

# Chapter 41

## Non financial measures

### Health & Safety – Policy and Performance

Covering:  
Lost time and RIDDOR reports for staff and  
contractors  
Management of health and safety  
Annual health & safety topic

# **Non financial measures**

## **Chapter 41**

### **Key outputs – Health and Safety**

### **Policy and Performance**

#### **Introduction**

Seeking efficiencies is an essential aspect of managing business. Equally essential is the maintenance and, where necessary, improvement of health and safety performance of both directly employed staff and contractors' staff working on company operational core activities.

During 2004 the Health & Safety Executive (HSE) consulted on Ofwat's behalf with the water industry via the Water UK Occupational Health & Safety Group (WUKOHSG) to develop a three fold approach to the reporting of health and safety policy and performance information.

The approach comprises:

- a set of health and safety statistics and related commentary to be submitted with the Annual Information return;
- a report on the company's management of health and safety; and
- a report on an annual health and safety topic.

The two reports may be submitted by companies on the 13 September 2010 and by reporters by 20 September 2010 as a supplement to the Annual Information return..

HSENI have asked NIAUR to gather similar information on their behalf (apart from an equivalent of the E&W annual report on musculo-skeletal disorders).

The requirements for NIW are described below and in the line definitions for table 41.

#### **1. Health & Safety Statistics**

The aim is to establish trends for the regulated business over several years, which will enable the company and their contractors to demonstrate their improving health and safety performance.

Table 41 collects health and safety information for all company employees (as recorded on the company payroll) and those employees of the company's contractors engaged in operational core activities. There are two blocks of information for each category. The first block records lost time due to sickness, accident and occupational ill health, and the incidence of occupational ill health. The second block records RIDDOR\* reports information. .

#### **Lost time due to sickness, accidents and incidence of occupational ill health**

Lines 1 and 10 record the company's and contractors' employee totals (full time equivalents) respectively. The company should describe in its commentary the methodology adopted to derive this figure.

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\* The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995

Lines 2 and 11 record total days lost due to accidents and total sickness absence, including occupational ill health.

Lines 3 and 12 record the total number of days lost as a rate per 1,000 employees (full time equivalents).

Lines 4 and 13 record the number of incidents of occupational ill health. Occupational ill health topics are:

- Musculo-skeletal disorders (including work-related upper limb disorders);
- Hand-arm vibration syndrome;
- Stress;
- Work related infections; and
- Noise induced hearing loss.

Lines 5 and 14 record the incidents of occupational ill health as a rate per 1,000 employees (full time equivalents).

## **RIDDOR reports**

The intention is to try and establish the numbers of RIDDOR accidents occurring during the provision of water and sewerage services involving both company and contracted labour.

Lines 6 and 15 record the total number of reports made under RIDDOR. These figures should include major injuries, over three day injuries and cases of disease and dangerous occurrences.

Lines 7 and 16 record the RIDDOR reports as a rate per 1,000 employees (full time equivalents).

Lines 8 and 17 record the three day accident rate per 1,000 employees (full time equivalents).

Lines 9 and 18 record the major/fatal accident rate per 1,000 employees (full time equivalents).

## **Guidance to the company**

### **Scope of information**

The company should report total figures across the whole of the regulated business, i.e. water and sewerage combined, and confirm in their commentary that they have done so.

### **Diseases and dangerous occurrences**

It is assumed that the numbers of reports of diseases or dangerous occurrences will continue to be so low as not to show any real trend. The numbers should be included in 'Total RIDDOR incidents' (line 6 for employees and line 15 for contractors).

However, if any reports of disease or dangerous occurrences have been made during the year the company should include a brief outline (100 words per individual report) of any such reports in their commentary accompanying table 41.

Where there are multiple reports of one type of RIDDOR reportable disease, for example, vibration white finger, the company should include a paragraph in their commentary setting out the scope of the problem and covering all such incidents.

The company should include in its commentary accompanying table 41 any reports of diseases or dangerous occurrences involving contractors.

The company should set out in its commentary, which accompanies table 41 how it has calculated the rates reported on in the table.

### **Core operational activities**

It is important to have a means of monitoring trends. The company should define in their commentary accompanying table 41 the core operational activities on which contractors are engaged. The company should make clear whether or not they have included lost time and RIDDOR information for sub-contractors' employees. The company should set out in its commentary a list of the operational activities they have defined as 'core' for both its own and its contractor's employees.

