



UNOPS – Tashkent Office

Project Health and Safety Management

Plan – HS01

February 2023

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1. INTRODUCTION

1.1. INTRO AND SCOPE OF THE PROJECT H&S MANAGEMENT PLAN

UNOPS endeavours, in all its projects and operations, to prevent personal injuries, ill health and damage to property.

This Project Health and Safety (H&S) Management Plan (hereafter “the Plan”) has been designed to assist the management of activities and support a risk-based approach to preventing dangerous acts that could lead to injuries or illnesses or serious incidents in the workplace.

This Plan is a live document that will be reviewed on a regular basis and updated if necessary.

1.2. PROJECT DESCRIPTION AND KEY DATES

Table 1 – Project details

Project Title	COVID-19 Emergency Project
Project Location	Uzbekistan
UNOPS Project No.	23327
Project Duration	Dec 23, 2022 to Jan 31, 2025
Project Health and Safety Management Level	Level 3
Project Overall Risk Score, and sub-scores for elements 2 and 3	Risk Score -3
UNOPS Project Manager	May-Britt EBERT
UNOPS Project H&S Manager/Project Engineer	Jerry MCCOOL / T.B.C

1.3. ROLES AND RESPONSIBILITIES

While the Project Manager holds the overall responsibility for Health and Safety management in the Project, other roles may hold accountability, or need to be consulted and informed of various work packages (e.g. the Contractor, the Office Director, the Programme Manager, the Project Design Manager). [Table 2](#) below outlines Roles and responsibilities for Infrastructure projects in the assurance set-up. This project has another role of H&S Manager who shall share the responsibility together with Project Engineer.

1.3.1 TABLE 2 - RACI TABLE

ACTIVITY	UNOPS Consultant Technical Supervisor	UNOPS Project Manager	Project Engineer*	Project Design Manager*	Contractor*
Ensure that local laws and regulations are understood and fully	A	R			

considered within the H&S Plan					
Ensure planned review dates for the H&S plan are monitored	A	R			
Convene Design Phase Start Up Meeting and assign H&S responsibilities	A	R		I	
Eliminate foreseeable health and safety risks through engineering design solutions and, where that is not possible, take steps to reduce or control those risks	A	R		R*	
Carry out hazardous materials assessment for materials within the design, and where appropriate inform key stakeholders/work package contractors.	A	R		C	
Ensure regular liaison between parties on site on health and safety matters	A	R	C		
Ensure consultation with the workforce & visitors	A	R	C		
Check that design changes that affect H&S are recognised and assessed during construction phase	A	R	C		R*
Ensure that works contractors are procured using the appropriate FIDIC based contract. (Defines responsibilities for H&S / insurance etc.)	A	R	I		
Ensure that contractor(s) employ effective H&S management techniques	A	R	C		
Ensure effective arrangements in place for site security/access	A	R	I		
Ensure arrangements in place for Site induction and safety briefings	A	R	I		R*
Ensure that suitable welfare facilities and first aid arrangements are in place	A	R	I		
Ensure that reporting of accidents / incidents structural failures are reported in line with their relevant OI	R	C	I		R*

Ensure work permit system is established and implemented	A	R	I		R*
Ensure that risk assessments and method statements are compiled and implemented in a timeous manner	A	R	I		R*
Ensure that Fire and evacuation procedures are established and tested	A	R	I		

A - Accountable

C - Consulted (supports, has the information or capability required)

I - Informed (notified but not consulted)

R - Responsible (gets the work done)

R* - refers to Work Package Responsibility

2. LOCAL LAWS, REGULATIONS AND OTHER COMPLIANCE REQUIREMENTS

HSE legislation in [Uzbekistan](#) is described in the Office Legal Register using form [HSE03](#). This should also include the relevant requirements of interested parties that have been identified by the local office using form [HSE02](#).

A check for legal compliance has been performed to ensure that this office is compliant with legal and other requirements, using form [HSE04](#).

A copy of the legal register is available [here](#). UNOPS Project HSE Manager will review these laws and regulations every *12 months* using *the list of laws published in the official websites of the Republic of Uzbekistan* to make sure that there are no changes which may affect this plan.

3. OPERATIONAL PLANNING (FOR MULTIPLE SITES, DETAIL ALL SITE-SPECIFIC INFORMATION)

3.1. ACTIVITY RISK ASSESSMENT PLANNING

A staged approach to project/site hazard identification and risk control is a requirement of this plan.

Hazard identification and subsequent risk assessment ([Form HS05](#)) will be an ongoing process throughout the life of the project (up to defects notification period, if part of the contract). The Contractor receives already during the tender phase a schedule of key risks/hazards identified during design, Schedule of Keys Task ([Form HS07](#)), can be used for this purpose). These tasks should be carefully considered during the development of detailed Risk Assessments.

3.2. HAZARD IDENTIFICATION AND ACTIVITIES RISK ASSESSMENT

UNOPS Senior Construction Manager [Jerry MCCOOL](#) ensures that the risk assessments developed by the Contractor(s) are aligned with the requirements of form [Form HS05](#), including as a minimum:

- Contractor(s) has identified all foreseeable hazards within the assessed activity
- Hazards have been prioritised by their magnitude (high, medium or low)
- Adequate control/mitigation measures have been documented for each hazard
- Both routine and non-routine conditions and special conditions have been taken into account.

The Contractor has developed Risk Assessments using Form [\(Form HS05\)](#) that were reviewed by the UNOPS Senior Construction Manager and accepted prior to works commencing. The requirement to produce Risk Assessments applies to all activities performed by subcontractors as well.

The workforce shall be briefed on the contents of appropriate Risk Assessment(s) prior to works commencing; briefings are formally recorded using form HS06 .

The Risk Assessment(s) will be amended as necessary to ensure that the works progress in a safe manner. The Risk Assessment(s) for this Plan are attached as (Annex 1).

All UNOPS personnel have the authority to stop any activity that has the potential to cause injury or damage property until such times as the works are managed in a safe manner.

3.3. OBJECTIVES AND TARGETS

The project will have the following Health and Safety objectives and targets:

3.3.1 TABLE 3 - OBJECTIVES AND TARGETS

#	Objective	Target (measurable where practicable)	Action/Program/Resources	Responsible	Target Date
1.	Implement Management System Requirements.	Ensure that the contractor's main staff are briefed on relevant HSE plans. They will then brief their work force on the relevant HS matters. Conduct weekly Health and Inspections filling out the HSE05 Form at site. Hold a weekly Toolbox Talks . Perform Fire Drills HS04 Form bi-annually. Annually check local law for ongoing compliance with UNOPS Project HSE Management Plans.	Generate awareness of every UNOPS Project personnel on the importance of implementation of HSE plans. Ensure that responsible personnel understand their duties and apply accordingly. In cooperation with the Contractor ensure that Fire Drill is performed at least twice a year..	Project Manager & H&S Manager	2024
2	Prevent injury and ill health of personnel during work/worksites activities and ensure that safety is the prime	Achieve zero fatalities, zero lost time injuries, zero restricted work and medical treatment, injury cases, and zero total reportable injury frequency.	Occupational Health & Safety Work Instruction issued. Ensure that all aspects of the H&S management system are complied with. All hazards are identified and appropriate risk assessments are in place.	Construction Manager / Project Engineer	Ongoing in 2024

	consideration during the project execution.		Regular walk rounds in construction sites undertaken and recorded. Toolbox Talks will be held by supervisory staff on a weekly basis as seen necessary with employees and will address the application of health and safety rules and procedures to the hazards of current work. Provide communication to all staff.		
3	Raise Awareness and Training of all UNOPS personnel on HSE matters	All UNOPS Project personnel to be inducted on commencement of employment. All UNOPS Project personnel to get certified for IOSH Working Safely. All UNOPS Project technical staff to get certified for IOSH Managing Safely.	HSSE Induction briefing to be carried out specifically ensuring the Health Safety Environmental management plans are briefed to new personnel and fill in the HSSE briefing register . All new personnel to carry out mandatory courses in the learning zone	Project Manager / Construction Manager	Ongoing 2024
4	HSSE Capacity Building	1. At least one training/ knowledge sharing session per quarter 2. At least one HSSE talk per month	1. Conduct HSSE training 2. HSSE talks	HSSE Manager and Coordinator	July 2024
5	Emergency preparedness	Every 6 months	Fire Evacuation Drill filling in the fire drill evacuation briefing register	Security Advisor/UNDS S focal point	June 2024
6	Consultation and capacity building with Contractors.	Ensure that Contractor(s) is/are aware of the existence of Health Safety Environmental plans. Implement HSE plans in cooperation with contractor(s).	Include Health Safety Environmental Plans and requirements in the ITB (Invitation to bid) process for work. Read the relevant UNOPS guidelines Mandatory HSSE Inspections Conduct weekly HSE inspections HS07 Form together with contractor(s) HSE representatives. (On site) Hold Toolbox Talks together with contractor(s) or if relevant supervise contractor(s) HSE representative Toolbox Talk. Perform Fire Drills HS04 Form (every time the site layout changes) or if no change to site lay out	Construction Manager & Project Engineer	Ongoing 2024

			then every 6 months in cooperation with contractor(s) at site.		
7	Encourage Best Practice & Inspiration among staff.	Develop programs to promote and reward positive behaviour & excellent performance.	Bring HSSE to the bi-weekly staff meeting agenda regularly, and create the space to openly discuss the best practice and inspiration among the team	Project Manager	May 2024
8	Promote Health & Safety and change the culture	"Goal Zero" campaign.	Share messages through current town halls, and posters.	HSSE Manager and Coordinator	June 2024
9	Reduction of HSE noncompliance' at site.	Reduce no of non-compliances by 5% every quarter	Ensure that everyone is following all aspects of the H&S management system, pro-actively measure monthly occurrences and target high risk, high occurrence areas through briefing and training of personnel onsite.	Construction Manager/ Project Engineer	Ongoing through 2024
10	Health and Safety yearly Performance Objective	Health & Safety objective for all relevant leadership roles including Regional Directors, Country Directors, and Country Managers, Regional HSSE Coordinators, Head of Programme and Head of Support Services, Project and Programme Managers, as well as any other colleagues with roles that are relevant to health and safety.	Encourage staff to add health staff objective performance staff	Supervisors, all staff	2024

3.4. WORK PERMIT SYSTEM

The following activities at site will require the Contractor(s) to obtain a signed work permit from UNOPS Project Manager/Project Engineer before commencing these activities at site:

- Confined Space Entry Form , [HS08](#)
- Hot Works, Form [HS09](#)
- Excavation, form [HS10](#)
- Lifting, form [HS11](#)
- Working at heights, form [HS12](#)

3.5. MANAGEMENT OF CONTRACTORS AND SUB-CONTRACTORS

- Bidders receive key documentation outlining the requirements of UNOPS Health and Safety Management Systems during the tender phase. The selected contractor shall comply with all UNOPS H&S requirements for the whole duration of the contract. These requirements equally apply to any subcontractors hired by the contractor. It is the contractor's responsibility to ensure that subcontractors comply and to demonstrate such compliance in submittals and during verification processes by UNOPS.
- If pre-bid meetings, site visits and/or contract commencement meetings are carried out, H&S requirements and submittals should be discussed, both for day-to-day work and for H&S critical stages/activities.(Example of [Monthly Site Progress Meeting Agenda](#))

4.0 HEALTH AND SAFETY MANAGEMENT AT PROJECT SITE

In additional to the formal responsibilities detailed within the general conditions of contract, all persons on the project site have a responsibility to take reasonable care for the health and safety of themselves and others who may be affected by their actions, cooperate with the employer on health and safety matters and not to interfere with, remove or alter anything provided on site for health, safety and welfare.

4.1 MANAGEMENT OF HAZARDOUS MATERIALS

Hazard identification and risk assessment is an essential part of the health and safety management system.

A hazard identification and risk assessment process is designed to assist with establishing priorities and setting objectives and plans to eliminate construction hazards and to minimise the risk of accidents on site. Infrastructure implementation involves executing a number of potentially hazardous activities, it is essential that these hazards are identified, risk assessed and controls put in place to eliminate, isolate or minimise the hazard.

Occupational diseases may occur as a result of exposure to hazardous substances in the form of inhaled particulates, ingested materials or skin contact with substances. Such possibilities have been identified in the Risk Assessment(s) and appropriate controls put in place. The main types of hazardous materials that have been identified are:

4.1.1 TABLE 4 - HAZARDOUS MATERIALS

Hazardous material	Risk rating	Control method	Responsible person
Concrete Screed	12	Hold Toolbox talks on Protection of skin THS26 and inform operators of risks of working with concrete remind them to wear gloves eye protection and dust masks when emptying sacks and preparing the mix.	Personnel Involved in Activity & Site Management Team

		Toolbox talk on COSHH THS25 (Control of Substances Hazardous to Health. Assessment sheets)	
Heavy Materials Handling and Storage	12	<p>ONLY skilled personnel are allowed to use the machinery.</p> <p>Tool box talk on H&S Guidelines Lifting GHS02 to be given to the personnel involved</p> <p>Personnel must wear PPE THS24 at all times.</p> <p>Sufficient number of workers shall be used to handle and operate machines, for very heavy weight material, forklift, tower/mobile crane, Hiab and even excavators can be used to lift heavy materials you will find in the lifting guidelines GHS02</p> <p>Toolbox talk on stacking materials safely THS08</p> <p>Stored material shall be in a way to prevent falling or dropping of material</p>	Personnel Involved in Activity & Site Management Team
Electrical Wiring	16	<p>A permit to work must be issued before working on the installation of electrical equipment and an Isolation permit to work the isolator should be locked in position (for example by a padlock), and a sign should be used to indicate that maintenance work is in progress.</p> <p>All electrical machines shall be inspected before use in the site.</p> <p>All wiring shall be carried out properly.</p> <p>Grounding shall be provided where necessary.</p> <p>Residual Current Devices must be installed to the temporary electrical systems</p> <p>Skilled labourers use machinery.</p> <p>All electrical machines shall be in good condition.</p> <p>All electrical machines shall be turned off and unplugged from electricity supply at each time of use.</p> <p>Use PPE's at all times.</p> <p>Toolbox talk on H&S Guidance on Electrics GHS03</p>	Personnel Involved in Activity & Site Management
Dry & Wet plaster mix.	12	<p>Hold Toolbox talks on Protection of Skin THS26 and inform operators of risks of dry plaster powder, and remind them to wear gloves, eye protection and dust masks when</p>	Personnel Involved in Activity & Site Management

		Emptying sacks and preparing the mix. COSHH assessment to be carried out on materials being used Provide personnel with a nearby welfare facility where they can go and wash off the plaster.	
Adhesives Joint Fillers & Paint works	12	Hold Toolbox talk on PPE THS24 PPE and inform operators of risks of dry powder, and remind them to Wear gloves, eye protection and dust masks when emptying sacks and preparing the mix. Personnel informed of personal hygiene requirements, wash hands after use/contact and before eating, drinking and smoking. Toolbox Talk on COSHH THS25	Personnel Involved in Activity Site Manage-ment
Asbestos consistent materials and lead consistent paint	12	If defined during the demolishing work must not be treated or handled before a special induction and method statement developed and approved. No cutting or crashing of asbestos materials are permitted.	Personnel Involved in Activity Site Manage-ment

Hazardous materials/chemicals used at the site shall have Material Safety Data Sheets (MSDS). The MSDS are obtained from the manufacturer/supplier of the materials and should be requested with each purchase of products.

Material Safety Data Sheets will be included in the Toolbox talks and risk assessment briefings. This information will be made available to any employee or subcontractor or visitor who may interact with the materials/chemical substances on site.

4.2 ACCESS AND SITE SECURITY

UNOPS Consultant Technical Supervisor will ensure that the Contractor(s) have put in place all measures to establish the site according to UNOPS guidance on [Site Establishment GHS12](#)

It is the Tech responsibility to ensure that all site security requirements identified in the Risk Assessment for this activity are fully implemented.

4.3 SITE INDUCTION AND SITE SAFETY RULES

Site inductions will be carried out by the contractor. Arrangements for site inductions for this project shall be:

- Any new worker coming to the work site will be briefed on the [General Site Rules](#) including the site logistics plan, hazards, evacuation procedures, emergency and first aid procedures, and the duties and responsibilities of all persons on site.
- A Site Induction briefing [HSE07](#) and [GHS01 Site Rules](#) has been developed in English.

- All attendees of the Site Induction briefing will be recorded and included in the UNOPS Site Induction Register ([form HSE07](#)).
- Visitors will be given a brief site induction GHS16 and fill in the visitors briefing register [HSE08](#) (based on an either oral or written Visitor's induction) and will be accompanied at all times during their visit to the site.
- UNOPS personnel at Site should ensure that workers carrying out safety critical tasks have the necessary induction, qualifications and/or on the job training/licensing for the tasks they carry out.

4.4 WORKPLACE INSPECTIONS

Inspections of the project site should be carried out weekly. Contractor(s) will undertake weekly inspections of the whole work site, and specifically of:

- Plant
- Equipment
- Small equipment ([Form HS15](#))
- Scaffolds ([Form HS14](#))
- lifting devices ([Form HS16](#))
- Mobile Working Platforms
- Electrical extension cables ([Form HSE05](#))
- Fire extinguishers ([Register](#))
- Welfare facilities ([Form HSE05](#))
- Ladder/trestle ([Form HS13](#))
- Harness/lanyard ([Form XX](#))

Records of the inspections should be kept using [Form HSE05](#) and/or other dedicated forms, or the Contractor(s) forms where approved by UNOPS:

UNOPS personnel at site will be responsible for the assurance of these inspections. UNOPS site teams are responsible for ensuring that the inspection findings and recommendations are closed out in a timely manner.

4.5 SITE INDUCTION AND TRAINING

Induction, training and awareness activities have been planned and consideration given to ensuring that personnel doing H&S critical activities are covered.

4.5.1 TABLE 5 - TRAINING

Planned training	Nominated staff	Frequency
Health, Safety and Environmental Management Training	UNOPS Supervising Engineers	Once
E-LSMP (UNOPS Internal training)	UNOPS Supervising Engineers	Once
Risk Assessment briefings	Contractors Engineers	Ad-hoc (per specific work)

The HSE training matrix ([Form HSE18](#)) can be used to keep detailed records of site inductions, toolbox talks and training.

4.6 EMERGENCY AND EVACUATION PROCEDURES

Emergency and evacuation procedures will be tested through appropriate drills that will be held once and, where possible, may involve relevant interested parties UNOPS, Contractors, Sub-contractors

As a minimum, the Emergency Plan and procedures shall include:

- Emergency contact numbers ([Form HS03](#)) available on notice and information boards over the project
- Work areas and site offices and in the Method Statements.
- Emergency procedures, incorporated in the project site inductions briefing
- Location of the working area
- Location of the site accommodation – welfare facilities, toilets, parking, etc-
- Location of the first aid kits
- Location of the muster (assembly) points and fire extinguishers
- Location of the emergency exits and emergency routes
- Location of the spill kits
- Location of the hazardous materials storage (oil/chemical/gas)
- Location of the waste skips incl. hazardous waste
- Location of any areas that require protection
- Layout of site drainage, incl. location of the discharge
- Emergency procedures should be periodically reviewed to ensure continued relevance.

5.0 COMMUNICATION AND INFORMATION SHARING

5.1 INTERNAL COMMUNICATION

Internal communication for the Project will include as a minimum:

- H&S weekly site meetings. They may be dedicated to H&S or H&S may be one part of the [monthly/weekly agenda](#). Additional H&S meetings will be organised when needed. Meeting minutes will be distributed to UNOPS, Contractor's team and sub-contractors.
- Weekly inspections (Form HSE05); including Health and Safety items will be performed jointly by the UNOPS team and the Contractor(s) team; the report will be prepared by UNOPS H&S Manager/Coordinator and shared with the Contractor(s) for necessary actions.
- Site H&S quarterly report ([Form HSE12](#)); the quarterly report is a summary of the site weekly inspection report ([Form HSE05](#)) findings and corrective action. It is prepared by the UNOPS site H&S Manager/Coordinator to be shared with the Contractor(s) and with UNOPS Senior Management in the country as well as with UNOPS HQ.
- [Toolbox Talks](#)
- Information and guidance signage will be present at site in local language and English language
- The [Site Notice Board](#) will be used to convey daily updates and information.

5.2 EXTERNAL COMMUNICATION

Queries on health and safety management from local communities, journalists, business community, neighbours, local representatives, and any other external parties will be handled according to the following protocol:

Construction Manager shall be the focal point for all external communication in case of visits from HSE inspectors or other interested parties for the project. All Visitors to the site must report to the UNOPS site office before entering the site working areas. It is required that all first time Visitors to the site undergo the UNOPS project site visitors' induction briefing [Form GHS16](#) before entering the site proper also when visitors revisit the site they should be briefed on the changes to the site conditions as they are not on the site on a daily basis they will don't know about the activates also the hazards on site. All Visitors are required to be registered and logged on the UNOPS visitors' registration form – refer to [Form HS08](#)

5.3 CONSULTATION WITH THE WORKFORCE

Arrangements for consulting and coordinating with the workers at site will be as follows:

- An employee representative will participate in the regular and extraordinary meetings between UNOPS and the Contractor(s)
- All Contractor's and sub-contractor's employees will be encouraged to raise any suggestions and concerns on health and safety management of the project on an ongoing basis and during meetings, briefings, toolbox talks, etc.

5.4 ACCIDENT AND INCIDENT REPORTING AND INVESTIGATION

All significant accidents or incidents and high potential near misses shall be reported to UNOPS HQ using [Form HSE09](#)

They should be thoroughly investigated and action taken to prevent recurrence. For Class 1 incidents, the outcomes of the review shall be reported to UNOPS HQ using [Form HSE10](#). Lessons learned should be captured using [Form HSE11](#)

UNOPS and Contractor's personnel have an obligation to report all incidents and near misses to the UNOPS Project Manager/H&S coordinator, and will receive proper induction in this sense. Significant incidents and near misses should be recorded in [Table 6](#):

5.4.1 TABLE 6 - INCIDENTS/NEAR MISSES

Incident/near miss description	Date	Corrective action taken

5.5 H&S RISKS DURING OPERATION

To prevent/reduce risks at the use and maintenance phase or during the facility/structure operation, UNOPS will provide the project end user with an operation and maintenance manual, which explains how to operate and maintain the asset in a safe manner.

5.6 HSSE BREACHES.

This guidance note has information on the main obligations and authority of the Parties pertaining to health, safety, social and environment (HSSE) related requirements as per the General Conditions of the Contract and does not include internal UNOPS policy requirements. This guidance note discusses the different approaches that can be taken towards managing the issues such as record keeping and documentation, Personnel and Subcontractor management as well as Site processes that lead to HSSE related breaches.

5.6.1 OBLIGATIONS ON THE CONTRACTOR

The Contractor and the Technical supervisor is responsible for the safety of the Site, and all facilities off Site used for the purposes of the works, and for the safety of all persons entitled to be on it (personnel of the Contractor, Subcontractors, Employer, Engineer and others). Consequently the Contractor may insist that any Employer's Personnel and others entitled to be on Site undertake Site safety inductions or requirements etc before inspecting parts of the Site.

They must obey all Laws of the Authorities, including those for safe operations, licences, accredited personnel etc and comply with all the requirements stated in the Schedule 3.2 E [Health and Safety Requirements] and requirements for protection of the environment and Schedule 3.2 [Specifications] as a minimum, has general obligations to keep the Site safe, tidy, and have a system to manage it.

5.6.2 BREACHING HSSE VIOLATIONS .

The process is often referred to as a "three-strike policy" or a "three-strikes rule" in the context of enforcing safety procedures on a construction site. Here's a breakdown of how it typically works:

Warning: The first time someone violates safety rules or procedures on a construction site, they are given a formal warning. This warning should clearly communicate what rule or procedure was violated, why it's important, and what consequences may follow if the behaviour continues.

Second Violation: If the person violates safety rules again after receiving a warning, they are typically subject to more severe consequences. This could involve removal from the worksite for a specified period, additional safety training, or other disciplinary actions.

Third Violation: If the individual violates safety rules for the third time, they are usually removed from the worksite permanently or face more severe disciplinary action, such as termination of employment. This is done to prioritise the safety of everyone on the site and to ensure that repeated violations are not tolerated.

6.0 AUDIT AND MONITORING

6.1 PROJECT FILES AND RECORDS

UNOPS health and safety management electronic files will form the archived component of the records for this project, in line with the UNOPS Record Retention Policy and to facilitate internal and external audit and review. As a minimum they will consist of:

- A copy of [Uzbekistan legal register](#)
- The Project Health and Safety management plan with its Annexes
- H&S meetings minutes (in the [Weekly/Monthly meeting agenda](#))
- [Weekly site inspection reports](#)
- [Work Permits](#)
- [Quarterly HSE site reports](#)
- Incidents investigation reports and near misses
- Hazard Identification ([Procedures](#))
- [Emergency drill records](#)
- [Record of training and toolbox talks](#)
- A copy of any H&S related correspondence in the project including any nonconformities notification for the Contractor(s) ([NCR Form](#))
- Internal and External Audits records
- Copy of the latest UNOPS HQ Management Review records

The UNOPS H&S system shall be formally documented to allow for control and accountability.

6.2 AUDIT AND MONITORING

Health and Safety performance at site will be regularly monitored through:

- Weekly site inspections
- Ad hoc site inspections
- Internal peer reviews if requested by UNOPS HQ
- External audit visit if requested by UNOPS HQ

7.0 REVISIONS OF THE PLAN

7.1 TABLE 7 - REVISIONS

Revision date	Name and title	Description of main changes

8.0 REFERENCES

8.1 TABLE 8 - REFERENCES

TOPICS	TEMPLATES	GUIDANCE
Legal review	HSE02 Register of interested parties HSE03 Legal register HSE04 Check for legal compliance	
Risk Assessment	HS05 Risk Assessment HS06 RA briefing register	GHSE08 Field Level Risk Assessments GHSE07 Task Based Risk Assessments GHS06 Baseline Risk Assessment
Work permits	HS08 Confined space permit HS09 Hot works permit HS10 Excavation permit HS11 Lifting permit HS12 Working at heights permit	GHS02 Lifting GHS04 Excavations GHS09 Work at height GHS11 Confined space
Site induction and training	HSE07 Site induction register HSE08 Visitor induction register HSE18 Training matrix	See catalogue of Toolbox talks
Site weekly inspections	HSE05 HSE inspection report – site (Both Responsible) HS13 Ladder inspection record HS14 Scaffold inspection checklist HS15 Small tools inspection record HS16 Lifting devices inspection record	GHS07 Scaffold
Management of contractors and sub-contractors		See guidance for Contractors working with UNOPS
Emergency and evacuation procedures	Site emergency and evacuation plan HS03 Emergency contact numbers HS04 Emergency drill record	GHS10 Accident response
Accident/incident reporting	HSE09 Incident report form HSE10 Incident review form HSE11 Incident highlight form	GHSE09 Reportable Incidents and Incident Examples
Communication and reporting	HSE12 Quarterly HSE report – site	
Audit and monitoring	HSE16 Internal review (audit)	
HSSE Breaches		HSSE Breaches on Major works

UNOPS = UNOPS responsibility (usual set-up in assurance position)

Contractor = Contractor responsibility (usual set-up in assurance position)

9.0 ANNEXES

9.1 [ANNEX 1- RISK ASSESSMENT MATRIX](#)

Legal Register for Health, Safety and Environment

Office/Project	UNOPS Office in Tashkent, Uzbekistan
Location	Uzbekistan
Revision and date	18.01.2023

I. Introduction

UNOPS premises are protected by the Immunities and Privileges of the United Nations. These immunities also apply to UNOPS staff. It is the intention of UNOPS to ensure that operations do not operate below the standard of local legislation (see the UNOPS Health and Safety policy and the UNOPS Environmental Policy). Contractors and construction sites have an even higher obligation to meet legal and other obligations as they are incorporated under local laws. The contractors are assumed to have control over their ability to meet local legislation at UNOPS construction sites. UNOPS has the role of enforcing legal and other requirements in line with the UNOPS policy commitment.

When researching for applicable national legal HSE requirements, it is recommended that existing legislation in the following areas be explored:

Access/ Egress	Small tools
Fire/Emergency Prevention and Response	Work over water
Ergonomics	Work interactions (e.g. stress, psychosocial)
Occupational Health Stressors	Use of Lifting Machinery
Pressurised equipment	PPE
Electrical equipment	Other general H&S requirements
Hazardous substances	Water quality and management
Preparation of food	Air quality
Structures	Waste
Transportation	Resources conservation
Working at heights	Pollution control
Excavation	Other general environmental requirements

II. Legal Register

No	Legislation/Requirement	Source	Requirements
1	United Nations, Occupational Safety and Health Management System	ST/SGB/2018/5	The occupational safety and health management system shall be implemented in a phased manner at the central and departmental levels and shall integrate, harmonize and update existing occupational safety and health-related policies and programmes
2	A system-wide road map for United Nations climate neutrality by 2020 and of the related goals towards enhancing the environmental sustainability of United Nations operations	CEB/2015/HLCM/7 of 31 March 2015	United Nations climate neutrality by 2020 and enhancement of environmental sustainability
3	Environmental Sustainability Management in the UN System	CEB/2013/HLCM/5 of 7-8 March 2013	Development and implementation of environmental sustainability management systems in each UN organization
4	A framework for advancing environmental and social sustainability in the United Nations system	UN Environmental Management Group, 2012	Moving UN organisations towards strengthening environmental and social sustainability in our activities
5	EOD 3 "Health & Safety and Social & Environmental Policy"	UNOPS	Establish UNOPS Social, Environmental and H&S policies
6	EOI.CSG.2017.01 on Implementation of HSSE levels	UNOPS	Establishes the Health & Safety, and Social & Environmental requirements at UNOPS locations
7	EOI.CSG.2017.02 on Incident reporting	UNOPS	Establishes the requirements for reporting incidents
8	OI.PCG.2017.01 "Personnel Management Framework" on work-life balance	UNOPS	Supports personnel in balancing the demands of work and personal life
9	United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, Section D. Road Safety. 31 October 2011	UNDSS	Promotes the safe operation of United Nations vehicles world-wide, to ensure road safety and to describe the roles and responsibilities of relevant United Nations Security Management System (UNSMS) actors in improving awareness and compliance with requirements and provisions for road safety
10	OD.PCG.2017.01 "Human Resources, Ethics and Culture" on discrimination, harassment and abuse of authority	UNOPS	Ensures the workplace is free of any form of discrimination and harassment
11	Law No. ZRU-410 LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR SAFETY	Republic of Uzbekistan	This law applies to all employees who are in labour relations with enterprises, institutions, organisations *various forms of ownership and management, including with individual tenants; members of cooperatives, students of higher educational institutions, students of secondary specialised educational institutions, and vocational schools and general education schools

			undergoing industrial practice, military personnel recruited to work at enterprises; citizens undergoing alternative service; persons serving sentences under a court verdict, during the period of their work at enterprises of correctional labour institutions or enterprises determined by the bodies in charge of the execution of sentences, as well as participants in other types of labour activity organised in the interests of society and the state.
12	LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR CODE	Republic of Uzbekistan	Labor Code of the Republic of Uzbekistan, which describes safe working conditions, labour protection rights and health of workers.
13	LAW OF THE REPUBLIC OF UZBEKISTAN ON FIRE SAFETY	Republic of Uzbekistan	The purpose of this Law is to regulate relations in the field of fire safety.
14	LAW OF THE REPUBLIC OF UZBEKISTAN ABOUT NATURE PROTECTION	Republic of Uzbekistan	This Law establishes the legal, economic and organisational foundations for the conservation of environmental conditions, rational use of natural resources. It aims to ensure a balanced harmonious development of relations between man and nature, the protection of ecological systems, natural complexes and individual objects, and guarantee the rights of citizens to a favourable environment.
15			
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III. References

1. Convention Immunities and Privileges of the United Nations.
https://treaties.un.org/doc/Treaties/1946/12/19461214%2010-17%20PM/Ch_III_1p.pdf
2. <http://www.un.org/en/ecosoc/docs/2010/res%202010-23.pdf>
3. ILO: Safety and Health in Construction Convention no. 167 (Dec. 2014)
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_INSTRUMENT_ID:312312
4. ECOLEX, the gateway to environmental law, operated jointly by FAO, IUCN and UNEP
<http://www.ecolex.org/start.php>
5. NATLEX, the ILO database of national labour, social security and related human rights legislation
http://www.ilo.org/dyn/natlex/natlex4.home?p_lang=en
6. LEGOSH, the ILO global database on occupational safety and health legislation
<http://www.ilo.org/dyn/legosh/en/f?p=LEGPOL:1000>
7. United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, D. Road Safety. 31 October 2011,
https://www.un.org/undss/sites/www.un.org.undss/files/docs/security_policy_manual_spm_e-book_as_of_29_nov_2017_0.pdf
8. ST/SGB/2018/5 United Nations, Occupational Safety and Health management System
- 9.

Register of Interested Parties

Office/Project	UNOPS Office in Tashkent (Projects to be added)
Location	Tashkent, Uzbekistan
Revision and date	18.01.2023

“Any persons or organisations that can affect, be affected by or perceive itself to be affected by UNOPS decisions and/or activities”

Step 1: List interested parties (e.g. beneficiaries, communities, suppliers, NGOs, donors, regulators, our personnel, partners, etc.)

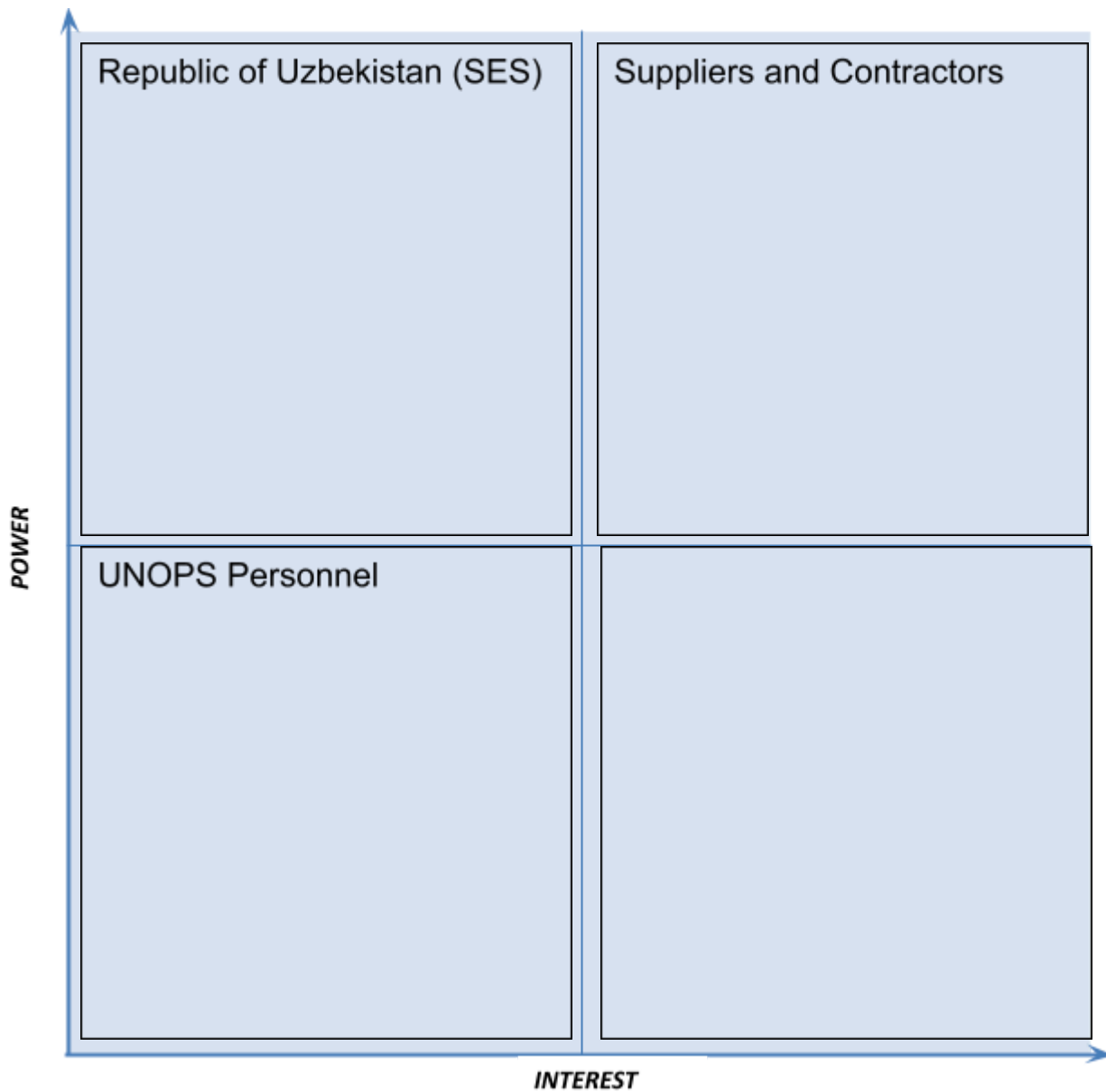
Step 2: Describe how you will determine their requirements (i.e. their needs and expectations)

Step 3: List the requirements you have identified, and highlight those that will become compliance obligations (NOTE: make sure you include compliance obligations in the Legal Register, HSE03)

1. List of interested parties and methodology for determining requirements

Interested party	Requirement	Requirement identified by way of
1. UNOPS personnel	Good communication Personal development Opportunity to express opinions Job stability and career	People survey
2. Suppliers and Contractors	Technical expertise Efficiency, responsiveness Good collaboration	Communication Agreements Contracts
3. Republic of Uzbekistan (Sanitary and Epidemiological Welfare and Public Health Service) SES	Republic of Uzbekistan has established laws on labor safety, nature protection and fire safety code on working conditions, labor protection rights and health of workers.	Law No. ZRU-410 LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR SAFETY LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR CODE LAW OF THE REPUBLIC OF UZBEKISTAN ON FIRE SAFETY LAW OF THE REPUBLIC OF UZBEKISTAN ABOUT NATURE PROTECTION

2. Determination of compliance obligations for Enter the name of your office based on a power/interest grid analysis



3. Identified compliance obligations must be reported in the Legal Register (form HSE03)

Check for compliance requirements for Health, Safety and Environment

Office/Project	UNOPS Office in Uzbekistan, Tashkent
Location	Tashkent
Revision and date	Rev 00, 18.01.2023

I. Immunities and Privileges of the United Nations

The founding Charter of the United Nations provides for the privileges and immunities “necessary for the fulfilment of its purposes.” (Article 105, UN Charter). The Convention on Immunities and Privileges adopted by the General Assembly of the UN on 13 February 1946 details the specifics of these legal exemptions.

This means that while UNOPS as a separate entity of the United Nations is exempt from compliance with local laws, it does interact with local governmental agencies for the provision of services and should meet the minimum standards for the operation of these services if not exceed them according to international standards.

II. UN requirements and UNOPS HSE minimum standards

The regulations and requirements put forth in the UN system should be applied to UN facilities. Therefore, UNOPS shall meet the requirements of the UN Occupational Safety and Health Management System (ST/SGB/2018/5 of 20 July 2018); of the UN Climate Neutrality Strategy and the Strategic Plan for Environmental Sustainability Management (CEB/2013/HLCM/2); and the UN Roadmap towards Climate Neutrality by 2020 (CEB/2015/HLCM/7 of 31 March 2015); and of other relevant UN initiatives and frameworks.

UNOPS minimum standards for Health, Safety and Environment apply in all its projects and operations, also in cases where they go beyond and above local legislative requirements.

III. Check for compliance requirements

Item ¹	Legislative instrument (law, regulation, decree, etc.)	Area of concern/hazard regulated	Year	Regulatory Body	Requirements	Compliance (Y/N)	Evidence of Compliance/ Corrective Actions
1	ST/SGB/2018/5 United Nations Occupational Safety and Health Management System	Other general HS requirements	2018	UN	The occupational safety and health management system shall be implemented in a phased manner at the central and departmental levels and shall integrate, harmonize and update existing occupational safety and health-related policies and programmes.	Y	HSSE team is leading corporate implementation of the system / UNOPS progress is aligned with the system
2	A system-wide road map for United Nations climate neutrality by 2020 and of the related goals towards enhancing the environmental sustainability of United Nations operations	Other general Environmental requirements	2015	UN	United Nations climate neutrality by 2020 and enhancement of environmental sustainability	Y	HSSE team accounts for corporate greenhouse gas emissions and purchases Certified Emission Offsets; Environmental sustainability is in place under the UNOPS HSSE programme
3	Environmental Sustainability Management in the UN System	Other general Environmental requirements	2013	UN	Development and implementation of environmental sustainability management systems in each UN organization	Y	Environmental sustainability is in place under the UNOPS HSSE programme

¹ Ensure numbering of legislative instruments is aligned and can be cross-referenced with those included in the Legal register.

4	A framework for advancing environmental and social sustainability in the United Nations system	Other general Environmental requirements	2012	UN	Moving UN organizations towards strengthening environmental and social sustainability in our activities	Y	HSSE management systems, GRI reporting
5	EOD 3 “Health & Safety and Social & Environmental Policy”	Health, Safety, Social and Environmental requirements	2017	UNOPS	Establish UNOPS Social & Environmental and H&S policies	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
6	EOI.CSG.2017.01 on Implementation of HSSE levels	Health, Safety, Social and Environmental requirements	2017	UNOPS	Health, Safety, Social and Environmental instructions	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
7	EOI.CSG.2017.02 on Incident reporting	Health, Safety, Social and Environmental requirements	2017	UNOPS	Health, Safety, Social and Environmental instructions	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
8	OI.PCG.2017.01 “Personnel Management Framework” on work-life balance	Other general HSSE-related requirements	2017	UNOPS	Support personnel in balancing the demands of work and personal life	Y	Part of UNOPS systems; IAIG audit internal processes
9	United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, Section D. Road Safety	Transportation	2011	UNOPS	Promote the safe operation of United Nations vehicles world-wide, to ensure road safety and to describe the roles and responsibilities of relevant United Nations Security Management System (UNSMS) actors in improving awareness and compliance with	Y	UNOPS follows the UN Road Safety Strategy

					requirements and provisions for road safety		
10	OD.PCG.2017.01 "Human Resources, Ethics and Culture" on discrimination, harassment and abuse of authority	Other general HSSE-related requirements	2017	UNOPS	Ensuring the workplace is free of any form of discrimination and harassment	Y	Part of UNOPS systems; IAIG audit internal processes
11	Law No. ZRU-410 LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR SAFETY	Labor Safety		Republic of Uzbekistan	This law applies to all employees who are in labor relations with enterprises, institutions, organizations *various forms of ownership and management, including with individual tenants; members of cooperatives, students of higher educational institutions, students of secondary specialized educational institutions, and vocational schools and general education schools undergoing industrial practice, military personnel recruited to work at enterprises; citizens undergoing alternative service; persons serving sentences under a court verdict, during the period of their work at enterprises of correctional labor institutions	Y	Part of Republic of Uzbekistan Legislation

					or enterprises determined by the bodies in charge of the execution of sentences, as well as participants in other types of labor activity organized in the interests of society and the state.		
12	LAW OF THE REPUBLIC OF UZBEKISTAN ON LABOR CODE	Labor Code		Republic of Uzbekistan	Labor Code of the Republic of Uzbekistan, which describes safe working conditions, labor protection rights and health of workers.	Y	Part of Republic of Uzbekistan Legislation
13	LAW OF THE REPUBLIC OF UZBEKISTAN ON FIRE SAFETY	Fire Safety		Republic of Uzbekistan	The purpose of this Law is to regulate relations in the field of fire safety.	Y	Part of Republic of Uzbekistan Legislation
14	LAW OF THE REPUBLIC OF UZBEKISTAN ABOUT NATURE PROTECTION	Environment Protection		Republic of Uzbekistan	This Law establishes the legal, economic and organizational foundations for the conservation of environmental conditions, rational use of natural resources. It aims to ensure a balanced harmonious development of relations between man and nature, the protection of ecological systems, natural complexes and individual objects, and	Y	Part of Republic of Uzbekistan Legislation

					guarantee the rights of citizens to a favorable environment.		
15							

IV. References


1. Convention Immunities and Privileges of the United Nations.
https://treaties.un.org/doc/Treaties/1946/12/19461214%2010-17%20PM/Ch_III_1p.pdf
2. <http://www.un.org/en/ecosoc/docs/2010/res%202010-23.pdf>

Hazard and Risk Assessment

Location/Project/Office			
Details of what is being assessed (activity, functional area)			
Document prepared by (name & signature)		Reviewed and approved by (name & signature)	
Date		Date	

Revision	Date	Author	Description of main changes

Follow the guidance given in the Health and Safety handbook under the title “Hazards and their control” in order get a full understanding of the hazard identification and risk assessment process.

		Likelihood			
		Unlikely	Slightly likely	Likely	Very likely
	Negligible	1	2	3	4
	Minor	2	4	6	8
	Moderate	3	6	9	12
	Major	4	8	12	16

Step-by-Step Guidance:

Stage One: Using the matrix above to carry out an initial assessment to determine the risk rating of each hazard(s) of the activity. To calculate the risk rating of a hazard, multiply the value of its consequence with the value for likelihood (note: here the hazard should be assessed without any control measures). Make sure relevant stakeholders (e.g. local UNDSS focal points) are consulted and involved in the risk assessment.

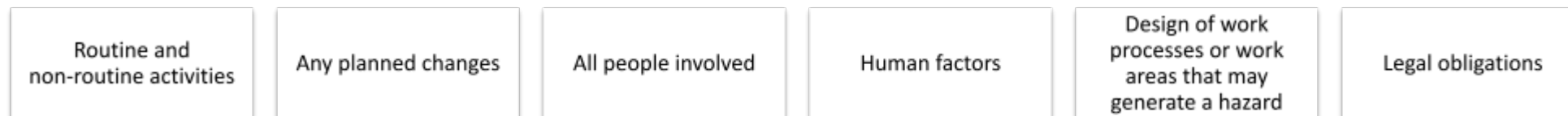
Stage Two: Use the results from the assessment in Stage One to prioritize control activities. As a general rule, if the risk is High, then the hazard must be eliminated and/or work activity prohibited or mitigation measures put in place to reduce the risk. If the risk is Medium, then additional safety controls are required to eliminate/isolate/minimise the risk. If the risk is Low, then the work can proceed with the current standard site controls in place.

The hierarchy of controls (elimination, substitution, engineering controls, administrative controls, personal protective equipment) should be applied when choosing controls, with more effective ones to be applied first. See the H&S handbook for more guidance.

Stage Three: Using the matrix to review again the hazards, this time with the safety controls proposed. If the risk rating remains Medium or High, then provide alternative or additional safety controls until the risk is assessed as Low.

Stage Four: Review the risk assessment periodically in order to take account of changes in the environment. In each revision, make sure new and modified content is easily identifiable (by text highlighting, use of a different font, use of a different font colour, and similar techniques).

When identifying hazards, consider among other things the following:



The frequency of the task and the number of people that could be potentially affected should be considered.

For the identification of hazards to be effective, a variety of sources should be investigated, as for example:



Note that more detailed assessments might be necessary for the risk assessment to evaluate the harm from exposure to chemical, biological and physical agents.

Identification and ranking of natural hazards may be done by using the country specific information found on <http://www.thinkhazard.org/>.

Note on Safety and Security: Threats directly resulting from or related to terrorism, civil unrest, armed conflicts and crime falls under the responsibility of the UN Security Management System. An assessment of these should not be included in this document.

Fire, aviation safety and road transport safety are also the responsibility of the UN Security Management System; those should not be included in the risk assessment for UNOPS office facilities.

Item	Task/Activity	Potential Hazards/Risks for each task	Risk Rating (1-16)	Hazard Control Method	Control Risk Rating (1-16)	Person to implement and monitor implementation

Space for comments

Appendix: The following is a list of possible hazards.

Physical hazards	Chemical hazards	Biological hazards	Psychosocial hazards	General environment hazards
<ul style="list-style-type: none"> ○ slippery or uneven ground, ○ working at height, ○ objects falling from height, ○ inadequate space to work, ○ poor ergonomics (e.g. workplace design that does not take account of human factors), ○ manual handling, ○ repetitive work, ○ trappings, entanglement, burns and other hazards arising from equipment, ○ transport hazards, either on the road or on premises/sites, while travelling or as a pedestrian (linked to the speed and external features of vehicles and the road environment), ○ fire and explosion (linked to the amount and nature of flammable material), ○ harmful energy sources such as electricity, radiation, noise or vibration (linked to the amount of energy involved), ○ stored energy, which can be released quickly and cause physical harm to the body (linked to the amount of energy), ○ frequently repeated tasks, which can lead to upper limb disorders (linked to the duration of the tasks), ○ unsuitable thermal environment, which can lead to hypothermia or heat stress, ○ violence to staff, leading to physical harm (linked to the nature of the perpetrators), ○ ionizing radiation (from x- or gamma-ray machines or radioactive substances), ○ non-ionizing radiation (e.g. light, magnetic, radio-waves) 	<p>Substances hazardous to health or safety due to:</p> <ul style="list-style-type: none"> ○ inhalation of vapours, gases, or particles, ○ contact with, or being absorbed through, the body, ○ ingestion, ○ the storage, incompatibility, or degradation of materials. 	<p>Biological agents, allergens, or pathogens (such as bacteria or viruses), that might be:</p> <ul style="list-style-type: none"> ○ inhaled, ○ transmitted via contact, including by bodily fluids (e.g. needle-stick injuries), insect bites, etc. ○ ingested (e.g. via contaminated food products) 	<p>Situations that can lead to negative psychosocial (including psychological) conditions, such as stress (including post-traumatic stress), anxiety, fatigue, depression, from e.g.:</p> <ul style="list-style-type: none"> ○ excessive workload, ○ lack of communication or management control, ○ workplace physical environment, ○ physical violence, ○ bullying or intimidation. 	<ul style="list-style-type: none"> ○ Environmental risks ○ Endemic diseases ○ Disease Outbreaks ○ Pandemics ○ Quality and availability of health care ○ Natural Disasters ○ Nuclear Disaster ○ Security conditions, Crime, Social Unrest, Political violence fall under the responsibility of the UN Security Management System

Source: OHSAS 18002:2008

In order to manage and control change, this template should be reviewed each time a change happens in the organization (e.g. in the structure, personnel, management system). The results of the risk assessment should be communicated with the staff as appropriate.

Schedule of key tasks

Item	Activity	H&S RA	Env. Plan	Hazardous substances	Method Stat.	Date Req.	Date of 1st issue	Revised	Responsibility	Approved
1	Mobilization									
2	Excavation/Backfilling									
3	Demolish existing walls									
4	Concrete works / Stone works									
5	Septic tank works									
6	Electrical works									
7	Mechanical works									
8	Finishing works									
9	Stone pointing works									
10	Outside building M&E works									

11	Landscaping works									
12	Others to be specified during construction									

Health, Safety, Social & Environmental Inspection Report - Site

Project			
Person carrying out inspection			
Location		Date	

Number of Toolbox talks held since last inspection		Number of personnel on site		Incidents since last inspection	
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NOTE: It is mandatory to document at least one HSSE inspection per week. Daily HSSE inspections are highly recommended.

1. MARK THE ITEMS THAT HAVE BEEN INSPECTED
2. INCLUDE INSPECTION FINDINGS AND PRIORITY* FOR CLOSING THEM (you can also highlight best practices)

* Priority: (A1) – Immediately (A2) – Within 24 Hrs (B3) – Within 3 Days (C) – Other (state)

Category		√	Observation(s) – add rows if necessary	Responsible	Date closed
1. General site layout & welfare (incl. housekeeping)					
Consider:	Site accommodation (toilets, canteen, water, dry clothing, cleanness) Sanitary conveniences (culturally acceptable, lockable, safe and well-lit access, gender sensitive) General appearance of the worksite (clean/untidy, fencing) Materials storage (protected, tidy, stored correctly), slip, trip and fall risks (protruding bars, cable management) Security, site boundaries (clearly marked/defined, safety signage displayed, security arrangements), lighting				
2. Emergency arrangements and response					

Consider:	<p>Fire (evacuation plan, muster point marked, extinguishers, fire alarm)</p> <p>First Aid (first aiders, first aid kit – location availability), spill kits (availability, location)</p> <p>Information display (emergency plan, contacts, site rules, policies)</p>			
3. Work at height				
Consider:	<p>Scaffolding (foundation, bracings, access, handrails, toe boards, tagging)</p> <p>Mobile platforms, ladders (locking, securing, tagging)</p> <p>Fall protection (edge protection in place, fall arrest systems, openings fenced off or covered)</p>			
4. Equipment/Portable tools/Electrical appliances				
Consider:	<p>Lifting equipment and management of lifting operations (cranes, hoists, davits, slings, chains, permit)</p> <p>Tools and equipment (condition, regular checking, maintenance, storage, guards in place)</p> <p>Transformers & Power Supply (security, connection, labelling, inspections)</p>			
5. Excavations				
Consider:	<p>Excavation, trench protection (shoring, sheet piles, placement of excavated material, fencing, railing)</p> <p>Confined space (gas monitor, evacuation procedure – tripod, topman etc)</p> <p>Dewatering arrangements</p>			
6. Personal Protection Equipment (PPE)				
Consider:	<p>Use, suitability for the task (i.e. dust masks or hearing protection), condition, storage</p> <p>Manual Handling</p>			
7. Underground and overhead services				

Consider:	Identification, marking and protection			
8. Hazardous materials				
Consider:	Clear identification, labelling, storage, no smoking sign, asbestos Gas Cutting/welding (welding screens, flashback arresters, condition of the gas bottles and hoses, permit)			
9. Traffic management				
Consider:	Planning, Routing, Turning areas, Delivery Management, Unloading area, Pedestrian Segregation, Access, Signage and traffic control, plan display, banksman Segregation of pedestrians and workers from vehicles			
10. Mobile plant equipment				
Consider:	Equipment safe and well-functioning (brakes, horn, reverse alarm, indicators, headlights and mirrors, tyres, hydraulic systems) Radio communication procedures Maintenance and daily checks Segregation from pedestrians			
11. Risk Assessment and Method Statement (RAMS)				
Consider:	Work carried out according to RAMS, communication to workers			
12. Lifting appliances and equipment				
Consider:	Radio communication system with cranes, outriggers, Safe Working Load (SWL) clearly marked			

13. Waste management and segregation				
Consider:	Waste segregation, availability of bins/skips/containers properly labelled, secured and protected i.e. from rain, animals Frequency of emptying bins, waste disposal/recycling according to plan Separate, secure storage of hazardous waste in sealed, non-leaking, bunded area			
14. Fuel/oil/chemical storage				
Consider:	Fuels/chemicals/oils storage in bunded areas, use of drip trays, good condition of the drums and bund Designated refuelling area on site, located away from watercourse, bunded or on hard surface Gas storage in secure/lockable area; labelling and signage			
15. Drainage, dewatering, spillage control				
Consider:	Uncontrolled discharges to watercourses/drainages; storm water drainage; control of dewatering or overpumping activities; use of settlement tanks and/or oil separators Check for leaking equipment; use of drip trays; concrete wash out site; designated vehicles wash-down area (connected to drainage and oil separator) Sewage system from site/canteen/office discharge			
16. Ecology, archaeology and heritage				
Consider:	Ecological, archaeological or sensitive areas, protection from site activities; affected trees or vegetation			
17. Dust and mud				

Consider:	Dust control measures, excavated material stock piles covered, dust suppression system (sprinklers), traffic control around the site controlled (speed limited) Mud spreading prevention - wheel wash, dust suppression systems on the equipment i.e. on the chain saw			
18. Odour and air emissions				
Consider:	Burnings on site, waste burning prohibited on site Odour emissions Emissions from equipment/machinery/vehicles, related maintenance			
19. Noise and vibration				
Consider:	'Noisy' equipment, maintenance, noise mitigation measures i.e. is the equipment fitted with mufflers, screens, noise monitoring			
20. Labour relations; Community interface				
Consider:	Complaints from the neighbourhood, liaison with community/authorities Indications of child or very young workers presence, retaining salaries, other labour rights violations			
21. Prevention of gender based violence, sexual exploitation, abuse and harassment				
Consider:	Posters on prevention of GBV, SH and SEA Visible and accessible reporting channels for GBV, SH and SEA Evidence of GBV, SH and SEA training/awareness			

Name/Signature of Person carrying out Inspection:			
Approved by Project Manager		Date	

Emergency Drill Record

Project Title	
Location of the drill (address)	
Date of Emergency drill	
Time warning system was initiated	
Warning system initiated by	
Weather condition	
Emergency coordinators present	
Approximate number of people evacuated	
Time taken to fully evacuate	

Overall Standard of Emergency Drill	Unsatisfactory	Satisfactory
(tick the correct)		

Comments/findings	Action required/ Responsibility	Date completed

Name of Person in charge of the drill		Date	
Signature			

HSSE GUIDELINE BRIEFING REGISTER

Project Name		Briefed by	
Site Location		Guideline Name	
Date of Briefing		Guide Line No.	

Employees' Name	Employer	Employee Signature	Date of Briefing	Briefed By

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EMERGENCY EVACUATION FIRE DRILL BRIEFING REGISTER

Project Name		Briefed by	
Site Location		Guideline Name	
Date of Briefing		Guide Line No.	

Employees' Name	Employer	Employee Signature	Date of Briefing	Briefed By

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Mandatory HSSE inspections

Introduction

The purpose of this Guideline is to assist UNOPS facilities and operations in conducting health, safety, social and environmental (HSSE) management inspections, identifying issues, and implementing corrective actions which are part of a larger HSSE value chain. Carrying out HSSE inspections allows UNOPS to prevent injuries and illnesses by identifying unsafe conditions, unsafe acts and instances where health and safety controls are not in place or are not effective to the desired level. Identifying these gaps would be futile if corrective actions are not carried out. Therefore, a key part of the inspection process is ensuring that the actions identified are carried out in a way that effectively addresses the unsafe conditions or acts, and ensures that harm to people and the environment, and damage to property do not occur.

1. Who conducts the inspections?

1.1. Projects: For project sites, the project manager is responsible for ensuring that inspections are carried out and that the corrective actions identified are effective. UNOPS personnel and contractors (implementing or supervising) conduct the inspections. It is recommended that at least two people conduct an inspection. Inspections may be carried out by the supervisors, technical experts (engineers, HSSE practitioners), workers' HSSE representatives, project managers, and other managers. The involvement of managers at planned intervals is strongly encouraged. This does not mean that the inspections should always be announced to the people at the site, rather it means that there should be an inspection plan that shall be followed so that inspections are done at a certain predetermined frequency. A combination of announced and unannounced inspections should be used to allow people to make a deliberate effort to address known issues and also to see the conditions when the site team is not expecting visitors to the site. Inspections conducted by the contractors must be checked by UNOPS personnel and should cover the key aspects highlighted in the [HSE05 Site HSSE Inspection](#) form. Mine Action projects shall follow quality assurance requirements as set out by relevant National or International Mine Action Standards.

1.2. Offices: For offices, the HSSE Country Coordinator (or another colleague in the local office assigned by the HSSE coordinator) is responsible for conducting the inspection, addressing the hazards and risks and identifying the corrective actions using the [HSE06 Office HSSE Inspection](#) form. Similar to project sites, it is also recommended that at least two people carry out the inspection of offices and facilities.

2. Workplaces or “sites” that require inspection

The ISO 45001 standard defines the workplace as a “place under the control of the organization where a person needs to be or to go for work purposes”. For UNOPS this means that we apply HSSE requirements in all UNOPS premises including offices, warehouses, accommodation and project sites. Although UNOPS hands over sites to contractors for the execution of work, the sites remain UNOPS workplaces from an HSSE point of view as the contractor is our agent who is executing work on our behalf. Therefore, any accommodation, storage, raw material or waste processing premises that are used by UNOPS or contractors to exclusively support UNOPS activities or projects are covered by UNOPS HS requirements. The HSSE requirements also apply when UNOPS has been hired by a partner to supervise a contractor who is carrying out the work.

Project teams must determine a practical way of defining the workplaces to be inspected based on the nature of the project and the context. For example, it may make more sense to have one inspection of a 600m sewer line than to have seven inspections of the seven inspection holes that are in the 600m sewer line. In contrast, it may make more sense to have three inspections for a 45 km road that has been divided into three 15km lots assigned to three different contractors. For a camp management project, it may also make sense to have three inspections with one covering cleaning operations in the UN compound office areas, another covering operations in the residential areas, and another covering the waste handling and landfill areas.

While the determination of the number of workplaces or locations where inspections should be carried out is at the discretion of the project manager (PM), PMs are strongly encouraged to have an inspection plan for the project that defines the workplaces to be inspected and the frequency of the inspections, bearing in mind that the purpose of the inspection is to ensure that key HSSE controls are in place and working.

In general, the requirement for inspections is that at least one HSSE inspection shall be carried per week for all physical sites, however, the HSSE unit in HQ should be consulted to give a written instruction to reduce the frequency of inspection when the risk is considered to be low. Emails should be directed to hse@unops.org. It should be noted that the one inspection per week is only a minimum performance level expected. Higher risk projects should ensure adequate inspection and supervision of safety-critical tasks beyond the one formal inspection highlighted. Mine action projects will conduct inspections (or quality assurance) in line with relevant National or International mine action standard requirements.

The inspections of UNOPS offices should cover all office spaces, premises, UNOPS accommodation, warehouses and any other premises directly associated with UNOPS work. Another inspection should be carried out if the location of some of these facilities is so far that it is not practical to carry out the inspection at the same time, for instance if there are office premises in different towns.

3. Frequency of the inspections

The current minimum requirement for HSSE inspections is that all projects with physical sites that are under the control of UNOPS or its contractors should carry out at least one formal HSSE inspection per week. Mine action projects must follow relevant National or International Mine Action Standards, which determine the required frequency of quality assurance inspections. UNOPS offices should carry out at least one inspection every six months. Although the minimum frequency for office inspections is once every six months, it is recommended that offices put in place a monthly or quarterly inspection programme in all locations.

The frequency of formal inspections should be increased when the project or office has high HSSE risks. A formal inspection is one that is properly recorded on the HSE05 and HSE06 forms, or equivalent forms that have been accepted by the UNOPS technical expert (for projects) or an HSSE Specialist at HQ (for offices).

4. What are verified and completed actions?

Responsibility for the verification of inspections conducted lies with the respective Project Managers. The Project Manager should ensure that inspections are done and that corrective actions identified in the inspections are completed and effective.



There is a need for verifying that key actions to address issues raised by the inspection have been addressed. The Project Manager can verify the inspections in person by going to the site or through pictures, video, or other evidence showing that aspects requiring attention have been addressed. The Project Manager may also delegate part of the verification to the Deputy Project Manager or another senior colleague in the project when he/she is not available, however, it is important that the PM shows leadership by being directly involved in addressing key HSSE aspects.

Inspection findings made must be prioritized by the level of risk so that the highest risk findings receive the most urgent attention. The PM should escalate any high risk findings that he/she is not able to address immediately to his/her supervisor in the country and to the project executive (if these are different people). The supervisor or executive shall help the PM to address the finding in a way that quickly and effectively mitigates the possibility of death or serious injuries.

A responsible person and a completion date must be assigned to inspection findings that require further action. See the example below of a high risk finding that resulted in work being stopped and where the corrective actions were implemented on the same day before work could be resumed.

Corrective Actions for Mine Action projects must be completed in accordance with relevant National or International Mine Action Standard requirements. It is the responsibility of the Chief of Operations (or equivalent) to ensure corrective actions from Quality Assurance visits are completed and effective.

Example: HSE05 Site HSSE Inspection

* Priority: (A1)– Immediately (A2) – Within 24 Hrs (B3)– Within 3 Days (C)– Other (state)				
Category	✓	Observation(s) – add rows if necessary	Responsible	Date closed
3. Work at Height	✓			
Scaffolding (foundation, bracings, access, handrails, toe boards, tagging) Mobile platforms, ladders (locking, securing, tagging) Fall protection (edge protection in place, fall arrest systems, openings fenced off or covered)		 <p>A1 - Lack of/inadequate fall protection Corrective actions: Immediately stop work. Edge protection should be put in place, provision of fall arrest system is required and openings should be fenced off or covered, and personnel should be trained on working at heights</p>	John Doe 20/01/2020	20/01/2020 Edge protection installed, workers issued with safety harnesses and trained 

Name/Signature of Person carrying out Inspection:	<i>Jane Doe</i>		
Approved by Project Manager	<i>John Smith</i>	Date	20/01/2020

Inspections are said to be **mandatory inspections with corrective actions completed and verified** when:

- the PM confirms that the findings raised in an inspection are resolved at the site;
- the PM escalates the inspections with findings to a higher authority for action, and the action recommended by the higher authority has been initiated; or
- formal HSSE inspections are conducted and there are no inspection hazards or risks identified. In these cases, the system should take note of the inspection.

5. In-country escalation mechanism

There is a need for a functioning in-country escalation mechanism for findings from inspections and their corrective actions. The purpose of the escalation process is for ensuring that unsafe conditions and acts receive attention as soon as possible before they lead to injuries or illnesses. It is recommended that site personnel should immediately advise the PM of aspects that they are unable to address through the inspection report and the PM also advises his/her superiors of aspects that he/she has difficulty addressing so that the aspects are given adequate attention quickly. Note that the in-country escalation mechanism depends on the context and individual needs of the country.

Maintaining information on the type and nature of high risk aspects that need escalation and the tracking of corrective actions for these aspects is valuable for in-country review and analysis. Countries should also make use of performance information generated from HSSE monthly reporting and displayed in the corporate HSSE dashboard. It is recommended that the high risk findings that require escalation should be recorded in the project issues register.

Check for compliance requirements for Health, Safety and Environment

Office/Project	
Location	
Revision and date	

I. Immunities and Privileges of the United Nations

The founding Charter of the United Nations provides for the privileges and immunities “necessary for the fulfilment of its purposes.” (Article 105, UN Charter). The Convention on Immunities and Privileges adopted by the General Assembly of the UN on 13 February 1946 details the specifics of these legal exemptions.

This means that while UNOPS as a separate entity of the United Nations is exempt from compliance with local laws, it does interact with local governmental agencies for the provision of services and should meet the minimum standards for the operation of these services if not exceed them according to international standards.

II. UN requirements and UNOPS HSE minimum standards

The regulations and requirements put forth in the UN system should be applied to UN facilities. Therefore, UNOPS shall meet the requirements of the UN Occupational Safety and Health Management System (ST/SGB/2018/5 of 20 July 2018); of the UN Climate Neutrality Strategy and the

Strategic Plan for Environmental Sustainability Management (CEB/2013/HLCM/2); and the UN Roadmap towards Climate Neutrality by 2020 (CEB/2015/HLCM/7 of 31 March 2015); and of other relevant UN initiatives and frameworks.

UNOPS minimum standards for Health, Safety and Environment apply in all its projects and operations, also in cases where they go beyond and above local legislative requirements.

III. Check for compliance requirements

Item ¹	Legislative instrument (law, regulation, decree, etc.)	Area of concern/hazard regulated	Year	Regulatory Body	Requirements	Compliance (Y/N)	Evidence of Compliance/ Corrective Actions
1	ST/SGB/2018/5 United Nations Occupational Safety and Health Management System	Other general HS requirements	2018	UN	The occupational safety and health management system shall be implemented in a phased manner at the central and departmental levels and shall integrate, harmonize and update existing occupational safety and health-related policies and programmes.	Y	HSSE team is leading corporate implementation of the system / UNOPS progress is aligned with the system
2	A system-wide road map for United Nations climate neutrality by 2020 and of the related goals towards enhancing the environmental sustainability of United Nations operations	Other general Environmental requirements	2015	UN	United Nations climate neutrality by 2020 and enhancement of environmental sustainability	Y	HSSE team accounts for corporate greenhouse gas emissions and purchases Certified Emission Offsets; Environmental sustainability is in place under the UNOPS HSSE programme
3	Environmental Sustainability Management in the UN System	Other general Environmental requirements	2013	UN	Development and implementation of environmental sustainability	Y	Environmental sustainability is in place under the UNOPS HSSE programme

¹ Ensure numbering of legislative instruments is aligned and can be cross-referenced with those included in the Legal register.

					management systems in each UN organization		
4	A framework for advancing environmental and social sustainability in the United Nations system	Other general Environmental requirements	2012	UN	Moving UN organizations towards strengthening environmental and social sustainability in our activities	Y	HSSE management systems, GRI reporting
5	EOD 3 “Health & Safety and Social & Environmental Policy”	Health, Safety, Social and Environmental requirements	2017	UNOPS	Establish UNOPS Social & Environmental and H&S policies	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
6	EOI.CSG.2017.01 on Implementation of HSSE levels	Health, Safety, Social and Environmental requirements	2017	UNOPS	Health, Safety, Social and Environmental instructions	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
7	EOI.CSG.2017.02 on Incident reporting	Health, Safety, Social and Environmental requirements	2017	UNOPS	Health, Safety, Social and Environmental instructions	Y	Part of UNOPS systems; IAIG audit internal processes and designation of HSSE levels by Regional directors
8	OI.PCG.2017.01 “Personnel Management Framework” on work-life balance	Other general HSSE-related requirements	2017	UNOPS	Support personnel in balancing the demands of work and personal life	Y	Part of UNOPS systems; IAIG audit internal processes
9	United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, Section D. Road Safety	Transportation	2011	UNOPS	Promote the safe operation of United Nations vehicles world-wide, to ensure road safety and to describe the roles and responsibilities of relevant United Nations Security Management System (UNSMS)	Y	UNOPS follows the UN Road Safety Strategy

					actors in improving awareness and compliance with requirements and provisions for road safety		
10	OD.PCG.2017.01 "Human Resources, Ethics and Culture" on discrimination, harassment and abuse of authority	Other general HSSE-related requirements	2017	UNOPS	Ensuring the workplace is free of any form of discrimination and harassment	Y	Part of UNOPS systems; IAIG audit internal processes
11							
12							
13							
14							
15							

16							
17							
18							
19							
20							

IV. References

1. Convention Immunities and Privileges of the United Nations.
https://treaties.un.org/doc/Treaties/1946/12/19461214%2010-17%20PM/Ch_III_1p.pdf
2. <http://www.un.org/en/ecosoc/docs/2010/res%202010-23.pdf>

UNOPS Work Permit: Confined Space Entry

Project Title		Permit Number	
Location of Confined Space		Date Submitted	
Details of Work		Date Approved	
Name of Contractor/Workers		Validity Period	

Atmospheric (gas) Testing	Results (Tests to be carried out prior to any entry by lowering detection equipment into the confined space.)
Oxygen	
Carbon Monoxide	
Hydrogen Sulphide	
Other?	
EXPLOSIVENESS	

Ensure that the Confined Space is free from

	Check performed
Noxious Sludge and Material Matter	
Gas and Fumes	
Isolated from all sources of Gas and Fumes	

The following precautions must be taken as a condition of this permit approval

	Yes	No
Gas monitoring throughout operation		
Is forced ventilation system required for operation?		

Breathing apparatus required to be worn?		
Specific protective clothing to be used (list)		
Support person in attendance		
Lifeline system (harness, winch and tripod) to be used		
Non spark tools and flameproof electronics and equipment to be used		
Emergency rescue equipment/facilities required		
Specific workers training to be undertaken		
Other precautions? (detail)		

Approval: (Before the works are undertaken the recipient understands and is competent with the safe systems of work in confined spaces.)

Signature of Approving Authority	Date
Signature of Recipient	Date

Completion: (Confirmation that all persons and equipment has been withdrawn from the space and the area has been left safe.)

Signature of Recipient handing back	Date
Signature of Approving Authority	Date

UNOPS Work Permit: Hot Works

Project Title		Permit Number	
Location of Proposed Works		Date submitted	
Details of Work			
Name of Contractor/Workers			
Hot Work Fuel Source			

The following precautions are to be undertaken by the Contractor:

Within a 10 metre radius of the work <input type="checkbox"/> Removal of combustible Material and Liquids <input type="checkbox"/> Covering/protection of fixed combustibles <input type="checkbox"/> Clean floor areas of combustibles <input type="checkbox"/> Wetting down of combustibles <input type="checkbox"/> Covers to collect sparks <input type="checkbox"/> Cover all floor and wall openings
General <input type="checkbox"/> All cutting and welding equipment is in good repair <input type="checkbox"/> All equipment operated by competent people <input type="checkbox"/> Does the area require additional ventilation <input type="checkbox"/> Ensure suitable PPE is in use <input type="checkbox"/> If smoke alarms are required to be disconnected to perform the hot work then continuous fire watch must take place.
Extinguishers <input type="checkbox"/> Hose Reel <input type="checkbox"/> CO2 <input type="checkbox"/> Dry Powder <input type="checkbox"/> Water

Authorisation

Signature of Approving Authority	Time/Date of permit validity
Signature of Receiver:	Date:

Completion

The work areas have been inspected one hour after the completion of the works and is all clear.	
Permit Receiver	Date/Time
Approving Authority (Permit returned and expired)	Date/Time

UNOPS Work Permit: Excavation

Project Title		Estimated Time Required	
Location of Proposed Works		Proposed commencement of excavation	
Details of Excavation (including max depth)		Permit Number	
Person in charge of Excavation (name and title)		Date submitted	

Underground and Overhead Services Checklist

	'As built' existing services drawings	Services locations confirmed on site and marked	Control zone confirmed, excavation within?	Services require isolation?	Area to be scanned?	Specific method, controls, techniques and protection required?
Electrical (in ground)						
Electrical (overhead)						
Water main						
Gas main						
Sewer system						
Storm water system						
Data and telecoms						
Other?						

General Considerations

	Yes	No
Is area required for stockpiling sufficient and secure?		
Are temporary barriers available to protect excavation?		
Has risk assessment been carried out for the works?		

Note: All archaeological items uncovered during excavation shall be immediately reported to the UNOPS site representative. Work shall be stopped and waiting for further instruction from UNOPS site representative.

Authorisation

Signature of Approving Authority	Time/Date of permit validity
Signature of Receiver	Date

Completion

The work area is complete and has been left in a safe condition. The work has not been completed and the following remains outstanding:	Date/Time
Permit Receiver:	
Approving Authority: (permit returned and expired)	Date/Time

UNOPS Work Permit: Lifting (Crane)

Project Title		Banksman/Slingers	
Location of Proposed Lift		Permit Number	
Proposed Date of Lift		Date submitted	
Appointed person to control lift			

Details and Description of Lift	
Type of Crane	
Safe Working Load of the Crane	
Details of the item to be lifted	
Weight to be lifted	
Maximum radius of the lift	
Confirmation of lift and radius suitability	
Lifting Gear minimum capacity	
Crane operator licensed/Experienced	
Banksman/Slinger licence/Experienced	
Crane and equipment weekly/monthly/yearly inspections detailed?	

Pre Lift Checklist		
<input type="checkbox"/> Ground conditions suitable for access and lifting?	<input type="checkbox"/> Visual inspection of lifting gear	<input type="checkbox"/> Crane level and wheels clear of ground?
<input type="checkbox"/> Outrigger spreaders required and in place?	<input type="checkbox"/> Health and Safety Hazard and Risk assessment undertaken?	<input type="checkbox"/> Risk controls in place relating to access, vehicles, workers, lifting area etc
<input type="checkbox"/> Crane operator has all round vision?	<input type="checkbox"/> Any workers under suspended loads?	<input type="checkbox"/> Have all workers involved been thoroughly briefed on proceedings?

☐ Any additional requirements?

Approval

Signature of Approving Authority	Time/Date of permit validity
Signature of Receiver	Date

Review and Completion

Lift undertaken as planned?	
Improvements for next lift?	
The lift has/has now been completed	Date/Time
Permit Receiver:	
Approving Authority:	Date/Time
(permit returned and expired)	

UNOPS Work Permit: Lifting (Hiab)

Project Title		Hiab Driver Banksman/Slingers	
Location of Proposed Lift		Permit Number	
Proposed Date of Lift		Date submitted	
Appointed person to control lift			

Details and Description of Lift	
Type of Hiab	
Safe Working Load of the Hiab	
Details of the item to be lifted	
Weight to be lifted	
Maximum radius of the lift	
Confirmation of lift and radius suitability	
Lifting Gear minimum capacity	
Hiab operator licensed/Experienced	
Banksman/Slinger licence/Experienced	
Hiab and equipment weekly/monthly/yearly inspections detailed?	

Pre Lift-Checklist		
<input type="checkbox"/> Ground conditions suitable for access and lifting?	<input type="checkbox"/> Visual inspection of lifting gear	<input type="checkbox"/> Crane level and wheels clear of ground?
<input type="checkbox"/> Outrigger spreaders required and in place?	<input type="checkbox"/> Health and Safety Hazard and Risk assessment undertaken?	<input type="checkbox"/> Risk controls in place relating to access, vehicles, workers, lifting area etc

<input type="checkbox"/> Crane operator has all round vision?	<input type="checkbox"/> Any workers under suspended loads?	<input type="checkbox"/> Have all workers involved been thoroughly briefed on proceedings?
Any additional requirements?		

Approval

Signature of Approving Authority	Time/Date of permit validity
Signature of Receiver	Date

Review and Completion

Lift undertaken as planned?	
Improvements for the next lift?	
The lift has/has now been completed	Date/Time
Permit Receiver:	
Approving Authority:	Date/Time
(permit returned and expired)	

UNOPS Work Permit: Working at height

Project Title		Permit Number	
Location of Proposed Works		Date submitted	
Description of Work			
Name of Contractor/Workers			

Work context (indicate work environment that the work will be conducted in)	
Mechanised lifting devices, elevated work platforms and fixed structures (describe)	
Erecting scaffold (details of the scaffold)	
Near an exposed edge	
On a crane (describe)	
On heavy plant and machinery (describe)	
On a roof surface (describe)	
Other (describe)	

Pre work checklist			
Activity	Yes	No	Not applicable
	Please indicate 'X' as applicable		
Falling risk determined / identified and preventive control measures put in place?			
Fall protection plan & rescue in place, approved and communicated to employees involved?			
All edges protected and/or fall protection barriers set up (eg. safety mesh)?			
Hand and knee rails with toe boards in place around the work			

area?			
Portable / movable elevated work platforms and suspended work cages conform to relevant approved design standards and inspected before use?			
Anchors and tie-off points identified, checked and secured before use?			
Scaffolding erected, inspected and signed-off by a competent person?			
Working surface is level and stable?			
Safe access and egress provided to and from height?			
Ladders inspected and employees trained on their use?			
Ladders secured at top and bottom?			
Competent personnel install and inspect the lifelines before use?			
Safety equipment issued to employees and equipment inspected and approved, e.g. safety harness, lanyard, lifeline?			
Swing effect considered when using retractable devices?			
Methods in place preventing other employees from entering 'At Fall' Risk Area?			
Proper lighting / illumination provided?			
Warning signages in place at all lower levels where employees are working and/or where objects might fall from height?			
Workers have received working at heights training?			
Are all hazards identified and controls put in place to prevent falling of material?			
Area free from slip/trip hazards?			
Any additional requirements? If so, please outline:			

Authorisation

<p>Before works are undertaken, the recipient understands the work conditions in this permit and that all work will be carried out in accordance with the requirements based on the risk profile of the job at hand and the site conditions at the time the permit was issued. Should either site conditions, risk of the job or method of work change, the permit is no longer valid and a new permit must be issued.</p>	
Signature of Approving Authority	Time/Date of permit validity
Signature of Receiver:	Date:

Permit Completion

<p>Confirmation that all work associated with this permit has been completed and the job site is clear of any hazards associated with this work.</p>	
Permit Receiver	Date/Time
Approving Authority (Permit returned and expired)	Date/Time

MONTHLY/WEEKLY SITE PROGRESS MEETING

Project Title/ Work Title	Please write here				
Meeting No.	Please write here				
Contract No.	Please write here				
Employer	Please write here				
Contractor	Please write here				
Meeting Location	Please write here	Meeting Date	Please write here	Meeting Time	Please write here
Distribution	Please write here				
Minutes of the meeting prepared by	Please write here		Minutes of the meeting distribution date	Please write here	

1. Attendants – Key Personnel

UNOPS Key Personnel	Name/ Signature or apologies
Project Manager/Employer's Representative ¹	
Deputy Project Manager/Employer's Representative Assistant	
QA Team Leader	
HSSE Consultant/Coordinator	
Contracts Advisor/Manager/Procurement Official	
Project Support Officer	

Partner's Representative	Name/ Signature or apologies
Donor's focal person or Technical Advisor	
Client's Counterpart Engineer(s)	

¹ Text in grey are either information or guidance that can be maintained or changed to suite project conditions

Contractor's Key Personnel	Name/ Signature or apologies
Contractor's Representative	
Construction Manager	
Office/Planning Engineer	
QA/QC Engineer	
HSSE Expert	

2. Sample Meeting Agenda

- a. Minutes of Previous Meeting
 - Issues/problems/ endorsement
- b. Key visitors to site
 - Name, purpose and outcome of the visit including any follow up action required
 - Example: the donor's HSSE officer, Mrs..... Visited the site for two days and instructed to avail adequate PPE for the construction workforce before the next HSSE performance monitoring
- c. Matters arising
- d. Progress vs Contract Programme
 - Mobilization
 - Overall Progress and Challenges
 - Review on major Bill of Quantities items
- e. Quality management
 - Materials, workmanship, plant and equipment
 - Non-conformance
 - Inspection test plans
- f. Finance
 - Cash flow
 - Interim payment certificate
- g. Contractual issues - claims and disputes
 - Review current status of claims and disputes
- h. Technical matters
 - Drawings, instructions, etc.
- i. Possession of site and right of access
- j. Occupational health and safety
 - Health and safety management performance
 - Incidents
- k. Social and environmental matters
 - Social and Environmental management performance
 - Complaints and grievances
- l. Any other business
- m. Date, time and venue of next meeting

3. Minutes of Meeting

Item No	Agenda Discussed	Meeting Minutes	Proposed Action	Action by/ Due Date
1	Technical Matters	Delayed drawings for Variation Order no.XXX	Employer Rep to issue Drawings by...	Employer's representative
2	Health and Safety Matters	Noise pollution	Limit night work	Contractor

Protection of Skin

Dermatitis accounts for over half of all working days lost through industrial sickness.

Some types of dermatitis, if not treated, can lead to cancer.

Contact Hazards to Skin

- Mineral oils, including fuel and mould oils, can give you bad skin conditions, or even cancer.
- Constant skin contact with oily rags in overall pockets can lead to cancers in the scrotum.
- Chemicals, including alkalis, acids and chromates can penetrate the skin causing ulcers and dermatitis.
- Cement can cause chronic dermatitis. Wet cement becomes more alkaline and more harmful to the skin causing severe burns, severe enough in at least one case to require amputation of a leg.

? What hazards are there from contact with mineral oil?

- Solvents and degreasers, including paraffin and thinners, dissolve natural oils in the skin leaving it open to infection.
- Tar, pitch and bitumen products can cause blisters and dermatitis. They can cause tar warts, leading to cancer.
- Epoxy resin hardeners, glass fibre, some hardwoods and fungicides irritate the skin and can lead to dermatitis. Some fine hardwood dusts have been linked to nasal cancer.
- Extremes of sunshine, temperature and humidity make the skin more susceptible to dermatitis and other skin problems. Keep your shirt on, on sunny days,

? What effect do solvents have on your skin?

Precautions to Protect Your Skin

- Avoid skin contact with hazardous substances.
- Wear the correct personal protective equipment (PPE).
- Keep your skin clean and use after wash skin cream.
- Keep your workplace clean.
- Get first aid for cuts and grazes and keep them covered.

? What can you wear to protect your skin?

- Do not use abrasives or solvents to clean your skin.
- Do not let synthetic resins or glue harden on your skin.
- Examine your skin for the appearance of warts, especially on the scrotum (if applicable).
- Never wear oil-contaminated clothing next to your skin.

? If you notice rashes or warts what would you do?

Control of Substances Hazardous to Health (COSHH)

Hazardous substances can be used in or created by the construction process. Protect yourself today against the long-term effects of workplace exposure to hazardous materials.

Risk Assessment

- Management must carry out a risk assessment to find out whether:
 - Exposure to a substance can be eliminated.
 - Alternative work method can reduce exposure.
 - A less hazardous substance can be used.
- Any substance with a hazard-warning label has the potential to cause harm; the risk must be assessed before using it.

? Before using a substance, what should be considered?

Hazards

- You could be affected by a hazardous substance by:
 - Ingestion – eating contaminated food.
 - Inhalation – breathing harmful dust or fumes.
 - Absorption – chemicals entering through the skin or cuts.
- Examples of hazardous substances on construction sites:
 - Contaminated ground.
 - Concrete.
 - Cement.
 - Solvent fumes.
 - Hardwood dust.
 - Resins.
 - Epoxy based paints.
 - Welding fumes.
 - Paints.
- Do not mix chemicals or substances.

? Name the three ways a substance can enter your body?

Effects of Some Substances

- Hardwood Dust – Nasal cancer.
- Cement Dust – Dry – lung disease. Wet – burns.
- Solvents, skin contact – Dermatitis. Inhalation – respiratory problems.

? What effects can cement, dry and wet have?

Control Measures


- When using hazardous substances, wear the correct PPE.
- Know how to look after and use PPE correctly.
- Know where washing and first aid facilities are on site.
- Ensure hazardous substances are put back into a secure location after use and not left out on site.
- Store hazardous substances as specified on the COSHH Assessment.
- Dispose of unused materials or empty containers safely.

? Where should substances be put at the end of the shift?

Use of Substances

- Make sure you are trained to use hazardous substances.
- Read and comply with the information of the COSHH Assessment sheet.
- Do not eat, drink or smoke when handling substances.
- Do not expose anyone to fumes, dust, gas or other dangers from hazardous substances due to your work.
- Always wash at the end of each shift and before eating.

? Where can you obtain information about the hazardous substances you are using?

 *Inform workforce of site COSHH procedures.*

GUIDELINE GHS02**LIFTING****1. General**

Lifting shall be undertaken by trained and competent personnel only.

Specific site induction and safety rules (**Form HS04**) should include instruction regarding safe site working operations associated with the tower crane if applicable to site.

A specific Hazard and Risk Assessment review (**Form HS09**) should be carried out with identified hazards relating to an operational tower crane identified and control measures in place.

Lifting Plan shall be prepared for all lifting activities on site – refer to **Form HS15**.

2. Tower Crane

All tower crane erection, commissioning and maintenance should be carried out by a registered/licence (in accordance with any local authorities and laws) and experienced professional industry practitioners. Documented evidence should be obtained confirming the suitability, experience and expertise of the proposed company.

All erection, commissioning and dismantle operations should be thoroughly pre-planned with written submissions made detailing all personal involved with relevant experience and role descriptions, design and loading calculations regarding crane base and fixing supports, erection/dismantle process including lifting methods, transport, unloading etc. The plan should also outline all testing and certification processes for the crane commissioning including a comprehensive list of operating tolerances and items/equipment and operations for testing. This is a complex and thorough process which may required additional professional review, certification and support based on the available skills and expertise within the local context and the assessed risk.

Key personnel including crane supervisor, driver, banksmen and slingers (dogmen) must be nominated and be trained, competent, experienced and where required certified to carry out the required tasks.

An operational and equipment testing program should be established and executed as part of the tower crane maintenance program. Daily, weekly and six monthly inspection schedules are typical and records of such inspections and checklists should be kept.

A suitable radio communication system must be provided to allow for safe communication between the crane drive and banksman (dogman).

An evacuation/rescue plan and procedure should be developed to access personnel working in the crane cab or on the crane jib in the case of an emergency.

3. Mobile Cranes

In addition to the points noted above for the Tower Crane, the following items are for consideration when operating a mobile crane.

- Only trained and or certified operators can operate the mobile crane
- Ensure the planned regular inspections have been carried out.

GUIDELINE GHS02

- Ensure outriggers are used and are on suitable load bearing ground.
- Confirm signals between driver and slinger/dogman.
- Check minimum of 600mm slewing clearance.
- Check for overhead cables, services and structures.
- Ensure load is correctly fixed, balanced and secure.
- Never exceed the SWL
- Slew the load gently to minimise load swing.
- Ensure the vehicle driver is out of the cab before lifting.
- All proposed tandem lifting must be fully planned with a full briefing prior to any operation.
- Never leave a load suspended
- Very few cranes can lift and travel with loads, confirm operation design and ability of machine prior to any operation to carry.

4. Excavator, forklifts and Hiabs

In some instances excavators, forklifts and Hiabs can be used on site for lifting. Following rules shall apply for such lifts:

- A machine operator is responsible for controlling each lift. If something cannot be lifted safely, then shall not be lifted at all.
- Only machines that are designed for lifting and has the proper lifting attachment fitted for securing and lifting the load shall be used.
- Safe Working Load (SWL) capacity of the equipment shall be never exceeded.
- The SWL should be marked in the cab or on the boom. It should also be found in the instruction handbook that is supplied with the machine in the form of lifting or load charts or tables.
- The lifting chart gives information about the lifting capacity of the machine at different distances from the cab (the lifting radius), different height or depths and whether the lift is parallel to the tracks or across the tracks.
- Machines that are permitted to lift shall be clearly marked.
- Ensure load is correctly fixed, balanced and secure.
- Lifts can be only undertaken following communication with the slinger/signaller and on his signal.
- Weight of the load must be established/estimated prior to lifting.
- Lifting shall be only carried out in area clear of people.
- Only properly checked lifting equipment (such as chains, strops and shackles) may be used for lifting.

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- Good lifting practice is to position the machine to carry out the lift most effectively. Where possible, keep the load:
 - between the tracks;
 - reasonably close to the machine (not at full stretch);
 - low to the ground.
- Keep to level ground and avoid side slopes. If lifting takes place on a slope, position the tracks should be up (or down) the slope (and not sideways).
- If lifting includes travel with a load, the load shall be positioned between the tracks, reasonably close to the cab and not too high off the ground. Travel should be slowly and carefully, ensuring the route is clear of obstructions and personnel at all times.
- The lifting operation shall be stopped at any time if events dictate (such as if someone is walking towards or into the lifting area).

Personal Protective Equipment (PPE)

PPE is an essential part of your work equipment. Failure to use it could result in injury or prosecution. You have a duty to wear and look after any PPE issued to you.

Head Protection

- A safety helmet is provided for your protection and must be worn in all working areas of the site.
- Make sure your helmet is properly adjusted to your size; an ill-fitting helmet may not protect you, as it should.
- Check the condition of your helmet on a regular basis; heavily scratched or dented helmets must be replaced. Any helmets over two years old may be weakened and should also be replaced.
- Painting, writing on, applying sticks to, and drilling holes in helmets are prohibited. The only stickers to be applied are those supplied by the company e.g. induction or nameplate stickers.
- In high winds, or when working aloft, always wear a chinstrap.

? What stickers are permitted on helmets?

Safety Footwear

- Safety footwear with steel toe cap and midsole must be worn at all times on site.
- Defective or damaged footwear must be reported to your supervisor.
- When working in wet concrete, wellington boots with a steel toecap and midsole must be worn.

? What must you do if your footwear is damaged or defective?

High Visibility Clothing

- All personnel on site must wear high visibility clothing, vest or similar.
- Make sure your high visibility vest is visible.
- Any high visibility clothing, which has been adversely affected by contamination or natural fading, must be replaced.

? What is the minimum requirement for high visibility clothing?

Gloves

- It has been proven that wearing gloves can prevent or reduce the severity of hand injuries.
- Gloves should be worn on site at all times - there are very few operations where gloves cannot be worn, the exception rather than the rule.
- Gloves are available in various types and sizes to suit most jobs, make sure you have the correct type.
- Carry gloves with you at all times, if you don't have them, you won't use them.

- When gloves become worn or defective replace them.

? What effect can wearing gloves have on injury causation?

Eye Protection

- Eye protection should be worn when required, e.g. using cartridge tools. Abrasive cutting and grinding tools, working with hammers and chisels, etc.
- Scratched or damaged eye protectors must be replaced.

? What is the minimum standard for goggles?

Hearing Protection

- Earplugs and muffs should be used when noise levels are excessive and could be harmful.
- Ear plus must only be inserted as shown on the packaging, ensuring your hands are clean.
- Muffs independent or helmet mounted must be in good condition, seals soft and flexible, no cracking or damage. Ensure they fit properly over the ears.
- When do I need to wear hearing protection? If you have to raise your voice to be heard over a distance of 1 metre, you require hearing protection.
- Noise information on plant and equipment is posted on the notice board; any figure over 80dB(A) is a potential risk.

? How should plugs be inserted?

Respirators

- Respirators are provided in various forms for various risks, the type to be used will be specified in the Risk or COSHH Assessments.
- Make sure any respirator is in good condition, is adjusted for a good seal, taking account of facial hair, glasses, etc. Face fit testing should be carried out to ensure that good seal is achieved (provided on request to safety adviser)
- Damaged or spent respirators must be replaced.

? Where will I find information on respirator types to be worn?

? Inform workforce of any site-specific PPE requirements.

Stacking Materials Safely

Unsafe stacking can lead to serious injury to you, your work mates, or children who may trespass onto site.

General Points on Stacking

- If it is to be manually handled, can the material be handled safely?
- When handling materials always wear safety boots and gloves.
- Stack material in authorised areas only. Never near doorways, access ways, or on fire-escape routes.
- Stack on a level surface and provide packing.
- As a general rule, stacks should be kept lower than three times the minimum base width of the stack.

? Where should materials be stacked?

- Consider the order in which materials will be unloaded.
- If possible, stack close to work area to reduce the amount of handling.
- If material is being lowered by machine, keep hands clear of load.

? What should you consider before loading material in a stack?

Bricks, Blocks and Palletted Material

- Ensure base of stack is level. Only stack two packs high.
- Ensure pack is loaded squarely on to previous one.
- If banding is damaged or materials are displayed in the pack, do not stack other materials on top.
- Leave sufficient space between pallets for safe removal.

? If you see damaged banding what should you not do?

Timber

- Racks are best for small sized timbers.
- Joist and larger timbers should be placed on bearers.
- Try to keep different lengths in separate stacks.

? What should be used when stacking larger timbers?

Large Prefabricated Panels/Shutters


- Stack flat or store securely in designed racks.
- Do not lean against parts of semi-constructed buildings.
- Do not lean against temporary structures/scaffolding.
- Do not store upright where panels can be affected by wind.

? Where and how should panels be stacked?

Pipes and Tubes

- Where pipes are small in diameter, stack in racks.
- If large in diameter, securely chock at the base, or preferably, place end pipes in a shallow trench to prevent rolling.
- Do not stack in pyramids, as they can become unstable.
- Large concrete rings must be laid flat so that they cannot be moved or rolled by any person, especially children.

? How should you secure large diameter pipes?

 *Inform the workforce of any site-specific rules.*

GUIDELINE GHS 03**ELECTRICS**

The main dangers to be prevented from electrical work are the risk of electric shock, fire, burns and explosions. Risk of shock can come from voltages in excess of 50V ac and 120V dc. The electrical current is dangerous, not the applied voltage and even a small shock can prove dangerous if received by a person working at height or operating plant and equipment as any loss of control in these situations could lead to more significant accidents.

Procedures and basic operating principles for safely working with electricity are listed below for consideration when identifying and controlling project specific electrical risk.

- Whenever possible work carried out on electrical equipment, plant and wiring systems should be done with power shut off. Where work has to be carried out on live electrical systems with high voltages then only trained, experienced, competent personal with specific task safety procedures in place should execute the works.
- Local, Government, State or Supply Company electrical supply boards, lines, plant and equipment should not be tampered with. Only the relevant authorised electrical supply authority employees should carry out work in this area.
- To assist in preventing danger, carefully planning the electrical works before it starts is essential. This can be done using a task analysis or method statement and is particularly important when carryout infrequently performed tasks.
- All electrical isolation work should be carried out by an authorised person. This can be complex depending on the specific electrical system and may require numerous isolation actions. Confirmatory voltage detection tests should be carried out on the system to ensure that the system is safe to work on. A “Warning” notice system should be used to ensure the electrical system is not reactivated by other parties while being worked on.
- Voltage detection testing needs to be performed in a safe manner. Make sure there is adequate space, sufficient lighting, secure footing for the worker, the space is clear of explosive gases or vapours, no signs of overheating or fault of the lines and equipment. The use of “homemade” testing equipment (i.e. lamps and neon testers) is forbidden. Testing equipment should be regularly checked.
- All electrical equipment, tools, appliances, boards and leads require regular testing and inspection. An inspection and testing schedule should be compiled for the specific project, recording inspection dates and findings.

As a guide, generally portable hand held tools, extension leads, lighting and RCD's should be checked by the user daily and formally inspected and tested every 1 to 3 months. Electrical distribution systems, installed plant and equipment, fixed lighting, lifts, hoists and the alike should be checked before first use, then by the user weekly and formally inspected and tested every 3 months.

- Working with Overhead Electrical Services

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- Prior to any site occupation, all overhead electrical services should be identified in conjunction with the Services Authority and an assessment made regarding interface/impact of the services on the proposed project works.
- Treat all overhead cables as live.
- Consider diverting or isolating overhead services adjacent to the work area (work to be carried out by the Services Authority). No work, office, storage or fabrication areas should be located beneath or adjacent to overhead electrical services or within the vicinity of temporary works like scaffold and carnage.
- Existing overhead lines may require protection and regular inspection throughout the duration of the works on site. Electrical poles may have an earth mat below which may carry current. Never disturb or damage the earth mats.
- Underground Electrical Services
 - Prior to any site occupation, all underground electrical services should be identified and marked in conjunction with the Services Authority.
 - Permit system must be in place for excavation and digging works to ensure all precautions are taken to ensure safe works.
 - When digging assume all cables are live and if available use cable locators.
 - Make sure exposed cables are protected and supported to protect from damage.
 - When backfilling, ensure that marker tape or tiles are used to identify the cable location
- Temporary electrical installations should be designed, installed, commissioned, tested, maintained and decommissioned by competent persons. All systems will include appropriate earthing and protection.
- Fire can result from the overloading, arcing or faulty conditions of electrical plant, equipment and material. Non conducting carbon dioxide or dry powder fire extinguishers should be provided at suitable locations.

GUIDELINE GHS12**SITE ESTABLISHMENT****Preparation works**

Prior to work commencement on site, a survey of the site and site surroundings incl. condition of the existing access roads shall be carried out. The survey should be documented with the photography records.

It is recommended that, before work starts, any parties who will be affected by the works are notified of intention to commence work.

Particular attention shall be given to the landowners, where work has a potential to interface with the livestock. Appropriate measures shall be put in place to separate livestock from construction site and site facilities.

Protection to existing structures, materials and items

Any structures which cannot be removed for the duration of the works and which may be affected by the works i.e. buildings, trees, overhead cables must be protected to avoid accidental damage.

Any items or materials which may be re-used on the site, or which may be contaminated or damaged as a consequence of the works, should be removed and stored in a safe area, so that it may be replaced upon completion of the works.

Site boundaries

The site boundaries shall be established. They shall be clearly marked and preferably fenced off to prevent unauthorised access and minimise potential for theft and vandalism.

Fencing with lockable gates shall be provided if possible. Additionally, provision of the security guards can be considered.

Site boundary and fence shall be properly maintained and regularly checked throughout duration of the project. Any damage to the fence shall be fixed as soon as possible.

Information board

Access to site shall be clearly marked and information board shall be displayed at the site entry. The board should contain information regarding project and safety rules on site. The sign shall be made of a durable material and maintained in good condition throughout project life. Any damage to the sign that makes the information posted on it unreadable shall be promptly repaired.





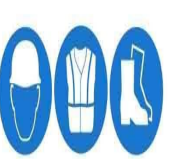


The information board shall be a minimum of 1.2mx1.5m or size that allows for easy reading of the posted information. It should be securely fastened and prevented from fall.

All descriptions shall be made in two languages: English and local language.

Depending on the local conditions and regulatory requirements, additional information may be required to be displayed on the notice board. Required information should be therefore incorporated for compliance purpose.

Following format is recommended to be used:

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Project Name:					
Project Duration:					
Funded by:		Partner:		Implemented by:	
[name and logo of the Donor if available]		[name and logo of the Beneficiary, if available]		 Operational excellence for results that matter	
					
WARNING Construction Site	No unauthorised access	Safety helmet must be worn	High visibility clothing must be worn	Protective footwear must be worn	All visitors must report to the office
[in local language]	[in local language]	[in local language]	[in local language]	[in local language]	[in local language]

Site clearance

The site clearance shall prepare site for the construction activities. Depending on the scope of work defined in the contract, it may involve:

- demolition of the existing structures,
- removal of waste and vegetation,
- stripping the surface layer of soil (topsoil).

Any areas identified as areas of environmental, archaeological or cultural protection shall be fenced off or protected in accordance with the recommendations of the Environmental Management Plan.

Trees removal (only if necessary) shall be undertaken in accordance with the agreements with the relevant authorities, and loss of vegetation must be compensated by final landscaping design i.e. trees' planting.

If topsoil or other excavated material are stored on site, it should be stored in way that minimises the dust nuisance (stockpiles covered or sprinkled with water) and prevents washing out of stored material and siltation of the adjacent area (particularly roads and water bodies).

As much as possible, site clearance shall be limited to the area needed for construction and site facilities, to minimise ground erosion. If that is not possible, erosion control measures shall be implemented – refer to **Guideline GEM 01** – Generic Register of Environmental Impacts.

Site planning

Following elements should be considered and included in the site planning:

- Office accommodation
- Welfare facilities – refer to **Guideline HS13** for details
- First aid – provision of the first aid facilities in accordance with the national laws and regulations, as a minimum first aid kits and boxes should contain individually wrapped sterile plasters (assorted sizes), sterile eye pads; triangular bandages, preferably sterile; safety

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pins; large and medium sterile, unmedicated wound dressings; disposable gloves, eye wash.

- Fire prevention measures - refer to **Guideline HS05** for details
- Appropriate access and traffic routes that as much as possible segregate vehicles and pedestrian traffic, preferably traffic management plan should be developed that will show traffic routes, pedestrian routes, loading and unloading areas, turning points, carparks, refuelling point. Appropriate warning signage should be provided for the site and maintained throughout project duration.
- Storage for materials, tools, plant, waste etc. incl.
- Where possible and reasonably practicable connection to the services such as water, sewer, electricity shall be made, if not temporary supplies can be provided utilising generators, bowsers, mobile phones etc. Connection to the relevant services shall be agreed with relevant authorities, so that it does not have detrimental impact on the adjacent community.

Any connections shall be clearly marked for ease of identification and access.

Site accommodation (office, welfare facilities) shall be regularly cleaned and maintained throughout project duration.

Storage

Appropriate storage shall be provided for all materials, tools and plant.

All materials delivered to site shall be stored in secure location and prevented from damage. The materials shall not be stored in areas prone to flooding.

Any hazardous materials (incl. fuel, oil and chemical) shall be kept in the location that will prevent unnecessary exposure to staff and public (as much as possible away from neighbourhood houses) and minimise risk of contamination i.e. in one place, if possible away from watercourses, drainage, on impermeable surface, in bunded area or on trays. It is recommended that distance from the houses and human houses should be 50m.

It is recommended to store small amount of the materials that may contaminate ground or water.

Positioning of the equipment and equipment parking should consider potential nuisance: dust, noise, to the staff and neighbourhood.

Servicing of the plant, equipment and vehicles shall, whenever possible, be carried out at a designated area, which is constructed in a way to allow for containment any spillages.

Generator

If generators are used on site to produce energy, where possible they should be set up on an impermeable surface (hard standing, drip tray) away from drains and watercourse. If the generator has built-in bund, ensure that the bund does not contain holes drilled in.

Where generator is supplied from external fuel tank, hoses and couplings shall be protected from damage. The generator and connections shall be regularly checked and properly maintained. It will make generator to operate more efficiently and can reduce level of the noise and emissions.

It is recommended to use generators that pull fuel in from the external tank rather than fuel is being pumped into the generator. This will stop the flow of fuel if the generator breaks down.

Site notice board

It is important that the critical information related to the site operation and health and safety is visible. Each site shall display as a minimum the following information:

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- Site plan, including emergency arrangements,
- Emergency contacts,
- Site rules,
- H&S and environmental alerts,
- Notes of the safety and environmental Task Force meetings,
- Permits applicable to the work undertaken.

Following layout may be used:

Project Name:			
Information about Donor/ Beneficiary Contractor Key personnel	Site Plan incl. emergency arrangements, traffic routes etc.		Emergency Contacts
Site Rules			
H&S, Env alerts	Notes of the Task Force meetings	Permits for the day	

Depending on the local regulations and other requirements, additional information such as insurance certificates, relevant policies may be required to be displayed. Such information should be also included in the information notice board.

Site Reinstatement

Unless the contract specification states otherwise, the site should be reinstated to its original condition. The area should be left in a condition that will facilitate vegetation growth and provide for a proper surface drainage and prevent erosion.

Site accommodation (offices, welfare facilities) shall be dismantled and removed from site.

Any damage arisen as a consequence of the works shall be repaired.

If ground has been contaminated, it shall be removed from site into the authorised disposal facility if possible. Removed material shall be replaced with uncontaminated materials.

Any services connected to site shall be disconnected, relevant authorities shall be notified.

A temporary fencing shall be removed and properly disposed, provided that is not required to be left in place by the contract. All post holes must be filled in. All warning and information signs shall be also removed from site.

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Prior to leaving the site adjacent roads and footpaths that may have been affected by the construction shall be checked for cleanliness and fitness for use. If possible, photos shall be taken to document their condition.

General Site Rules

Introduction

- No-one is permitted to carry out work on this site, or enter the site before being inducted and briefed on the H&S Site Rules by the appointed UNOPS site representative.
- The H&S Site Rules apply to all personnel employed on site to carry out work; this will include but not be exclusive to: UNOPS' Staff, Contractor's Personnel, Subcontractors, Suppliers and Visitors.
- In addition to the H&S Site Rules, Contractor and Subcontractor Managers are responsible for briefing their own workforce in their own Risk Assessments and Method Statements regarding Health and Safety for their works. Records of these briefings must be kept and made available on site at all times for inspection by the UNOPS representative.
- The UNOPS H&S Sites Rules are there to reinforce good practice in Construction Safety, they do not substitute nor dissolve any individual or Employer of their obligation or responsibility under the relevant laws of governance in the place of the work. Neither do they replace any obligations Contractors are subject to in the relevant Conditions of Contract for the project.

Project Description

- For project description including Donor, Beneficiary and project team details, refer to the Project Implementation Plan.
- For the project emergency arrangements – refer to the project establishment/emergency plan, project emergency/evacuation procedures (**Form HS02**) and site emergency contact (**Form HS03**).

Health and Safety

1. Purpose

- 1.1. The purpose of this briefing and the issuing of H&S Site Rules is to help prevent accidents, improve health and safety in the work place through standard procedures, awareness and education, and actively seek reporting of accidents and near misses to improve future practice and behavior to improve health and safety.

2. Employees Responsibilities

- 2.1. Under general Health and Safety at Work practices, your responsibilities are to:
 - Take reasonable care for the health and safety of yourself and others who may be affected by your acts or omissions at work.
 - Co-operate with your employer and UNOPS Site Management, as far as may be necessary, to enable them to carry out their duties in regard to health and safety matters relating to these rules.

- Not intentionally or recklessly interfere with anything provided for the health, safety and welfare of yourself and others.

3. General

- 3.1. Private vehicles may only be parked on the site by agreement with the UNOPS Site Representative. It is preferable that all vehicles entering site have a flashing amber beacon for increased visibility.
- 3.2. The site speed limit has been set at 10 Kph. Appropriate signage shall be erected on site for information.
- 3.3. The following articles are prohibited and must not be brought to site:
 - Alcohol
 - Non-prescribed drugs
 - Animal/Pets
 - Children
 - Radios/I-Pods and the alike
- 3.4. Anyone who has a medical condition that may give rise to difficulties for themselves or others on site should report the matter in confidence to UNOPS staff. Examples would be: heart condition, vertigo, asthma, epilepsy etc.
- 3.5. All visitors must be directed to the UNOPS site office prior to entry to site.
- 3.6. Anyone who acts in an aggressive or offensive manner towards a member of the public or anyone else will be excluded from the site.
- 3.7. Alcohol and Drugs – UNOPS has a policy of zero tolerance in respect of any person carrying out duties or work on this site having consumed drugs or alcohol.

Random screening for alcohol and drugs may be carried out and specific testing may be undertaken on reasonable suspicion or following a work related accident or incident.

- 3.8. Mobile phones must not be used whilst driving or operating plant, personnel on foot must ensure that they are in a safe area before taking or making calls, any calls made or received on a mobile phone should be essential calls only, social calls should be made outside the working site and out with working hours.

4. Personal Protective Equipment

- 4.1. High visibility jacket/vests, safety helmets and safety footwear (incorporating steel toe-caps and mid-sole) must be worn at all times.
- 4.2. Other P.P.E. must be worn during operations with specific health and safety risks, e.g.
 - Safety goggles for protection during all cutting, grinding and drilling operations or where there is risk from impact, dust, chemicals or hot metal.

- Dust masks for protection from dust.
 - Ear protection during all operations which produce noise above the level at which you need to raise your voice to be heard.
 - Gloves during concreting work.
- 4.3. Stocks of all necessary PPE should be held on site and be made available by your Employer. It is your Employer's responsibility to provide you with the relevant PPE for your task.

5. Reporting Of Accidents, Incidents And Near Misses

- 5.1. All accidents must be recorded in the Accident Book, which is held by the UNOPS staff.
- 5.2. UNOPS staff must immediately be informed of "near misses" or any unsafe conditions, including tools, plant and equipment.
- 5.3. Hazard/Near Miss Reports should be completed on site to record any concerns you may have with any aspect of site operations. UNOPS staff will assist with this task. Serious or imminent risks should be brought to the attention of a supervisor immediately.

6. Plant

- 6.1. Vehicles with restricted rear view vision must have a trained and authorized plant and vehicle banksman in attendance when reversing.
- 6.2. Items of plant such as dumpers, rollers, aerial platforms etc, must only be operated by persons who are trained and competent.
- 6.3. Under health and safety at work practices, there is a general requirement to be trained to use or carry out adjustments to most power tools e.g. wood working machinery, cartridge tools, cut off saws etc, such operations are required to be authorized by the appropriate site management.
- 6.4. Plant and vehicle operators must not carry passengers unless the vehicle is specifically designed for that purpose with fixed seating and seatbelts. Other personnel must not request a lift, nor travel as a passenger on a site vehicle unless it is designed for that purpose. Failure to comply with these instructions will render all individuals involved liable to disciplinary action and removal from site.
- 6.5. All site personnel are requested to follow designated pedestrian routes. Do not walk in the vicinity of mobile plant unless this is directly relevant to the task you have been instructed to carry out, e.g. banksman.
- 6.6. Plant and vehicle operators must produce a copy of their Driving License (including the endorsements page) prior to driving a vehicle on site.
- 6.7. Towing of plant and equipment on site must not take place unless the plant or vehicle has been fitted for this purpose. Towing arrangements must be assessed; manufacturers towing information must have been briefed to personnel and site management have approved it.

7. Confined Space Work

- 7.1. Do not, under any circumstances enter a confined space unless you have been trained, you have all of the necessary equipment, and you have been directly instructed by qualified supervision.

“A Confined Space is an area of work where there is an access/ egress problem or a lack of natural atmosphere, typically includes: manholes, chambers, tanks and pump wells.”

8. Scaffold/ False work

- 8.1. Do not take access to newly erected or altered scaffolding unless instructed to do so after inspection and approval by the UNOPS Site Representative.
- 8.2. All scaffolding and ladders on site shall be clearly marked using scaff tags to indicate whether scaffolding can be accessed or not.
- 8.3. All scaffolds and ladders must be in good condition and be regularly checked.
- 8.4. All access scaffolds for placing concrete or other works at height require a suitable edge protection to prevent personnel, materials, plant and equipment from falling.
- 8.5. Climbing on the scaffolding is strictly forbidden.
- 8.6. All ladders must be placed at the correct angle of 1:4, fixed at the top and secured at the bottom.
- 8.7. Do not alter, or interfere with scaffold in any way unless you are trained to do so and are authorized to do so from your Supervisor.

9. Excavation Work

- 9.1. Do not carry out any excavation work, by hand or machine, until you have been instructed to do so.
- 9.2. Do not carry out any excavation work until you have been told by UNOPS staff that all underground services in the area have been located, exposed and protected.

If you encounter any unmarked services stop work and contact UNOPS site staff immediately.

- 9.3. All underground services exposed in an excavation, including in trial pits, must immediately be protected as instructed by UNOPS staff.

10. Hazardous Substances (COSHH- Control of Substances Hazardous to Health)

- 10.1. A site file is maintained in the UNOPS Site Offices of Contractors COSHH Assessments, it is essential that proper procedures, as laid down by the manufacturers, are used when handling their materials.
- 10.2. You must be briefed by your Supervisor on the risks from the material and be issued with all necessary PPE required.
- 10.3. If you are in any doubt seek the advice of your Supervisor.

11. Electrical Equipment

- 11.1. All electrical equipment to be used on this site should be presented to UNOPS site staff for inspection prior to use. All guards should be fitted and be in good working order. All cables should be correctly housed with all cores protected by insulation.

12. Material Handling

- 12.1. Do not sling loads unless you are having received proper training as a Slinger/Signaller and are authorized by the UNOPS Site Staff.
- 12.2. Do not manually handle loads in excess of what you can safely and comfortably handle.
- 12.3. If there is a requirement to lift a load greater than what you can safely and comfortably handle then consult with your Supervisor to ensure that the necessary assistance is available.
- 12.4. Do not use any item of lifting equipment unless UNOPS Site Staff has confirmed that it is properly certified and satisfactory for the task in hand. The use of “unauthorized” slings, chains, shackles etc., is strictly forbidden.

13. Setting Out

- 13.1. If kerb pins or setting out pins are to be driven into the ground ensure that the area has first been checked to ensure there is no risk of striking any underground services, most especially electrical cables.
- 13.2. Steel pins driven into the ground for any purpose must be protected to remove the hazard of personnel falling onto them and being spiked, this practice of driving steel pins into the ground must be approved by UNOPS Site Staff prior to action.

14. Welfare Facilities

- 14.1. Canteens, toilets and drying rooms are provided by your Employer for your welfare and comfort. Anyone found defacing or abusing these facilities will be liable to be removed from site.
- 14.2. Care should be taken to ensure that heating appliances are used safely. Items of clothing must not be hung directly above heaters.
- 14.3. Smoking is not permitted within any construction buildings on site, in the working vehicles and nearby material (particularly flammable) storage.
- 14.4. Eating and drinking is expressly forbidden in all areas, other than those designated welfare facilities.

15. Housekeeping

- 15.1. Your workplace must be kept tidy during and after work. Rubbish must be placed in the bins or skips provided and not discarded on the site.
- 15.2. Site fencing and pedestrian fencing must remain in place. If there is a requirement to open it for access purposes then ensure it is immediately reinstated.

- 15.3. Ensure that openings such as manholes and gully pots are securely covered at all times. If the cover must be removed temporarily, then physical barriers must be provided around the opening.

16. Further Briefings And Instructions

- 16.1. There are detailed Risk Assessments, Works Procedures and/or Method Statements for all of the operations involved in this project. Your Employer and Supervisor must give you any necessary briefings and instructions for the operations you take part in prior to a work activity commencing.

17. Access to Site

- 17.1. No contractor, subcontractor, visitor or any other individual must commence works without notifying the UNOPS site staff that they are on site and ready to start work. All personnel must be inducted, signed in and receive this briefing, failure to follow this procedure will render the individual to be removed from site.

18. Emergency Arrangements

- 18.1. The Site Emergency and Evacuation Information (**Form HS03**) gives details of the locations of key equipment and telephone numbers for the organizations to be contacted in the event of an emergency. **The form** also gives clear instruction regarding required response during an emergency and evacuation; please make yourself familiar with its contents. Copies are posted on the site notice board.

19. First Aid

- 19.1. The First Aiders on this site are identified in the **Form HS03**.

20. Permits

- 20.1. On this site, formal permits must be in place before any of the following operations may be carried out: Permit to Excavate, Hot Work Permit & Confined Spaces Permit. Permits will be issued by UNOPS staff.

21. Workforce Consultation

- 21.1. This site operates an “Open door” policy which actively encourages employees to raise concerns they may have regarding health, safety or welfare with the site management. Anyone raising such a concern shall receive a fair hearing and be spoken to in a civilized and reasonable manner. Safety issues can be raised with the site team verbally and in writing.

Environmental

- I. Prevent oil/petrol leaks into the ground - Drip trays to be placed under static plants.

- II. All barrels to be stored in areas provided - No barrels or containers containing oil, fuel or chemicals to be left on site unattended.
- III. Only nominated and trained personnel shall carry out fuelling operations.
- IV. Minimise emissions - switch off all plant when not in use.
- V. Segregate waste; ensure that they are stored in designated place.
- VI. Disposal of waste material by burning on site is **not** permitted, unless permit is obtained from HSE Manager.
- VII. Discharge of untreated sewage (including silted water) to the water bodies is not permitted.
- VIII. In the event of a spill or other environmental incident or complaint, report it to site supervisor and UNOPS representative.
- IX. Do not carry out any work outside the site boundaries.

Quality

It is essential that work is carried out in line with the contract requirements and the UNOPS systems. Therefore please follow instructions and if work appears to be carried out incorrectly, please inform your supervisor before you go too far and it is covered up. ***If in doubt please ask!***

FINALLY

If, at any time, you are unsure of the way in which a task should be carried out, or of the safety precautions to be taken, then you should IMMEDIATELY stop work and seek guidance from UNOPS staff.

Site Induction Register

Project Title	
Site	

Induction No.	Employee Name	Employee Signature	Employer	Date Inducted	Inducted By

Visitor Induction Register

Project Title	Remedial Works for LFS (Life & Fire Safety) in Regional Hospitals in Kosovo EPP-RFQ Case No.: 22638-RFQ-031
Site	General Hospital in Vushtrri

Date	Visitor Name	Signature	Organisation	Time In	Time Out	Briefing By/ Supervising Visit (UNOPS staff)

Weekly inspection of small tools

Project Title		Site	
---------------	--	------	--

Tool ID Number	Description

Guidance

- Weekly inspections shall be carried out and report completed.
- The report should be kept on site until the project is complete.

- Any tool that is found to be defective shall not be used, then fixed or removed from site.

Project Title		Site	
---------------	--	------	--

Date of inspection	Results of inspection										Signature person who made inspection
	Tool number										

Scaffold inspection checklist

Project Title		Site	
Scaffold ID number and location			
Inspection date			

FOOTINGS		BRACING		PLATFORMS	
Soft and uneven		Façade and ledger		Bad boards	
No base plates		Some missing		Trap boards	
No sole boards		Loose		Incomplete boarding	
Undermined		Wrong fittings		Insufficient supports	
SATISFACTORY		SATISFACTORY		SATISFACTORY	
STANDARDS		COUPLINGS		GUARD RAIL & TOE BOARDS	
Not plumb		Wrong fittings		Wrong height	
Joined at same height		Loose		Some missing	
Wrong spacing		Damaged		Loose	
Damaged		No check couplers		Damaged	
SATISFACTORY		SATISFACTORY		SATISFACTORY	
LEDGERS		TIES		LADDERS	
Not level		Some missing		Insufficient length	
Joined in same bays		Loose		Not tied	
Loose		Damaged		Damaged	
Damaged		Other		Other	
SATISFACTORY		SATISFACTORY		SATISFACTORY	

Other comments	Action required/Responsible	Action Completed

Name of Person carrying inspection		Signature	
---------------------------------------	--	-----------	--

Weekly inspection of lifting devices

Project Title		Site	
---------------	--	------	--

ID Number	Description

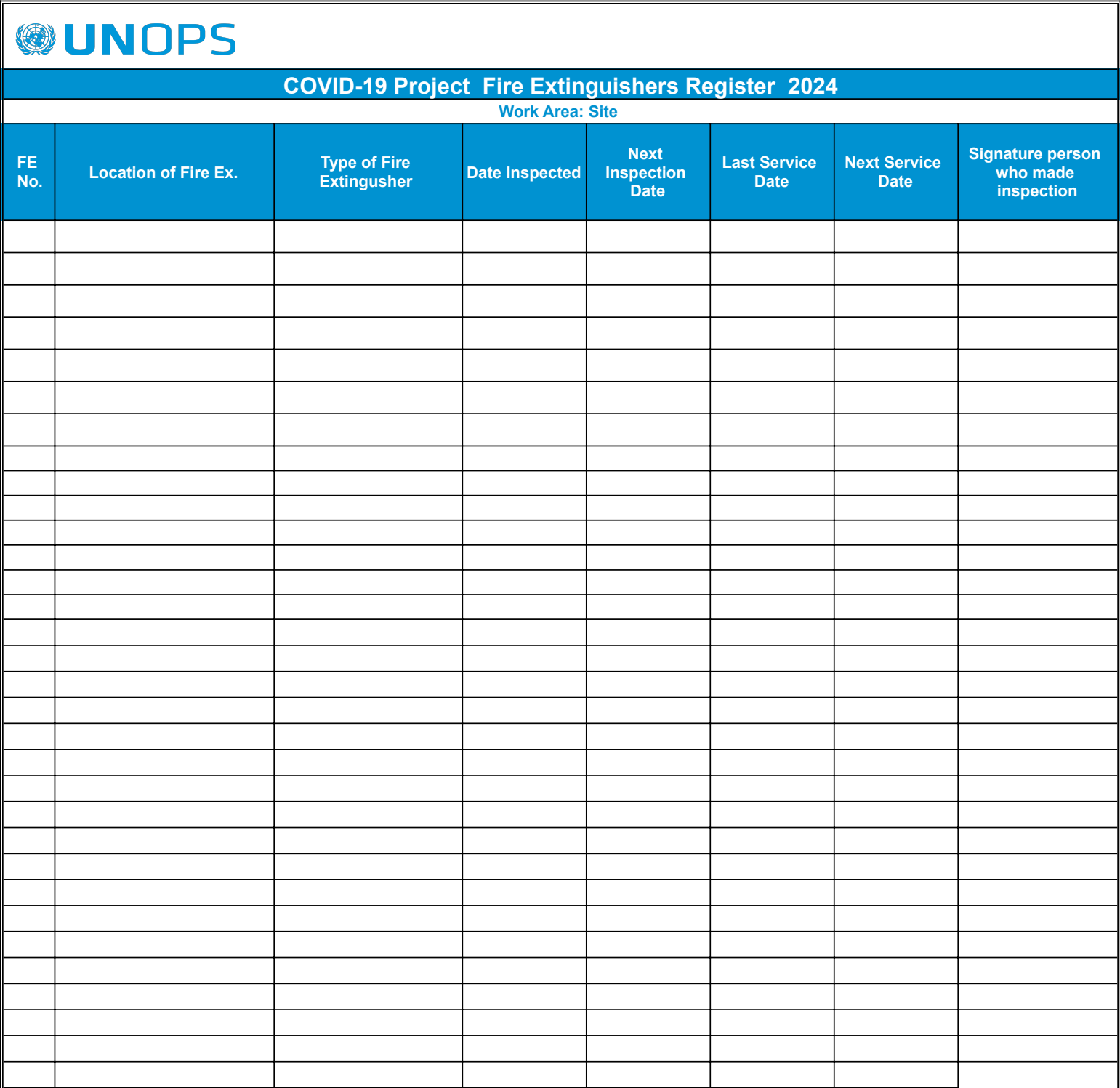
Guidance

- Weekly inspections shall be carried out and report completed.

- The report should be kept on site until the project is complete.
- Any tool that is found to be defective shall not be used, then fixed or removed from site.

Project Title		Site	
---------------	--	------	--

Date of inspection	Results of inspection										Signature person who made inspection
	ID number										



Project Title		Site		Date	
---------------	--	------	--	------	--

Weekly inspection of ladders/trestles

Ladder ID Number	Description – ladder: length or number of rungs, scaffold - location

Guidance

- Weekly inspections shall be carried out and report completed.
- The report should be kept on site until the project is complete.
- All ladders/trestles should be individually tagged.
- Ladders/Trestles must be in good condition and correctly stored - check for splits or cracks in the stiles and rungs. Ensure that none of the rungs are missing or loose.

- Ladders shall not be painted - paint can hide damaged parts.
- Any defected ladders / trestles should be removed from site immediately.

Date of inspection	Results of inspection										Signature person who made inspection
	Ladder/scaffold number										

INSPECTION OF HARNESS-LANYARD

Project Title	
Site Location	
UNOPS Project H&S Manager/Coordinator	
Date	

Serial / ID number	Item Description (Harness/Lanyard/Inertia Reel must be listed separately)	Date of Last 3 Month Thorough Examination	Date of Inspection	Results of Inspection	Signature of Person who Made the inspection



Health, safety, social and environmental (HSSE) training matrix

Form HSE18 | HSSE training matrix | HSSE Management System

Name of Office:

Year:

Instructions:

Step 1: Under "Personnel information", indicate the name, title, and organization of any training participants.

Step 2: Under "HSSE training":

a. indicate the name of any mandatory, planned, and implemented health, safety, social and environmental training - both online and face-to-face, and for both offices and projects.


b. indicate the date that the training was taken by the relevant personnel.


Personnel information				HSSE training							
#	Name	Title	Organization	[Name of training 1]	[Name of training 2]	[Name of training 3]	[Name of training 4]	[Name of training 5]	[Name of training 6]	[Name of training 7]	[Name of training 8]
1											
2											
3											
4											
5											
6											
7											
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Project Emergency Contact Numbers

Project Title			
Project Location			
Contractor			
Date of issue		Revision	

Service	Telephone Number	Name/Details/Address
UNOPS representative		
Contractor Contact		
Site First Aid givers		
Nearest Doctor		
Nearest Medical Clinic /Hospital		
Ambulance Service		
Nearest Fire Service		
Nearest Police Service		
Services Providers Electricity Water Service Gas Service		
Other		



**UNOPS**

Health, Safety, Social & Environmental Inspections
QUARTERLY REPORT - project
© UNOPS 2018, v 1.0

Project office

Project name & oU number

Reporting period

to

SIGNIFICANT OCCURRENCES IN THE REPORTING PERIOD:

Class 1 incidents

Class 2 incidents

HS Toolbox talks held





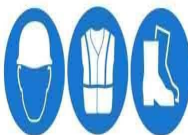


SE Toolbox talks held


Other

of OBSERVATIONS IN THE REPORTING PERIOD - PER CATEGORY

1. General site layout and welfare	2. Emergency arrangements	3. Work at height	4. Equipment/portable tools	5. Excavations	6. PPE	7. Underground / overhead services	8. Hazardous chemicals	9. Traffic management	10. Risk assessment	11. Lifting appliances	12. Waste management	13. Fuel / oil / chemical storage	14. Drainage, dewatering, spill control	15. Ecology, archeology and heritage	16. Dust and mud	17. Odour and air emissions	18. Noise and vibration	19. Labour relations, community interface

Add a series to start visualizing your data

Project Name:					
Project Duration:					
Funded by:		Partner:		Implemented by:	
				 <small>Operational excellence for results that matter</small>	
					
WARNING Construction Site	No unauthorised access	Safety helmet must be worn	High visibility clothing must be worn	Protective footwear must be worn	All visitors must report to the office

Project Name:		
Donor  Beneficiary	Site Plan incl. emergency arrangements, traffic routes etc.	Emergency Contacts

Contractor

Site Rules

H&S, Env alerts

Notes of the Task Force
meetings

Permits for the day

Visitors Induction Briefing

Project Title			
Contractor			
Date of issue		Revision	

- The purpose of this briefing is to help prevent accidents and keep your visit as safe as possible. Construction sites are inherently dangerous environments presenting potentially hazardous conditions and situations which change regularly. UNOPS works diligently to maintain a safe workplace, but ultimately you must be responsible for your own personal safety while on site.
- No Visitor is permitted to carry out any physical work on the site.
- All Visitors must be accompanied on site by a person who has been fully inducted under the UNOPS Health and Safety Induction and Site Safety Rules procedure.
- All Visitors must wear a hard hat, reflective safety vest and closed toe sturdy shoes while on site. UNOPS will provide hard hats and reflective safety vests for the Visitors. Visitors may wear their own protective equipment provided it is inspected and approved by the UNOPS representative.
- No persons under the influence of alcohol or drugs, or appearing to be impaired will be allowed onto the construction site.
- Smoking is not permitted on the construction site as it presents a health and fire hazard. Smoking is permitted in designated areas only.
- Use of mobile phones is limited to site office area only.
- There may be tools, materials, cables, or other tripping hazards on the floor. There may also be open pits, steps in the floor level, suspended walkways and other fall hazards. Please watch where you step to avoid a fall.
- There may be workers operating directly above you as well have scaffolding, formwork or other equipment and materials at head height. Please beware of overhead obstructions and always observe the activities being carried out above you.
- Vehicles and heavy equipment may be operating on the site. Please remain outside the operating envelope of heavy equipment at all times. Do not stand or walk under any load being lifted by a crane. Do not stand behind operating vehicles, remember, if you can't see the vehicle operator, then they can't see you.
- List and identify the significant current Site Hazards requiring the attention of the Visitor: [.....]
- Outline the project Site Emergency and Evacuation procedures as detailed on Form H&S02.

- All Visitors must follow the instructions and directions regarding issues of Health and Safety of the appointed visit supervisor.

Incident Report Form

Project/Office			
Report date			
Reported by		Title/role	

I. DETAILS OF THE INCIDENT

Incident date	
Incident time	
Incident place	

Incidents are classified into two classes, as below. You can select either Class 1 or Class 2, not both. Select the Class that better describes the type of incident. You can select multiple sub-categories under each class.

Incident class	Category 1	Category 2	Category 3	Category 4	Category 5
Class 1					
Class 2					

II. IDENTIFICATION OF TYPE OF INCIDENT AND IMMEDIATE CAUSES

1) Select the type of the incident from the list below. An incident can be classified at the same time as H&S/environmental/social.

Type of Incident - H&S		Type of Incident - Social
Moving Machinery/vehicles at project site	Dust, Fumes, Vapours	Misuse of UNOPS property
Fall from height	Noise	Damage to Cultural Heritage
Powered Hand tools	Temperature or heat	Occurrence of infringement of labour rights
Hand Tools	Overexertion	Occurrence of infringement of human rights
Animals or insects	Structural Failure	Stakeholder/community complaint
Fire or Explosion at project site	Chemical/biological	Strike, demonstration
Trips & smaller falls	Stress	Other (please specify)
Drowning	Other (please specify)	
Borrow-pit Management		

Type of Incident - Environmental	
Chemical/Oil Spill	Damage to ecosystems (e.g. damage to flora/fauna)
Improper Disposal Waste	Odour air Emissions
Disasters (Earthquake, Flood, etc)	Dust, Fumes, Vapours, Air pollution
Water Pollution/ Sedimentation	Other (please specify)

* note that incidents related to terrorism, civil unrest, armed conflict and crime; as well as fire, aviation safety and road transport, are under the jurisdiction of other reporting mechanisms.

the responsibility of the UN Security Management System, and should be reported to UN Security using the security incident form. Incidents at contractor operated project sites should be reported through this incident report form.

2) For each type of incident, select the relevant descriptor(s) from the list. You can select up to 5 descriptors for each type of incident. If a descriptor is not listed below, please type in short descriptor in "Other". Add more rows as necessary.

Incident type	Descriptor 1	Descriptor 2	Descriptor 3	Descriptor 4	Descriptor 5	Other
H&S						<i>Please type in short descriptor here</i>
Environmental						<i>Please type in short descriptor here</i>

Provide description of the immediate causes of the incident:

III. DESCRIPTION OF THE INCIDENT

Record all facts prior to and including the incident, if it was a planned activity, describe/list material, ecosystem and property damaged, etc:

IV. ROOT CAUSE ANALYSIS

Select the root cause(s) of the incident from the list below. If "Other" please specify.

Root causes	Yes	No
Improper Planning		
Poor Maintenance		
Poor Supervision		
Poor Quality of Equipment		
No rules, standards, or procedure		
Lack of knowledge or skills		
Improper motivation or attitude		

Failure to comply with rules		
Other		

Incident Review Report

Project/Office			
Review completed on		Reference to incident report	
Incident reviewer/ review team members	<div style="color: red; font-size: small;">[For Class 1 incidents, include names of members of the review team and indicate the lead reviewer.]</div>		

I. DETAILS OF THE INCIDENT

Incident classification	Class 1	<input type="checkbox"/> Fatal <input type="checkbox"/> Lost time <input type="checkbox"/> Major Environmental <input type="checkbox"/> Major Property Damage <input type="checkbox"/> Reportable Social	
	Class 2	<input type="checkbox"/> Minor Environmental <input type="checkbox"/> Minor Injury/Illness <input type="checkbox"/> Minor Property Damage <input type="checkbox"/> Near miss	
Incident Date		Incident Time (Approx.)	
Incident Place			
Description/What Happened <small>(Record all facts prior to and including the incident that can help clarifying its dynamics and its causes)</small>			
Photos attached	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Witness (if any), name and contact details			
Witness Statement attached	<input type="checkbox"/> Yes <input type="checkbox"/> No		

II. DETAILS OF HARMED PERSON(s) (Only for Health & Safety Incidents. For other type of incident, proceed to Step III.)

Name		Age	
Address/Contact details			
Occupation		Employer	
Status	<input type="checkbox"/> Contractor Employee <input type="checkbox"/> Subcontractor employee <input type="checkbox"/> Visitor <input type="checkbox"/> UNOPS Employee <input type="checkbox"/> Public <input type="checkbox"/> Other		
Date injury reported		To Whom Reported	
Did person return to work the same day?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Treatment of injury	<input type="checkbox"/> None <input type="checkbox"/> On Site First Aid only <input type="checkbox"/> Doctor <input type="checkbox"/> Hospitalised		
Details of treatment			
Were any emergency services in attendance?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Details of emergency services if in attendance			
Injury Details Injury type: (e.g. cuts/abrasions, bruising, sprain/strain, fracture, dislocation, unconsciousness, other) Body part:			
Date of return to work			

III. OUTCOME OF INVESTIGATION

Immediate cause What unsafe/inappropriate acts or conditions caused the event? Note contributing factors that have made the incident worse (e.g. incorrect use of ladder, lack of PPE, absence of drip trays/containment)	
Secondary cause What human, organisational or job factors contributed/caused the event (e.g. poor housekeeping, poor planning, incorrect work method, lack of supervision/training, improper attitude, lack of hazard control etc.)? Also review the adequacy of risk assessments.	
Lessons learned	
Preventative actions What recommended actions are needed to address and prevent the recurrence of similar incidents (eg. training of personnel, improve hazard/ impact identification, improve hazard/impact control, increase supervision, improve risk/impact assessment, discussion during HSSE meeting, etc.)?	
Preventative action(s) to be carried out by (Name of responsible person and target completion date)	
Close out (Agreed actions have been completed and situation now is satisfactory)	<i>[Before closing out, ensure that the preventative action has been implemented for a reasonable period of time and it is showing to be effective.]</i>

Signature of lead reviewer		Date	
----------------------------	--	------	--

Incident Highlight Report

Incident Classification	Class 1	<input type="checkbox"/> Fatal <input type="checkbox"/> Lost time <input type="checkbox"/> Major Environmental <input type="checkbox"/> Major Property Damage <input type="checkbox"/> Reportable Social	
	Class 2	<input type="checkbox"/> Minor Environmental <input type="checkbox"/> Minor Injury/Illness <input type="checkbox"/> Minor Property Damage <input type="checkbox"/> Near miss	
Incident Date		Incident Place	
Incident Description and Lessons learned			

Hazard Identification and Risk Management Standard Operating Procedure

1. Purpose and Context

The [Executive Office Instruction Ref. EOI.SSC.2021.01 Health & Safety And Social & Environmental Management](#) establishes requirements for managing HSE hazards and risks. The purpose of this Standard Operating Procedure (SOP) is to describe the processes to support these requirements. Additional information on the management of specific HSSE hazards and risks is available on the [UNOPS HSSE intranet](#).

2. Scope and Audience

This SOP is a supporting document and should be read in conjunction with the [Executive Office Instruction Ref. EOI.SSC.2021.01 Health & Safety And Social & Environmental Management](#). This SOP applies to UNOPS personnel and all UNOPS operations and activities in the Region.

The [Executive Office Instruction Ref. EOI.SSC.2021.01 Health & Safety And Social & Environmental Management](#) also describes the following requirements:

- The health and safety of all people at UNOPS workplaces and in communities that interact with UNOPS activities shall be considered at all times and throughout the life cycle of UNOPS projects. Similarly, ways to avoid harm to the environment and to people in communities shall also be considered at all times and throughout the life cycle of UNOPS projects.
- Each UNOPS country office with at least five personnel shall have a documented HSSE plan that identifies the HSSE risks and opportunities and the key actions required to address them. Offices with less than five personnel are required to at least carry out an HSSE risk assessment and to do office inspections at least once every six months. HSSE plans are strongly encouraged but are not mandatory for personnel working under partner supervision. Project facilities, such as construction site offices or storerooms, do not need to have separate HSSE plans as they should be covered as part of the project HSSE plans.
- All projects with separate physical locations or workplaces, i.e. projects with premises and work locations that are not part of the country office premises and facilities, shall develop HS plans that address occupational health and safety hazards and other requirements set in the UNOPS HSSE policy EOD Ref. EOD.ED.2021.01.
- The plans mentioned in sections 2.2 and 2.3 shall be used to record the identification and assessment of HSSE risks including the description of the

actions or key controls to address the risks. The plans shall also be used to record the arrangements for monitoring HSSE performance.

UNOPS country and/or project teams should integrate these requirements into work method statements or other relevant procedures, plans or documentation. UNOPS teams may also adopt alternative donor, contractor, partner or country or project-specific processes that meet the equivalent requirements of this SOP, or a higher HS standard. Any decision to adopt alternative processes and the extent to which they meet this SOP should be referred to the appropriate Country or Regional HSSE Specialist to review the associated risk, and noted in the relevant Country Office or Project HS Plan.

3. Principles

3.1. HSE Risk Management Process

The HSE Risk Management Process is based on the methodology described in ISO 31000:2018, depicted in Figure 1 below.

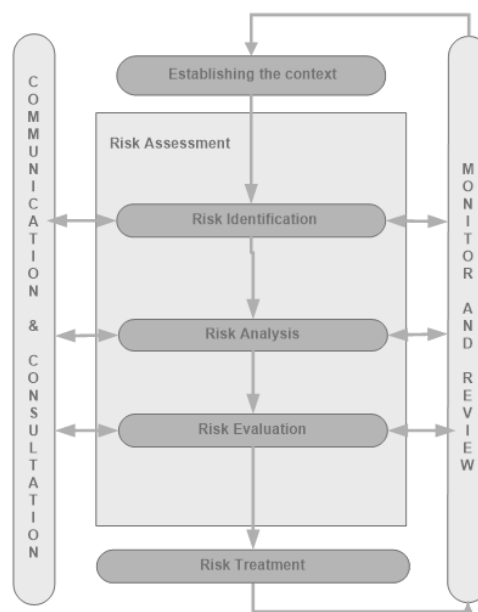


Figure 1 HS hazard identification and risk management process, adapted from ISO 31000:2018.

The HS hazard identification and risk management process must be applied to identify hazards and threats associated with the ID AP Area's business operations, including physical infrastructure and activities.

3.2. Consultation and communication

There should be an ongoing communication and consultation with affected persons throughout the HSSE hazard identification and risk management process. Consultation should

be a two-way process, enabling workers and others, such as end-users or community representatives, where relevant, to be involved in identifying hazards and making decisions about the best way to manage the hazards and associated risks to health and safety.

3.3. Competence of Practitioners

Personnel leading or facilitating the HS hazard identification and risk management process must have the necessary knowledge, skills and experience in relation to the tools and techniques being used.

Personnel must have the necessary competence to participate in aspects of the HS hazard identification and risk management process that are relevant to their position or role.

Complex applications of the HS hazard identification and risk management process must be carried out by qualified and experienced personnel, and may be supplemented with subject matter experts and specialized risk assessment tools or processes.

4. Procedure

4.1. HS hazard identification and risk management steps

The HS hazard identification and risk management process includes the following steps:

Step 1: Establish the context

Step 2: Identify hazards, aspects/impacts and risks

Step 3: Risk analysis

Step 4: Risk evaluation

Step 5: Risk treatment

Step 6: Review control measures.

4.2. Step 1: Establish the context

Define the physical and operational scope of the asset, material, project, program, or activity to be assessed, including the including locations, project deliverables, key activities, stakeholders (internal and external), timetables, assumptions, pre-conditions, etc.

Confirm all participants involved understand the context and methodology to be used.

Identify situations where work activities overlap or interact to ensure that HS hazard identification and risk management processes are coordinated.

4.3. Step 2: Identify Hazards, Aspects/Impacts and Risks and Opportunities

4.3.1. Identify hazards, and aspects/impacts

Identify hazards and aspects/impacts: HSE hazards, aspects and impacts associated with the office, facility, or project site assets and activities must be identified.

A person who identifies a new or unforeseen hazard must:

- > Notify others in the vicinity.
- > Take action to eliminate the hazard – so far as is reasonably practical and safe to do so.
- > If it is not reasonably practical, or would be unsafe to eliminate the hazard, take appropriate action to prevent injury or damage (e.g. erect barricades).
- > Notify the relevant manager or supervisor as soon as possible for further action, HSE risk assessment and implementation of controls.

All UNOPS personnel have responsibility for taking all reasonable actions to prevent and address incidents – including stopping work when significant hazards or issues are identified.

Work must only recommence with approval from the relevant line manager (e.g. project manager), and after the associated HSE risk has been controlled so far as is reasonably practical.

4.4. Step 3: HSE Risk Analysis

Risk must be assessed by identifying the reasonably foreseeable incidents that may arise via exposure to a hazard or threat, determining the potential consequence of the incident, and the likelihood of that consequence.

The risk level should be calculated by assessing the consequence and likelihood of the risk without, or before risk controls (inherent risk), and then calculated again with consideration to implementation of the current risk controls (residual risk).

The criteria described in the UNOPS Enterprise Risk Management policies and procedures for safety and security under the category of ‘people’ should be used to determine the consequence, likelihood and rating of the risk. Further instruction is provided in the [UNOPS HSSE Management System Form HS05 Risk Assessment](#).

4.5. Step 4: HSE Risk Evaluation

Once the risk assessment has determined the level of risk after the existing controls have been considered, the risk should be evaluated to identify whether additional controls can be implemented to minimise the risk so far as is reasonably practical. Where it is determined that there is an unacceptable HSE risk, the activity must be ceased until effective controls can be implemented. Work must not proceed if a residual risk rating of 'High' is determined. If a residual risk rating of 'Medium' is obtained, then the controls should be reviewed to determine if the risk can be further reduced by changing the work method, or by implementing more effective, or additional or a combination of controls. Additional monitoring and supervision should be implemented to ensure that the controls are implemented. Work may proceed, with all of the nominated controls in place and ongoing monitoring, if a risk rating of 'Low' is determined.

4.6. Step 5: Risk treatment

HSE Risks must be controlled to the lowest level and so far as is reasonably practical. Mandatory controls, including the UNOPS Golden Rules are described in the [Executive Office Instruction Ref. EOI.SSC.2021.01 Health & Safety And Social & Environmental Management](#).

4.6.1. Control of health and safety hazards and risks:

Control measures for health and safety hazards and risks must be selected in accordance with the Hierarchy of Controls, applied in the following specific order:

- > Eliminate the hazard.

If elimination of the hazard is not reasonably practical, minimise the risk so far as reasonably possible by:

- > Substituting (wholly or partly) the hazard giving rise to the risk with something that gives rise to a lesser risk
- > Isolating the hazard from any person exposed to it
- > Implementing Engineering controls.

If a risk then remains, then minimise the remaining risk, so far as is reasonably practical, by implementing Administrative controls.

If a risk then remains, then minimise the remaining risk, so far as is reasonably possible, by ensuring the provision and use of suitable Personal Protective Equipment (PPE).

Selected control measures should:

- > Effectively control the risk.
- > Not create another hazard.
- > Allow workers to do their work without undue discomfort or stress.

- > Be proportionate to the degree and nature of the risk and comply with relevant legal and other requirements.

A combination of risk control measures should be used when application of a single risk control measure is not sufficient to adequately minimise the HSE risk. The [UNOPS HSSE intranet](#) provides further information of the procedural controls determined for identified UNOPS project and operational activities.

Implement Risk Controls: The following steps should be undertaken to support the effective implementation of controls:

- > Each control should have a responsible person with a date assigned and recorded, and date/s implemented.
- > Safe work procedures, task risk assessments, Work Method Statements (WMS) or instructions should be reviewed or developed.
- > Supervisors must communicate, consult, train and monitor workers with regard to the implementation of controls.

Confirm that HSE risk is controlled so far as is reasonably practical: Following the assessment process, the following criteria must be used to determine whether the selected risk controls manage HSE risk to an acceptable level, which means:

- > Compliance with the law.
- > Compliance with UNOPS Policies, Procedures and Guidance.
- > Risk response (urgency and level of management approval) in accordance with requirements defined in the enterprise risk management information.
- > HSE risk is eliminated, or if elimination is not possible, minimised so far as is reasonably practical.

4.7. Review Control Measures

Application of the HS hazard identification and risk management process and implementation of controls must be monitored and reviewed.

Risk assessments should include a schedule for regular review of control effectiveness. Review of risk assessments and the risk controls identified are mandatory in the following circumstances:

- > When the control measure is identified as not effective in controlling the risk.
- > When an incident occurs.

- > Before a change at the workplace that is likely to give rise to a new or different health and safety risk that the control measure may not effectively control.
- > If a new hazard, aspect/impact or risk is identified.
- > If the results of consultation indicate that a review is necessary.
- > If a health and safety representative (HSR) or HS practitioner requests a review.
- > On a minimum annual basis.

HSE Opportunities should also be identified and assessed during the HSE risk management process. Personnel performing risk assessments should also seek opportunities to enhance HSE performance, while taking into account any planned changes to the business unit or project, its policies, its processes or activities and opportunities to:

- > adapt work, work organisation and work environment to workers
- > eliminate or reduce HSE risks.

Possible opportunities to eliminate hazards and risks will be recorded in the HSE risk register.

5. Definitions

Incident is an unplanned event resulting in, or having a potential for, injury, ill health, property damage, motor vehicle accidents or other loss.

May/Should indicates a recommendation.

Must/Shall stipulates a mandatory requirement,

Near Miss is a work related-incident that did not result in harm, but had the potential to do so.

Impact the outcome following the occurrence of an event.

Likelihood a general description of probability or frequency of an event occurring.

Risk the effect of uncertainty on objectives. It is expressed in terms of a combination of the consequences of an event and the associated likelihood of the occurrence.

In terms of health and safety, risk is the possibility that harm (death, injury or illness) might occur when exposed to a hazard.

Risk management The culture, processes, and structures that are directed towards the effective management of potential adverse effects.

Hazard a situation or thing with the potential to cause harm to person.

Risk Control in terms of health and safety, means taking action to eliminate health and safety risks so far as is reasonably practicable, and if that is not possible, minimising the risks so far as is reasonably practicable.

So far as is reasonably practical Means that which is, or was at a particular time, reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters including:

- (a) the likelihood of the hazard or the risk concerned occurring; and
- (b) the degree of harm that might result from the hazard or the risk; and
- (c) what the person concerned knows, or ought reasonably to know, about:
 - (i) the hazard or the risk; and
 - (ii) ways of eliminating or minimising the risk; and
- (d) the availability and suitability of ways to eliminate or minimise the risk; and
- (e) after assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.

TOOLBOX TALK BRIEFING REGISTER

Office Name		Briefed by	
Location		Toolbox Talk Name	
Date of Briefing		Toolbox Talk No.	

Employees' Name	Employer	Employee Signature
	UNOPS	
	UNOPS	
	UNOPS	
	UNOPS	
	UNOPS	
	UNOPS	
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	UNOPS	
	UNOPS	
	UNOPS	
	UNOPS	

NON-CONFORMANCE REPORT (NCR)¹

Project Title/ Work Title						
Contract No.						
Employer						
Contractor						
Date/ Time NCR Raised		NCR Raised by		NCR no		
Work Category						
Reference Docs						
Location/ Work Item						
Types of Non-Conforma nce:						
Category of Non-Conforma nce ² :						
Non-Conforma nce Conditions/ Description/ Details						
Proposed Non-Conforma nce Actions/ Dispositions						
Feedback and/or	Please write here					

¹ The NCR should be communicated through formal letter/notices referring relevant contract clauses

² This requires professional judgment depending on the project context; however, as a rule of thumb the following can be used

Major- where the NC issue that resulted or could result health and safety incident or major deviation to the project performance targets;

Minor: NC issue that is not considered as an immediate threat to H&S

Approval (If required)	
Design Consultant, Practitioner	N/A
QA Team Leader	N/A
HSSE Manager	N/A
Others	N/A
Root causes of Non-Conformance	
Corrective Action to Prevent Recurrence	

Proposed Disposition Action Completed
For Contractor's Representative
For Employer's Representative

Comments	Please write here	Acceptable	
		Not Acceptable	
		Comments	Please write here
Signature		Signature	
NCR Verified and Closed Out Date	Please write here		
Employer's Representative	Besa Ajvazi Selimi		

Register of Interested Parties

Office/Project	
Location	
Revision and date	

“Any persons or organisations that can affect, be affected by or perceive itself to be affected by UNOPS decisions and/or activities”

Step 1: List interested parties (e.g. beneficiaries, communities, suppliers, NGOs, donors, regulators, our personnel, partners, etc.)

Step 2: Describe how you will determine their requirements (i.e. their needs and expectations)

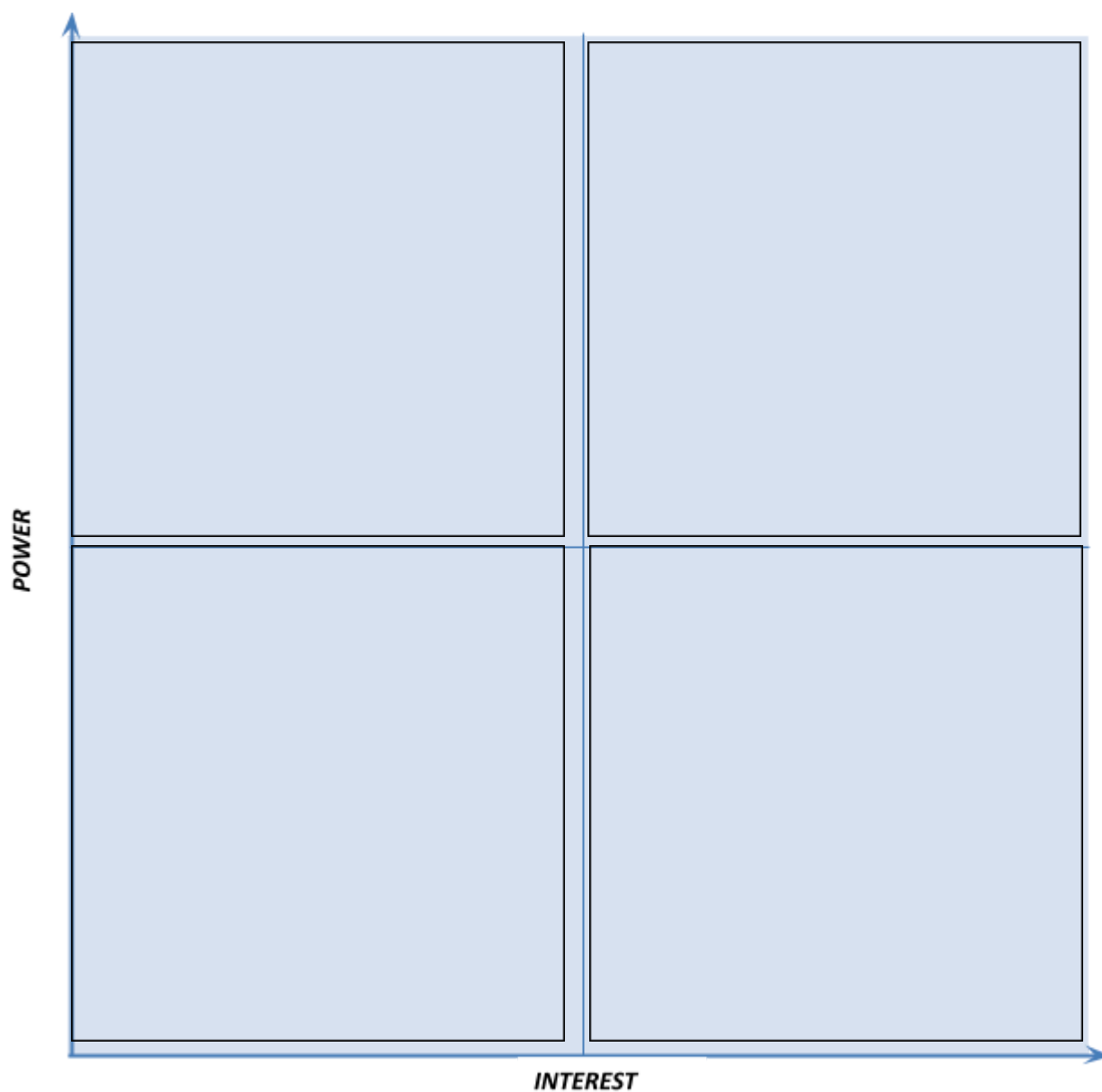
Step 3: List the requirements you have identified, and highlight those that will become compliance obligations (NOTE: make sure you include compliance obligations in the Legal Register, HSE03)

1. List of interested parties and methodology for determining requirements

Interested party	Requirement	Requirement identified by way of
1.		
2.		
3.		
4.		
5.		
6.		
7.		

8.		
9.		
10.		

2. Determination of compliance obligations for Enter the name of your office based on a power/interest grid analysis



3. Identified compliance obligations must be reported in the Legal Register (form HSE03)

Legal Register for Health, Safety and Environment

Office/Project	
Location	
Revision and date	

I. Introduction

UNOPS premises are protected by the Immunities and Privileges of the United Nations. These immunities also apply to UNOPS staff. It is the intention of UNOPS to ensure that operations do not operate below the standard of local legislation (see the UNOPS Health and Safety policy and the UNOPS Environmental Policy). Contractors and construction sites have an even higher obligation to meet legal and other obligations as they are incorporated under local laws. The contractors are assumed to have control over their ability to meet local legislation at UNOPS construction sites. UNOPS has the role of enforcing legal and other requirements in line with the UNOPS policy commitment.

When researching for applicable national legal HSE requirements, it is recommended that existing legislation in the following areas be explored:

Access/ Egress	Small tools
Fire/Emergency Prevention and Response	Work over water
Ergonomics	Work interactions (e.g. stress, psychosocial)
Occupational Health Stressors	Use of Lifting Machinery
Pressurised equipment	PPE
Electrical equipment	Other general H&S requirements
Hazardous substances	Water quality and management
Preparation of food	Air quality
Structures	Waste
Transportation	Resources conservation
Working at heights	Pollution control
Excavation	Other general environmental requirements

II. Legal Register

No	Legislation/Requirement	Source	Requirements
1	United Nations, Occupational Safety and Health Management System	ST/SGB/2018/5	The occupational safety and health management system shall be implemented in a phased manner at the central and departmental levels and shall integrate, harmonize and update existing occupational safety and health-related policies and programmes
2	A system-wide road map for United Nations climate neutrality by 2020 and of the related goals towards enhancing the environmental sustainability of United Nations operations	CEB/2015/HLCM/7 of 31 March 2015	United Nations climate neutrality by 2020 and enhancement of environmental sustainability
3	Environmental Sustainability Management in the UN System	CEB/2013/HLCM/5 of 7-8 March 2013	Development and implementation of environmental sustainability management systems in each UN organization
4	A framework for advancing environmental and social sustainability in the United Nations system	UN Environmental Management Group, 2012	Moving UN organizations towards strengthening environmental and social sustainability in our activities
5	EOD 3 "Health & Safety and Social & Environmental Policy"	UNOPS	Establish UNOPS Social, Environmental and H&S policies
6	EOI.CSG.2017.01 on Implementation of HSSE levels	UNOPS	Establishes the Health & Safety, and Social & Environmental requirements at UNOPS locations
7	EOI.CSG.2017.02 on Incident reporting	UNOPS	Establishes the requirements for reporting incidents
8	OI.PCG.2017.01 "Personnel Management Framework" on work-life balance	UNOPS	Supports personnel in balancing the demands of work and personal life
9	United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, Section D. Road Safety. 31 October 2011	UNDSS	Promotes the safe operation of United Nations vehicles world-wide, to ensure road safety and to describe the roles and responsibilities of relevant United Nations Security Management System (UNSMS) actors in improving awareness and compliance with requirements and provisions for road safety
10	OD.PCG.2017.01 "Human Resources, Ethics and Culture" on discrimination, harassment and abuse of authority	UNOPS	Ensures the workplace is free of any form of discrimination and harassment
11			
12			
13			

14			
15			
16			
17			
18			
19			
20			

III. References

1. Convention Immunities and Privileges of the United Nations.
https://treaties.un.org/doc/Treaties/1946/12/19461214%2010-17%20PM/Ch_III_1p.pdf
2. <http://www.un.org/en/ecosoc/docs/2010/res%202010-23.pdf>
3. ILO: Safety and Health in Construction Convention no. 167 (Dec. 2014)
http://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_INSTRUMENT_ID:312312
4. ECOLEX, the gateway to environmental law, operated jointly by FAO, IUCN and UNEP
<http://www.ecolex.org/start.php>
5. NATLEX, the ILO database of national labour, social security and related human rights legislation
http://www.ilo.org/dyn/natlex/natlex4.home?p_lang=en
6. LEGOSH, the ILO global database on occupational safety and health legislation
<http://www.ilo.org/dyn/legosh/en/f?p=LEGPOL:1000>
7. United Nations Security Management System, Security Policy Manual, Chapter VII Provisions on Safety Matters, D. Road Safety. 31 October 2011,
https://www.un.org/undss/sites/www.un.org.undss/files/docs/security_policy_manual_spm_e-book_as_of_29_nov_2017_0.pdf
8. ST/SGB/2018/5 United Nations, Occupational Safety and Health management System
- 9.

Risk Assessment Briefing Register

Project Title	
Risk Assessment number & revision	
Date of briefing	
Briefed by (name & signature)	

Employee Name	Employer	Employee Signature

Field Level (Continuous) Risk Assessments

Introduction

The purpose of this guideline is to ensure that all UNOPS activities have effective Health and Safety (HS) risk management controls in place to ensure zero harm to all personnel, implementing partners, contractors, and everyone involved with UNOPS activities and operations.

General Requirements

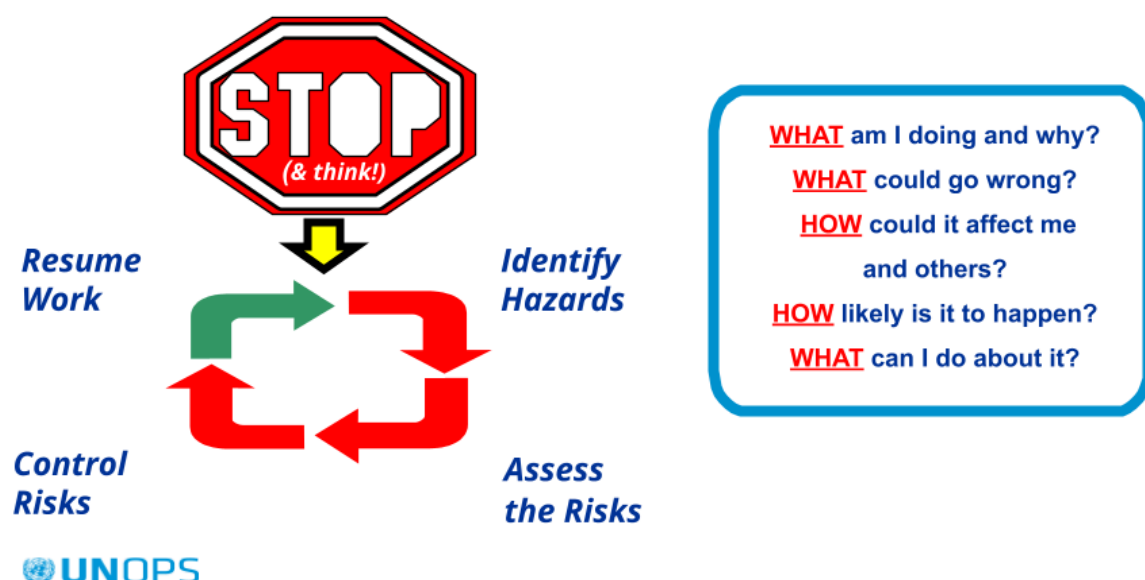
All UNOPS activities will have effective risk management controls in place that ensure zero harm by use of:

- Baseline risk assessment
- Task-based risk assessment
- Field level (continuous) risk assessment

All ratings must be established using the UNOPS Likelihood and Consequence tables and the [UNOPS risk matrix](#) for Baseline Risk Assessments and the [Job Safety Analysis](#) for Task Based Risk Assessments. All controls must be addressed using the [Hierarchy of controls](#).

Field level (continuous) Risk Assessment

A field level (continuous) risk assessment is an assessment used at sites daily to identify hazards and risks. It helps to examine operational and procedural systems and allows an individual to think through the task, spot hazard/danger zones if any, assess the risk, make changes, and do the job safely before proceeding with the work. A field level (continuous) risk assessment takes approximately 5 minutes.



Purpose of a Field level (continuous) Risk Assessment

The purpose of conducting a field level (continuous) risk assessment is to:

- Identify hazards to immediately treat significant risks
- Gather information to feed back to a task-based risk assessment
- Gather information to feed back to a baseline risk assessment

When to conduct a Field level (continuous) Risk Assessment

A field level (continuous) risk assessment should be conducted continuously in the work environment. It is an important form of assessment and should take place continually, as an integral part of day-to-day management. In field level (continuous) risk assessments, the emphasis is on day-to-day hazard awareness and immediate risk treatment. A field level (continuous) risk assessment must not be sophisticated or complicated.

Examples of field level (continuous) risk assessments:

- At the beginning of a new job
- When the work changes
- When conditions change or new hazards arise
- Whenever tasks or equipment change
- When a change in other's activities could affect you

Field level (continuous) risk assessment don't require paperwork since they rely on the maturity of the team and continuous support by the supervisor.

Task Based Risk Assessments or Job Safety Analysis

Introduction

The purpose of this guideline is to ensure that all UNOPS activities have effective Health and Safety (HS) risk management controls in place to ensure zero harm to all personnel, implementing partners, contractors, and everyone involved with UNOPS activities and operations.

General Requirements

All UNOPS activities will have effective risk management controls in place that ensure zero harm by use of:

- Baseline risk assessment
- Task-based risk assessment
- Field level (continuous) risk assessment

All ratings must be established using the UNOPS Likelihood and Consequence tables and the [UNOPS risk matrix](#) for Baseline Risk Assessments and the [Job Safety Analysis](#) for Task Based Risk Assessments. All controls must be addressed using the [Hierarchy of controls](#).

Task-based risk assessment

A task-based risk assessment is a formal process of identifying the hazards associated with each task to be performed, assessing the risk, and providing the safety controls to manage the risk. A task-based risk assessment identifies hazards/risks and controls for each task to be undertaken. This provides a systematic approach to ensure safety while performing critical work and therefore helps prevent accidents. It is the best way to manage the risk associated with critical work that is scheduled to be performed in a critical area. At UNOPS, it is a mandatory requirement for **all safety-critical tasks** to be accompanied by a task-based risk assessment.

Purpose of task-based risk assessment

The purpose of conducting a task-based risk assessment is to conduct a detailed assessment that will result in the development of action plans for the treatment of significant risks. Task-based risk assessments focus on the identification of the risks within a certain task, process, or activity. An effective task-based risk assessment ensures the participation of people from different disciplines to contribute to the identification of hazards, the risk assessment, and the decision on control measures.

Examples of task-based risk assessments:

- A new machine is introduced at the site
- A system of work or an operation is changed
- Findings that come to the fore during individual risk assessments
- After an accident or a 'near-miss' has occurred

- New designs, layouts, equipment, or processes
- Requests from workers
- A change in the risk profile from baseline risks assessments
- New knowledge and information becoming available on the level of risk to workers
- Process hazard analysis

Practical examples: [Fixing water leak from AC in the false ceiling](#)

Once the task-based risk assessment is completed, it should be communicated to the involved workers to inform them of the hazards and safety precautions.

Baseline Risk Assessment

Introduction

The purpose of this guideline is to ensure that all UNOPS activities have effective Health and Safety (HS) risk management controls in place to ensure zero harm to all personnel, implementing partners, contractors, and everyone involved with UNOPS activities and operations.

General Requirements

All UNOPS activities will have effective risk management controls in place that ensure zero harm by use of:

- Baseline risk assessment
- Task-based risk assessment
- Field level (continuous) risk assessment

All ratings must be established using the UNOPS Likelihood and Consequence tables and the [UNOPS risk matrix](#) for Baseline Risk Assessments and the [Job Safety Analysis](#) for Task Based Risk Assessments. All controls must be addressed using the [Hierarchy of controls](#).

Baseline Risk Assessment

A baseline risk assessment establishes a risk profile or a set of risk profiles. It is used to prioritize action programs for task-based risk assessments. It should be performed to obtain a benchmark of the types and size of potential hazards, which could have a significant impact on the whole program either at the project, country, regional, or HQ level. **Practical example:** [Project](#) and [Project](#).

Baseline risk assessments can be defined as the primary or initial, broad-based risk assessment of an organization. The baseline risk assessment is done to determine the risk for the first time, i.e. to establish a broad-based risk profile. It focuses on the identification of risks that apply to the whole project, office, or country office. This type of assessment should be performed on a site, country, region, or organizational basis concerning any facet of the organization's health and safety operations or procedures. A baseline risk assessment should be performed to obtain a benchmark of the type and size of potential hazards that could have a significant impact on the whole health and safety program. It should identify the major and significant risks, prioritize these risks and evaluate the effectiveness of the current systems of risk control.

A baseline risk assessment must address all HS risks including fatal risks covered by the UNOPS Golden Rules (see [Section 4](#)) and occupational health stressors such as the presence of disease-causing chemicals, microorganisms, and psychosocial conditions such as stress that affect mental health, fatigue, trauma, etc.

Purpose of a baseline risk assessment

A baseline risk assessment is used to prioritize action programs for task-based risk assessments. It focuses on a broad overview to determine the risk profile to be used in subsequent risk assessments. Risk profiles from the baseline risk assessments form the basis for establishing task-based risk assessment programs. The baseline risk assessment must be reviewed at regular intervals to re-establish the baseline profile and minimize the HSSE risks.

GUIDELINE GHS 04

EXCAVATION

Excavation presents significant safety issues with excavation collapse, striking of underground services and machinery accidents potentially causing serious injury.

Procedures and basic operating principles for safely carrying out excavation works are listed below for consideration when identifying and controlling project specific excavation risk.

- All excavation activities on site should be controlled by the UNOPS Work Permit system – refer to **Form HS14**. Key safety issues relating to the inherent risk involved in excavation are identified in the Permit system and appropriate controls and protection measures will be required to be put in place before works are carried out.
- Excavations are required to be supported or battered back where necessary to prevent collapse. Ongoing review and inspection of supports is required to ensure unauthorised removal and alterations of supports and braces are identified and rectified. Careful excavator operation is required in and around supports to prevent striking damage.
- