

1.0 Purpose

- a. To define the procedures necessary to ensure that work operations are carried out safely in strict accordance with all relevant Operational Safety Control measures.

2.0 Scope

- a. All staff and all work activities.

3.0 Definitions

- a. **Risk Assessment** – The process of examining the risk which may arise from hazards associated with specific work activities, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm.
- b. **Hazard** - is anything that may cause harm, such as chemicals, electricity, working from ladders, an open drawer etc.
- c. **Risk** - is the chance, high or low, that somebody could be harmed by hazards together with an indication of how serious the harm could be.
- d. **Operational Safety Control (OSC)** – The collated end results from a Risk Assessment process. Managers must ensure that their staff understand the requirements of OSCs, how they fit with their overall working methods and how to comply with them.

4.0 Procedures

4.1 Planning

- a. The opportunity for improving safety is an integral part of objective setting and business planning, the intention being that work is carried out in a manner that will not cause harm to employees, the public, other non-employees or the organisation.
- b. Roads Service's key priority is to get the work done safely, taking account of traffic progression and value for money.
- c. The Safety Management System for Roads Service is to follow the Operational Analysis and Control (OAC) model ([Appendix A](#)).

- d. Risk Assessments for new work activities are to be carried out in accordance with the OAC model before they commence. These are to be completed by competent staff with the results used to produce Operational Safety Controls. Completed Risk Assessments are to be retained by Engineering Policy and Parking Services. Refer PIA02 – Implementing Risk Assessments and PIA03 – Implementing Chemical Assessments.
- e. The efficacy of the Operational Analysis and Control model is to be regularly reviewed and updated if necessary.

4.2 Operational Safety Control (Output from Risk Assessment / Operational Analysis)

- a. Operational Safety Controls for use in day-to-day safety management of work activities are to be produced and made available to staff, through the Health and Safety intranet.
- b. The analysis process (Stage 1 of the OAC model) is to be used to determine the appropriate Operational Safety Controls for Roads Service work activities.
- c. Line Managers are to ensure that any associated assessments identified in the Operational Safety Control sheets are available.
- d. A link between the Operational Safety Control measures and the Pocket Health & Safety Book is to be made, where appropriate.
- e. Operational Safety Controls are to be reviewed every five years unless changes occur that render them obsolete.

4.3 Special Circumstances

- a. Line Managers are to consider whether Operational Safety Controls have to be modified to take account of the needs of new or expectant mothers and young persons (i.e. under 18 years old).

4.4 Compliance with Operational Safety Controls

- a. Roads Service employees are required to be familiar with and comply with the Operational Safety Controls for their work activities.
- b. First Line Managers (PTOs or equivalent) and Supervisors are to ensure that staff and others who may be affected by the work activity are familiar with and comply with the Operational Safety Controls.

- c. In addition to routine informal checking carried out as part of their staff supervision duties, First Line Managers are to ensure that they carry out a formal controls assurance check on each member of their staff at least once per year over a range of activities. (Note: This may be carried out on groups of staff engaged on the same work activity). The PTO or equivalent may delegate this duty to their TG2 but they must carry out at least 50% of the checks per year. Appendix D should be used by staff to plan / record these checks.
- d. The Job Safety Sheet (Appendix C) is to be used in conjunction with Operational Safety Control Sheets to keep a record of Controls Assurance Checks.

4.5 Controls Assurance Checks (SPTO / DP and HPTO / SO)

- a. The SPTO / DP is to be satisfied that their staff understand the hazards associated with their work activities and is to ensure that they are complying with the Operational Safety Controls.
- b. The SPTO / DP is to carry out controls assurance checks on a selection of staff across the grades at the following frequencies;
 - One Operational Safety Control per month for Roads Service Direct on-site work activities.
 - One Operational Safety Control per quarter for all other work areas.
 - One Operational Safety Control per year for Office activities.
- c. The SPTO / DP may delegate this duty to their HPTO / SO but they must carry out at least 50% of the checks per year.
- d. The SPTO / DP is to have an annual schedule of Controls Assurance Checks, which includes; work activities in their area, target employee groups and timing. (Note timing is not to be precisely scheduled) ([Appendix D](#)).
- e. The Job Safety Sheet ([Appendix C](#)) is to be used in conjunction with Operational Safety Control sheets to keep a record of Controls Assurance Checks.
- f. If the SPTO / DP considers that the frequency of Controls Assurance Checks (Para. 4.5b) is incompatible with their specific work pattern then the PPTO is to agree an alternative checking frequency.
- g. Alternative checking frequencies are to be reported to and recorded at a Senior Management team meeting.