### **Transient contractors**

For transient contractors it is sufficient to record any accidents which occur to them on a company work site, but it is not necessary to obtain full time equivalent figures. This will only have a slight effect on the accident rate, as it is assumed that the numbers of such contractors having accidents will be small. The company should state in its commentary whether it has included regular and/or irregular transient contractors in the total in line 10.

### **Report year**

The company should state in its commentary whether the report is for the calendar year 2009 or the financial year 2009-10.

### **Employee totals**

The company should state in its commentary whether its employee and contractors' employee totals are the year end total, or a yearly average.

### **Occupational ill health**

The company should state in its commentary whether it has experienced any difficulties in reporting cases of occupational ill health against the five topics identified above, and how it has dealt with them.

### **Guidance to reporters**

The reporter should comment on:

- whether methods used to prepare table 41 are appropriate to meet NIAUR's reporting requirements;
- the reasonableness of the company's definition of 'core operational activity' ;
- the completeness of the company's list of core operational activities;
- the consistency of the company's use of its definition of 'core operational activity' when reporting on its contractors' health and safety information;
- the appropriateness of the confidence grades assigned to the information in table 41.

## **2. Report on management of health and safety**

The company is asked to submit a report addressed the following points:

- the date of the health and safety policy statement, and its review date;
- planned and actual dates of health and safety reviews;
- how the health and safety function reflects the company structure;
- the roles within the health and safety function, and associated responsibilities;

- who provides health and safety advice, and their qualifications, experience, etc.;
- access to specialist support outside the company if needed;
- health and safety training given to operational managers;
- composition of the health and safety committee, and the frequency of its planned and actual meetings;
- availability and distribution of minutes of the health and safety committee meetings;
- monitoring of health and safety committee action points; and
- health and safety committee's involvement in health and safety initiatives.

In subsequent years the company will be asked to report by exception on any changes to the management of health and safety that have occurred.

For their supplementary report to the 2010 AIR return NI Water should address the topic of **Leadership in Health and Safety**. Health and safety leadership is about accountability. A health and safety leader is the person who drives cultural change by winning the hearts and minds of directors, managers, workers and contractors. It requires:

- Strong and active leadership from the top
- Worker involvement
- Assessment and review

Board members have both collective and individual responsibility for health and safety, and there needs to be visible and active commitment from the board in all matters relating to health and safety. However leadership does not stop at board level. Leadership must also permeate throughout management and supervisory levels and the workforce. Leadership in health and safety is a major goal of the Health and Safety Executive's strategy in future years.

Companies should include consideration of the following points in their reports:

- How the workforce is engaged in the promotion and achievement of safe and healthy conditions.
- Systems for effective downward communication and management structures.
- Systems for effective upward communication.
- How good health and safety management is integrated with business decisions.
- The quality and systems for provision of training.
- How health and safety risks are identified and managed.
- How competent advice is accessed and followed.
- How performance is monitored, reported and reviewed.

### **Guidance to reporters**

- Reporters should confirm whether systems are in place to develop leadership strategies in the company, but should not include detailed documentation.

## **3. Annual health and safety report**

The second topic for the supplement to the 2010 Annual Information return is **Protecting the Public**.

The Water industry has many assets which can present a risk to the general public. Examples are reservoirs and storage of bulk chlorine. The Health and Safety at Work (Northern Ireland) Order 1978, Section 3, places general duties on employers and the self-employed to conduct their undertakings in such a way as to ensure, so far as is reasonably practicable, that persons other than themselves or their employees are not exposed to risks to their health or

safety. This report provides companies with an opportunity to consider their measures for protecting the public.

In their report companies should make reference to:

- Systems for identifying and recording risks to the public.
- Measures and initiatives taken to reduce risks to the public.
- Where appropriate, emergency planning and liaison with emergency services, for example in relation to bulk storage of hazardous substances.
- Systems for reviewing and revising risk reduction measures.

### **Guidance to reporters**

Reporter should seek to establish:

- Adequacy and suitability of systems in place to identify risks to the general public;  
and

Whether risk reduction measures are up to date

### **Line definitions for table 41**

The following terms used in the line definitions below are defined in the following HSE publications:

'A guide to the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995' L73, reference ISBN 0 7176 2431 5

RIDDOR:        Injuries (Over 3-day, major, death)  
                     Dangerous occurrence  
                     Reportable disease

Occupational ill health:

The conditions considered relevant to the water industry are covered in the Performance Measurement Form produced under Clearwater 2010. These are to be considered to be incidents of occupational ill health when confirmed by a medical practitioner.

