your annual report? What do you report (with respect to health and safety)?

[This question was used to verify what they have said (for quality purposes) and to provide examples illustrating what they are doing].

For all respondents that benchmark their performance against other organisations:
You mentioned that you benchmark your health and safety performance against other organisations. Who do you benchmark against, how do you share information? Do you use a tool to do this (e.g. CHaSPI – HSE's Corporate Health and Safety Performance Index or Business Link's 'health and safety performance indicator')? If so, what is it called?

9. [unprompted] Are you aware of recent legislation that affects the responsibilities of directors? If so, what legislation are you aware of?' (multiple response. Note: we do not need exact name e.g. for option (a), "new law on corporate manslaughter" will be sufficient.)
    a. Corporate Manslaughter and Homicide Act 2007
    b. Companies Act 2006
    c. Aware of changes, but cannot recall the name of the legislation
    d. Not aware of any recent legislation changes

10. Prior to our conversation, were you aware that at the end of last year the Health and Safety Executive and Institute of Directors had jointly published guidance for directors on Health and Safety?
    a. Aware of publication and could recall name – Leading Health and Safety at work
    b. Aware that a publication had been produced, could describe, but could not recall name
    c. Aware that a publication had been produced, could **not** describe or recall name
    d. Aware of other publications on the topic, but not Leading Health and Safety at Work
    e. Not aware

11. If not aware or only aware of other publications; the publication is called Leading Health and Safety at work. Have you heard of it? DESCRIBE IN MORE DETAIL IF NECESSARY. USE THE FOLLOWING DESCRIPTION: The hard copy of the guidance has the Institute of Directors (IoD's) and Health and Safety Commission's (HSC's) logos on the front cover. It has a blue/green cover, is 12 pages long and A4 size. The guidance is set out as an agenda for action - plan, deliver, monitor and review; includes a checklist, case studies and advice on legal liability including reference to the new law on corporate manslaughter (in Scotland called corporate homicide).

    a. Yes

    b. No

If not aware of the document after prompting;

12. Where do you typically go for information regarding your responsibilities as an Owner/Director/Board Member for Health and Safety? (Capture verbatim) (multiple response)

    a. Internal expert – who? (ROLE OR POSITION, NOT NAME)

    b. External support – consultant

    c. External support – trade associations

    d. External support – government online resources – what?

    e. External support – other non-government online resources – what?

    f. External support – local Business Link office

    g. Other – what?

    h. Don't think they have responsibilities for health and safety

    i. Do not seek information regarding responsibilities for health and safety

    ➔ Not aware of the document after prompting, skip to q.26

If aware of the document;

13. How did you hear about it? (unprompted; multiple response) Categorise:

    a. Browsing the HSE website

    b. A copy was sent out through the IoD

    c. Attended CBI conference

    d. Attended EEF seminar on corporate manslaughter

    e. Attended RoSPA roadshow

    f. Other conference/event – what?

    g. Via trade bodies – which?

    h. Word of mouth – colleagues

    i. Word of mouth – other external party

    j. Television

    k. Radio

    l. Press / publication

    m. IoD website

    n. Web search

    o. Other – what?

14. Have you read the guidance? (multiple response)
    a. Yes – on the website
    b. Yes – downloaded a copy
    c. Yes – hard copy
    d. No

    ➔ If they did read the guidance, skip to Q19

15. **If aware, but not read;** have you read any commentaries or editorials concerning the guidance?
    a. Yes – where? What do you recall this said about the guidance?
    b. No

16. **If aware, but not read**; have you received a copy (hard/electronic)?
    a. Yes
    b. No

17. **If received a copy, but not read**; what did you do with the guidance?
    a. Kept it for future reference/added to favourites/similar
    b. Threw it away
    c. Passed it on to a colleague (hard copy/electronically) – who (capture job title)?
    d. Other – what?
    e. Don't know

18. **If passed on to a colleague, but did not read themselves**; why did you pass the guidance on to someone else rather than reading it yourself?