4.6 Senior Manager's Review (PPTO / Grade 7 and above)

- a. Senior Managers are to review the achievement of safety objectives within their command and to give assurance that standards are being adhered to.
- b. Senior Managers are to conduct reviews at the following frequency;
 - i. Grade 6 and above – twice yearly
 - ii. PPTO / Grade 7 – quarterly
- c. Senior Managers' reviews are to include workplace visits as part of the verification process, if appropriate.
- d. The checklist in [Appendix B](#) is to be used and tabled for discussion at Senior Management team meetings.
- e. If the PPTO considers that the frequency of reviews (Para. 4.6.0.b) is incompatible with their specific work pattern then the Head of Business Unit is to agree an alternative frequency.
- f. Alternative review frequencies are to be recorded at a Senior Management team meeting.

5.0 Responsibility

- a. All Roads Service employees are to comply with this procedure.

6.0 Documentation

- a. Operational Safety Control sheets
- b. Job Safety Sheets
- c. Senior Management checklists
- d. Associated assessments

7.0 References

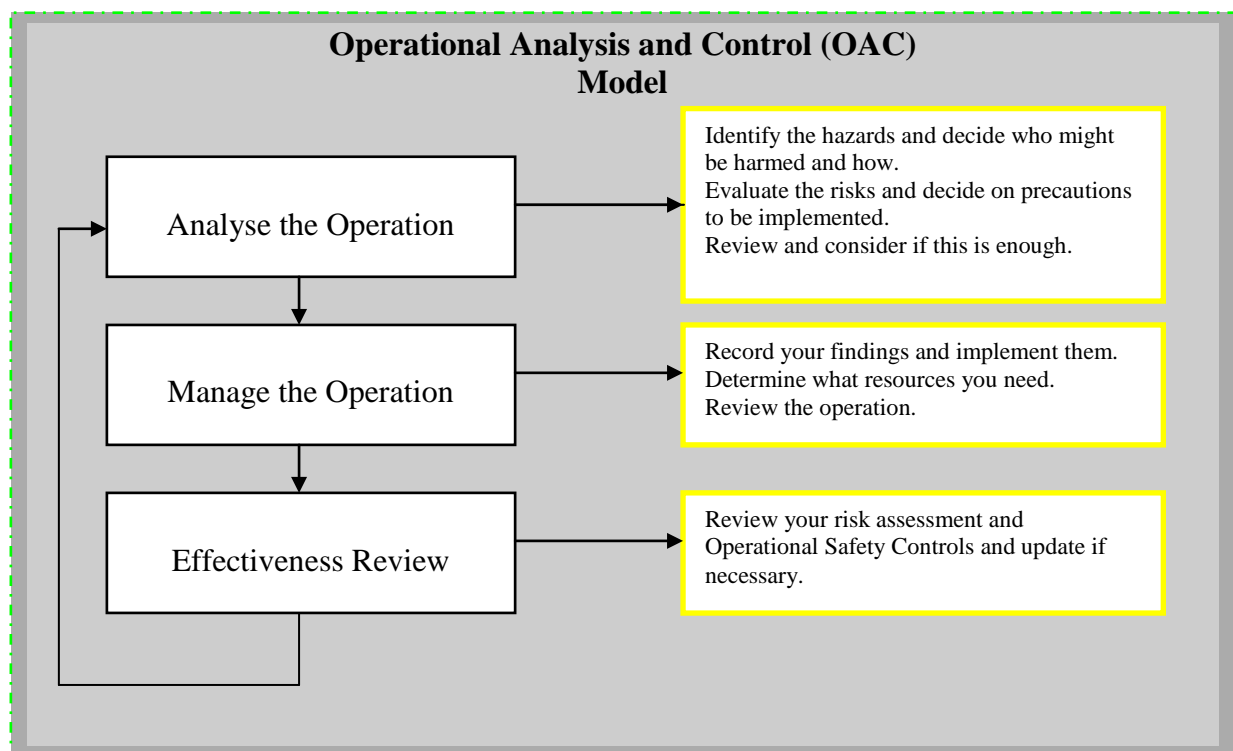
- a. HSE guidance, Successful Health and Safety Management HSG 65
- b. Office memorandum 2 / 96 & 3 / 96 – New and Expectant Mothers
- c. Management of Health & Safety at Work in Northern Ireland – ACOP (Current Edition)
- d. Five Steps to Risk Assessment – HSE INDG 163 (Current Edition)