**Table 41 line definitions**

<b>1</b>	Employee total	nr	0dp
<b>Definition</b>	Total number of employees of the regulated business		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>2</b>	Total days lost due to sickness, accident and occupational ill health	nr	0dp
<b>Definition</b>	Total days lost by employees of the regulated business due to sickness, accident and occupational ill health during the year		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>3</b>	Total days lost – rate per 1,000 employees	nr	2dp
<b>Definition</b>	The rate of lost days per 1,000 employees of the regulated business		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>4</b>	Number of incidents of occupational ill health	nr	0dp
<b>Definition</b>	Number of incidents of occupational ill health recorded by employees of the regulated business.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>5</b>	Incidents of occupational ill health – rate per 1,000 employees	nr	2dp
<b>Definition</b>	Rate of incidents of occupational ill health per 1000 employees in the regulated business		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>6</b>	Total RIDDOR incidents	nr	0dp
<b>Definition</b>	Total number of reports of dangerous occurrences, cases of disease, fatal, major and three day injuries recorded regarding employees of the regulated business which were reported to the HSENI.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>7</b>	RIDDOR incidents – Rate per 1,000 employees	nr	2dp
<b>Definition</b>	Rate of reports of dangerous occurrences, cases of disease, fatal, major and three day injuries recorded per 1,000 employees of the regulated business which were reported to the HSENI.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>8</b>	Three day accident rate per 1,000 employees	nr	2dp
<b>Definition</b>	Rate of three day accidents per 1,000 employees of the regulated business		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>9</b>	Major/fatal accident rate per 1,000 employees	nr	2dp
<b>Definition</b>	Rate of major and fatal accidents per 1,000 employees of the regulated business		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>10</b>	Contractors' employees total	nr	0dp
<b>Definition</b>	Total number of contractors' employees engaged on core operational activities.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>11</b>	Total days lost due to sickness, accident and occupational ill health	nr	0dp
<b>Definition</b>	Total days lost due to sickness, accident and occupational ill health by contractors' employees engaged on core operational activities.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>12</b>	Total days lost – rate per 1,000 employees	nr	2dp
<b>Definition</b>	Total days lost – rate per 1,000 contractors' employees engaged on core operational activities		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>13</b>	Number of incidents of occupational ill health	nr	0dp
<b>Definition</b>	Number of incidents of occupational ill health occurring to contractors' employees engaged on core operational activities.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>14</b>	Incidents of occupational ill health – rate per 1,000 employees	nr	2dp
<b>Definition</b>	Rate of incidents of occupational ill health per 1,000 contractors' employees engaged on core operational activities		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		



<b>15</b>	Total RIDDOR incidents	nr	0dp
<b>Definition</b>	Total number of dangerous occurrences, cases of disease, fatal, major and three day injuries recorded regarding contractors' employees engaged on core operational activities which were reported to the HSENI.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>16</b>	RIDDOR incidents – rate per 1,000 contractors' employees	nr	2dp
<b>Definition</b>	Rate of reports of dangerous occurrences, cases of disease, fatal, major and three days injuries recorded per 1,000 contractors' employees engaged on core operational activities which were reported to the HSENI.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>17</b>	Three day accident rate per 1,000 contractors' employees	nr	2dp
<b>Definition</b>	Rate of three days accidents per 1,000 contractors' employees engaged in core operational activities		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

<b>18</b>	Major/fatal accident rate per 1,000 contractors' employees	nr	2dp
<b>Definition</b>	Rate of major/fatal accidents per 1,000 contractors' employees engaged in core operational activities.		
<b>Primary Purpose</b>	Establishing health & safety performance trends		
<b>Processing rule</b>	Input		
<b>Responsibility</b>	Network Regulation Team on behalf of HSENI		

## CHANGE CONTROL SHEET

### CHAPTER 41

2008/1.0	First issue of chapter for the SBP period
2009/1.0	Second issue of chapter for the SBP period; <ul style="list-style-type: none"> <li>- Added additional reporting requirements for PPP reporting of health and safety,</li> </ul>
2010/1.0	Third issue of chapter for the SBP period <ul style="list-style-type: none"> <li>- Submission date of supplementary reports amended to 13 September 2010 and a new supplementary report topic has been added: Protecting the public and report year dates in the company guidance have been changed.</li> </ul>