    ➔ If they did not read the guidance themselves, skip to q.26

If they did read the guidance themselves;

19. What did you do with the guidance once you had read it?
    a. Kept it for future reference/added to favourites/similar
    b. Threw it away
    c. Passed it on to a colleague (hard copy/electronically) – who (capture job title)?
    d. Other – what?
    e. Don't know

20. **If passed on to a colleague**; why did you pass the guidance to your colleague(s)? (capture verbatim)

If read some or all of the guidance themselves;

21. What did you think about the guidance? (unprompted, capture verbatim and code. Verbatim positive and negative responses to be coded in analysis stage):
    a. Positive about the guidance
    b. Negative about the guidance
    c. Indifferent about the guidance

22. How relevant was the guidance to (1-5 scale 'not at all relevant' to 'completely relevant'):
    a. You personally
    b. Your organisation
    c. Other members of your board (categorise as not applicable if organisation has no board)

23. Would you agree/disagree that reading the guidance has:
    a. Improved your understanding of your responsibilities for Health and Safety in your organisation
    b. Changed the way you will approach Health and Safety in your organisation
    c. Reassured you that you are compliant with Health and Safety regulations
    Is that strongly agree/disagree?

24. Have you taken any action having read the guidance – capture verbatim:
    a. Yes – action taken – what did you do?
    b. Planning to take action – what are you planning to do?
    c. No – why not?

    If actions taken or planned; actions were coded against the following code frame:
    i. Health and safety appears on the agenda for board meetings (or more regularly)
    ii. Nominated a board member to "champion" health and safety at board level
    iii. Set targets for health and safety
    iv. Approached non-executive directors to scrutinise arrangements to inform your board about your organisation's health and safety performance
    v. Board members visiting the 'shop floor' comply with health and safety measures and immediately address any breaches
    vi. Health and safety now considered when deciding senior management appointments
    vii. Health and safety standards introduced for the procurement of goods, equipment and service
    viii. Now assess the health and safety arrangements of partners, key suppliers and contractors
    ix. Introduced a health and safety committee as a subset of the board
    x. The board has received health and safety training
    xi. Engaged the workforce in the promotion of safe and healthy conditions

xii. Monitor sickness absence and workplace health of workers

xiii. Benchmark against other organisations in your sector

xiv. Consider health and safety when appraising senior managers

xv. Receive regular reports on the health and safety performance and actions of contractors

xvi. Engage the workforce in monitoring the organisation's performance with respect to health and safety

xvii. Publicly report or have arranged to publicly report on performance on health and safety in annual reports

xviii. Board members make extra 'shop floor' visits to gather information for the purpose of formal review

xix. Celebrate good health and safety performance throughout the organisation

xx. Other [we introduced additional codes as required]

Finally, I'd just like to ask a couple of questions about where your organisation is based:

25. **All respondents**; Can I just confirm that your UK head office is based in: (using database criteria or information from gatekeeper):
    a. England
    b. Scotland
    c. Wales
    d. Elsewhere – close interview

26. Can I also confirm your Head Office postcode? (postcode will be used to determine region)

27. Thank you for your time, I think that's all my questions. As part of our quality procedures our research manager might call you back to verify some of your answers, is this OK?

28. Would you be willing to take part in any follow-up research that the HSE undertakes in the future? Your contact details would only be used for research purposes and no information about individuals or individual organisations would be fed back to the HSE.

29. Finally, would you like to take Databuild's number or the MRS freephone number to check who were are and what we do?

30. Close – thank you for your time

If the respondent asks how to obtain a copy or copies of the guidance at any point during the interview:

You can visit www.hse.gov.uk/leadership. Copies of 'Leading health and safety at work: leadership actions for directors and board members' INDG417 are available in priced packs from HSE Books. Single free copies are also available from HSE Books - telephone 01787 881165 or visit www.hsebooks.co.uk. The address for HSE Books is PO Box 1999, Sudbury, Suffolk CO10 2WA.

8.3   RESPONSES TO THE BEHAVIOUR QUESTIONS

What follows is a list of the questions that we used to explore the behaviours; each question is followed by representative verbatim responses:

How frequently health & safety appears on the agenda at board meetings?
- *"Health and safety appears on the agenda quarterly- new legislation is discussed and health and safety arrangements are reviewed."*
[Private sector, personal service, large (250+ employees)]

- *"Health and safety appears on the agenda as standard twice per year. We will also have extra meetings, should anything occur or need discussing."*
[Private sector, wholesale and retail, small (5-49 employees)]

- *"It is addressed every time we meet. We have a responsibility to the workforce, and legislation demands it."*
[Private sector, business service, large (250+ employees)]

- *"We have monthly board meetings, health and safety is discussed in every meeting, it's just a very hot topic, we have to have things in place if we want to work with all of our contractors."*
[Private sector, construction, medium (50-249 employees)]

- *"We discuss it whenever we require an update of the current situation. Reported incidents would also prompt it to appear at board meetings."*
[Private sector, construction, medium (50-249 employees)]

Has the board nominated a member to champion health and safety at board level?
- *"It was required by the senior management team to have a point of contact on the board and the health and safety officer reports to me so I was the logical choice."*
[Third sector, not-for-profit organisation, small (5-49 employees)]

- *"We appointed the production director to deal with health and safety at board level, he deals with the employees the most and we felt that it is important to have someone at a high level, would have more of an influence."*
[Private sector, manufacturing, medium (50-249 employees)]

- *"We nominated the CEO to champion health and safety. He was nominated to look at internal activities and hold regular meetings with the internal health and safety group; that includes trade union members."*
[Public sector, local authority, large (250+ employees)]

- *"We nominated our Director for Regulations and Investment because it was part of the guidance from the HSE."*
[Private sector, personal services, large (250+ employees)]

- *"We thought that it should be led by the most senior member of the business and because they have a lot of professional experience of the area."*
[Private sector, business service, large (250+ employees)]

- *"It's our MD because we recognise the fact that for us to have a successful business we need to make sure that customers and employees are safe."*
[Private sector, hotels and catering, large (250+ employees)]

Does the board set targets for health and safety? What prompted you to do so?

- *"It was essentially for our accreditation process for the ISO18001."*
  [Private sector, construction, small (5-49 employees)]

- *"We have a policy to look after employees; every accident must be monitored and recorded. Obviously we want to look after our employees, but reducing accidents also saves time and money so that prompted us too."*
  [Private sector, manufacturing, medium (50-249 employees)]

- *"It was actually our customers - they were demanding certain minimum threshold standards - in terms of lost time due to accidents."*
  [Private sector, construction, medium (50-249 employees)]

- *"Simply because of the liability involved, and the legislation surrounding health and safety, we set targets for how often the health and safety team visit locations, what to do and when to do audits."*
  [Private sector, manufacturing, large (250+ employees)]

- *"Partly because of the NHS annual health checks, and partly to counter fraud and security management"*
  [Public sector, NHS, large (250+ employees)]

- *"Purely to see we are complying with regulations."*
  [Private sector, business service, small (5-49 employees)]

Does the board ensure the organisation has health and safety standards for the procurement of goods, equipment and services- what prompted you?

- *"We ensure suppliers are fully insured, if any building work is carried out we ensure they are compliant, it is part of running a business."*
  [Private sector, wholesale and retail, large (250+ employees)]

- *"We had an inspection by external HSE officers which made us more aware of what we needed to do."*
  [Private sector, manufacturing, small (5-49 employees)]

- *"If we purchase things that don't work properly then there will be health and safety issues for the staff and this will affect the efficiency of the organisation. We have to make sure that things work properly and are safe and that staff are aware of health and safety issues."*
  [Private sector, wholesale and retail, medium (50-249 employees)]

- *"It's based on good health and safety practice. It's about recognising that health and safety is relevant to all aspects of our work, including procurement."*
  [Public sector, NHS, medium (50-249 employees]

Does the board ensure the organisation assesses the health and safety arrangements of partners, suppliers and contractors; what prompted you?

- *"Due to the industry we are in, we need to make sure that sub-contractors and suppliers have the required health and safety documents in place before we employ them. If not there's high risk involved."*
  [Private sector, construction, large (250+ employees)]

- *"It's all the new talk of corporate manslaughter and new legislation that compels us to."*
  [Private sector, wholesale and retail, small (5-49 employees)]

- *"It's basically ensuring that those working on our premises are safe, we don't want to be liable."*
  [Private sector, manufacturing, medium (50-249 employees)]

- *"If something goes wrong with that worker we send out, we have to be sure that we have taken every step to meet the health and safety requirements, we also have to meet the new BRC standard."*
  [Private sector, business service, medium (50-249 employees)]

Does the board monitor sickness absence and workplace health- how do you do this?

- *"We've got a central filing system where we record all absences and the reason why. We have a follow up if the absences are regular or as a result of a health and safety issue."*
  [Private sector, construction, medium (50-249 employees)]

- *"Everyone fills in the relevant sickness and absence forms which are collated by HR and the statistics are reviewed monthly by the board."*
  [Private sector, manufacturing, medium (50-249 employees)]

- *"It's a very informal arrangement. There are two or three people who keep track of absence and we'll find out if it's serious or work-related."*
  [Private sector, business service, small (5-49 employees)]

- *"The office manager does general sickness absence monitoring. If there's workplace health issues identified then it is at that point it becomes a board level issue."*
  [Third sector, charity, small (5-49 employees)]

- *"We have an online HR online administration system. All combined system which records holidays, sickness etc. and gives weekly and monthly stats. Trends are not discussed at board unless there is a specific incident."*
  [Private sector, business service, small (5-49 employees)]

Does the organisation publicly report its performance- what does it report?

- *"We report our performance on our website which is approved by the board and all the board meeting's minutes are made public."*
  [Public sector, large (250+ employees)]

- *"We report any incidents or near misses that have occurred in the year. We also report any accidents or concerns that have been raised by staff."*
  [Third sector, charity, large (250+ employees)]

- *"We report the outcome of audits done and if there's any pending issues or things that need to be done regarding any new legislation."*
  [Private sector, business service, medium (50-249 employees)]

- *"Annually we report accidents, expenditure on health and safety and any changes to our health and safety policy."*
  [Public sector, local authority, small (5-49 employees)]

- *"We report on anything that is relevant to health and safety that has come up during the year- so it varies from year to year. We only report on things that have happened, not potential risks for example."*
  [Public sector, local authority, small (5-49 employees)]

Do you benchmark your health and safety performance against that of other organisations?

- *"All probation areas are part of a National Offender Management Service. Monitored at national level - data is harvested from reports we send in and then they send a quarterly report out to all the organisations."*
  [Public sector, large (250+ employees)]

- *"An annual report is prepared and consolidated for all worldwide organisations."*
  [Private sector, manufacturing, large (250+ employees)]

- *"Civil Engineering Contractors Association request statistics; information on accidents and training annually, then they produce an overall report."*
  [Private sector, construction, medium (50-249 employees]

- *"It is done electronically and meetings in person every 6 months. We are members of CHASPI."*
  [Private sector, construction, medium (50-249 employees]

- *"It is done through the British Hoteliers Association. Meetings in person are held. We also use events like the RoSPA awards to get an external idea of where we are in relation to our sector."*
  [Private sector, hotels and catering, large (250+ employees)]

- *"Informally via word of mouth with other rental and retail companies."*
  [Private sector, wholesale and retail, medium (50-249 employees)]

8.4 NUMBERS OF INTERVIEWS COMPLETED IN EACH STRATUM COVERED BY THE STUDY

Activity sector (SIC 2003 division)	Number of interviews - sample			
	5 – 49 emps	50 – 249 emps	250+ emps	TOTAL
England – Agriculture (A/B)	23	32		**55**
England – Manufacturing (C/D/E)	31	37	37	**105**
England – Construction (F)	32	35	32	**99**
England – Wholesale and retail (G)	31	30	31	**92**
England – Hotels and catering (H)	17	27	28	**72**
England – Transport and comms (I)	16	33	34	**83**
England – Business services (J,K)	40	29	32	**101**
England – Other services (O,P)	24	28	32	**84**
England – Total	**214**	**477**		**691**
Scotland – Agriculture (A/B)				
Scotland – Manufacturing (C/D/E)				
Scotland – Construction (F)				
Scotland – Wholesale and retail (G)	115	102	80	**297**
Scotland – Hotels and catering (H)				
Scotland – Transport and comms (I)				
Scotland – Business services (J,K)				
Scotland – Other services (O,P)				
Scotland – Total	**115**	**102**	**80**	**297**
Wales – Agriculture (A/B)				
Wales – Manufacturing (C/D/E)				
Wales – Construction (F)				
Wales – Wholesale and retail (G)	101	76	23	**200**
Wales – Hotels and catering (H)				
Wales – Transport and comms (I)				
Wales – Business services (J,K)				
Wales – Other services (O,P)				
Wales – Total	**101**	**76**	**23**	**200**
Public Sector Great Britain NHS Trusts	65			65
Public Sector Great Britain Local Authorities[20]	45			45
Public Sector Great Britain Other public sector	104			104
Great Britain Third Sector – voluntary and not-for-profit organisations	198			198

Table 6 Number of interviews completed in each stratum covered by the study

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[20] *'Local Authorities' comprises enterprises registered with the local authority legal status on the IDBR; therefore the local authority sample includes affiliated organisations such as housing associations.*

8.5 POPULATION DATA FROM THE IDBR PROVIDED BY ONS FOR EACH STRATUM COVERED BY THE STUDY

Sector (SIC 2003 division)	Number of organisations - population			
	5 – 49 emps	50 – 249 emps	250+ emps	TOTAL
England – Agriculture (A/B)	8,010	263		**8,273**
England – Manufacturing (C/D/E)	40,495	6,136	1,486	**48,117**
England – Construction (F)	31,478	1,756	283	**33,517**
England – Wholesale and retail (G)	67,342	3,996	1,004	**72,342**
England – Hotels and catering (H)	35,129	1,761	322	**37,212**
England – Transport and comms (I)	13,513	1,322	427	**15,262**
England – Business services (J,K)	81,976	7,481	2,022	**91,479**
England – Other services (O,P)	26,569	1,442	389	**28,400**
England – Total	**304,512**	30,090		334,602
Scotland – Agriculture (A/B)				
Scotland – Manufacturing (C/D/E)				
Scotland – Construction (F)				
Scotland – Wholesale and retail (G)	26,644	2,318	523	**29,485**
Scotland – Hotels and catering (H)				
Scotland – Transport and comms (I)				
Scotland – Business services (J,K)				
Scotland – Other services (O,P)				
Scotland – Total	**26,644**	**2,318**	**523**	**29,485**
Wales – Agriculture (A/B)				
Wales – Manufacturing (C/D/E)				
Wales – Construction (F)				
Wales – Wholesale and retail (G)	14,696	1,083	238	16,017
Wales – Hotels and catering (H)				
Wales – Transport and comms (I)				
Wales – Business services (J,K)				
Wales – Other services (O,P)				
Wales – Total	**14,696**	1,083	**238**	16,017
Public Sector Great Britain NHS Trusts	330			330
Public Sector Great Britain Local Authorities[21]	1,835			1,835
Public Sector Great Britain Other public sector	740			740
Great Britain Third Sector – voluntary and not-for-profit organisations	29,215			29,215

Table 7 The total number of organisations with five or more employees in each stratum covered by the study

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[21] *'Local Authorities' comprises enterprises registered with the local authority legal status on the IDBR; therefore the local authority population figure includes affiliated organisations such as housing associations.*

Evaluation of guidance for directors and board members

In late 2007, the Health and Safety Executive (HSE) and Institute of Directors (IoD) jointly published guidance for directors encouraging them to lead on health and safety in their organisations; the publication was entitled '*Leading Health and Safety at Work: leadership actions for directors and board members*' (INDG417) .

Databuild Ltd was commissioned by the Central Office of Information (COI) to conduct research on behalf of the HSE to establish:

■ The level of awareness of the new guidance among its target market.
■ How directors and board members had heard about and accessed the guidance.
■ The number of directors that have read the guidance.
■ Whether the guidance is considered relevant and influential.
■ Whether action has been taken (or planned) as a result of the guidance.

This report outlines the key findings from the research and identifies opportunities for the Health and Safety Executive to further promote the guidance.

RR695

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