Appendix A

Operational Analysis and Control Model

The purpose behind the Operational Analysis and Control (OAC) model is to ensure that work operations are carried out in strict accordance with all relevant 'safe working' procedures. In this way we can make sure that people, plant and property are protected from harm prior to, during and after the work operation, regardless of the nature of the hazards faced.

This model integrates all aspects of the work operation including occupational health. The OAC model is in three stages as follows;



A. Stage 1 – Analyse the Operation

1. Identify the hazards and decide who might be harmed and how. (Look for the harm factors in the work operation itself, the workers, the materials, the machinery and plant, the public & visitors and the environment).
2. Evaluate the risks and decide on precautions to be implemented. (Once you know what can cause harm you look for the controls that are needed to prevent that harm from occurring).

3. Review and consider if this is enough. (At this stage, before embarking on the work operation, consider whether you have done enough to prevent harm. If necessary seek specialist advice e.g. from Safety Advisers, trade or professional associations, manufacturers, HSENI). Things can go wrong and it is important to try and anticipate that as early as possible. Ask;
 - What could go wrong?
 - How could it happen?
 - How would you deal with it?

Asking the right questions at the outset focuses the mind and ensures that you consider all the foreseeable incidents and plan for them. Additionally this prompts you to consider what emergency plans you need to have in place prior to starting an operation.

B. Stage 2 – Manage the Operation

1. Implement the findings of the Risk Assessments and the Operational Safety Controls. (Having carried out the analysis you must list what has to be done to ensure a safe outcome to the work operation. For example, have you made your employees aware of what can cause them harm and what they must do? Do you know what training they need? Are there written safety instructions? Does everyone know who is responsible and for what?).
2. Determine what resources you need. (e.g. material, human, financial). It is important that, having identified the resources, you make them available. (Some will be needed well in advance of any work operation. Build your controls into your budget and business plan).
3. Review the operation. Believing that you have a safe workplace is a sure way of ensuring that you have not. Like every aspect of your work safety needs to be continually managed and improved, as necessary. It is important therefore that a time or circumstance is set for reviewing the effectiveness of the management controls. The review period could be;
 - When a new process, new equipment or additional controls are introduced to the operation,
 - When new techniques have been developed,
 - When statutory obligations require it,
 - When resource inputs are set to change,
 - When an accident or incident occurs, or
 - At regular intervals (determined by the nature and complexity of the hazards present).

Note: The list above is not exhaustive. Carry out an effectiveness review at any other time, if you feel it is warranted.

C. Review the Effectiveness of the Operation

1. Review your Risk Assessment and Operational Safety Controls and update if necessary. Remember things change with time, as the project progresses or indeed things just don't go to plan. You need to be aware of the effects of any change and try to anticipate how they need to be dealt with. Ask yourself the following questions;
 - What has changed since the last operational analysis?
 - What effect will it have on operational management?
 - How will it be dealt with?

If nothing has changed then record that the review has taken place and set the next review date.

Where things have gone wrong ask the following:

- What went wrong?
- How did it happen?
- How did you deal with it?

Note: We do not always get it right but if an accident does occur that is no reason to give up or to accept lower standards. Accepting accidents as inevitable is fatalistic. The objective of integrating the highest standards of health and safety with improved business performance means that the end product / service must be achieved in a manner that protects employees and the public from harm. Operating to any less a standard will only guarantee a negative outcome and ensure that accidents continue.

2. Detail the changes needed. If changes have occurred then itemise them and consider how they will affect the operation.
3. List the improvement actions. Draw up an action plan, identifying the resources implications, managers responsible for completing the actions and the timescales for completion.
4. A [Change Request Form](#) is available if required to request changes to the Risk Assessments or Operational Safety Controls.

Finally

In practice this means that for Roads Service construction activities we design structures that can be built, used, maintained and eventually demolished, taking full account of the safety of the construction workers, end users the maintenance workers and anyone else that may be affected.


Appendix B

Senior Managers' Reviews
Introduction

Senior Managers' Reviews are carried out at a strategic level within Roads Service. They demonstrate senior management's commitment to safety; provide an opportunity to monitor the achievement of safety objectives and to give assurance that standards are being adhered to. Apart from the ongoing visible leadership gained through personal adherence to safety rules, giving praise for good safety practices and dealing with breaches when observed, Senior Managers' Reviews provide an opportunity to focus on Health & Safety within Roads Service's key performance targets (published in the Corporate Plan).

Areas considered during visit to	Y / N / NA	Action Needed/Comment
Is OAC (the safety management system) working? The available evidence may include; <ul style="list-style-type: none"> - Operational Safety Controls are workable and being used, - Premises checklists are being completed, - Use of Job Safety Sheets for controls assurance checks, - PDPs include development of safety competences, - Health & Safety is addressed in the local business plan, - Minutes of local and Senior Management team meetings confirm that the achievement of Health & Safety objectives and compliance with standards is a regular discussion item, and - Audit Action Plans and / or Inspection Reports recommendations are being addressed. 		
If there have been any accidents or incidents in the past year (or since the last visit) where remedial action was recommended have these actions been taken?		
Are there any weaknesses in the Health & Safety system? (Discuss with local Line Managers and staff).		
When CDM Regulations apply, are Health & Safety plans and files available? (Discuss with the CDM Co-ordinator representative).		
Additional comments / observations		
Senior Manager: Manager Visited:		
Signature: Date:		
Notes		
1. The opportunity should be taken to visit a construction site, road maintenance crew or other work environment with the local Line Manager, if it is appropriate.		
2. Where any actions are needed the Senior Manager is to issue a follow up minute.		
3. Senior Managers are to conduct reviews at the following frequency;		
i. Grade 6 and above – twice yearly.		
ii. PPTO / Grade 7 – quarterly.		
4. Completed checklist(s) are to be tabled for discussion at Senior Management team meetings.		

Appendix C

		Job Safety Sheet (Operational Safety Controls; PIA05 Paragraph 4.0 and 5.0)
Activity / Activities	
Work Location	
Date of Controls Assurance Check	
Staff Involved	
Are members of the public affected?	Yes	No
	<input type="checkbox"/>	<input type="checkbox"/>
Notes;		
a.	The frequency of controls assurance checks (SPTO) is to be; <ul style="list-style-type: none"> • One Operational Safety Control per month for Roads Service Direct on-site work activities. • One Operational Safety Control per quarter for all other work areas. • One Operational Safety Control per year for Office activities. 	
b.	In addition to routine informal checking carried out as part of their staff supervision duties First Line Managers (PTO or equivalent) are to ensure that they carry out a formal controls assurance check on each member of their staff at least once per year over a range of activities.	
c.	Operational Safety Control sheets; specific to the work activity are to be attached to this Job Safety Sheet.	
d.	Line Managers must confirm by signature that the control measures were in place and being followed during the controls assurance check.	
e.	Non-conformances with Operational Safety Controls and the remedial action to be taken are to be recorded on this form.	
f.	Job Safety Sheets are to be retained by the Line Manager for a minimum of 5 years.	
Declaration		
1.	On a routine check operational control measures for this work activity were in place and being followed.	
	Yes <input type="checkbox"/> No <input type="checkbox"/> (If No, list the remedial actions/instructions below).	
2.	Outstanding remedial actions/instructions, from the previous controls assurance check have been addressed.	
	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> (If No, restate them below and emphasise where there is an urgency to have them completed).	
Signature:	Date:
	Remedial actions / instructions	Referred to (if applicable)

additional sheet(s) attached Yes No

Appendix D

Schedule of Controls Assurance Checks									Year:			
	Apr	May	June	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Operational Safety Control												
Checked by												
Date check completed												
Names checked												
Operational Safety Control												
Checked by												
Date check completed												
Names checked												
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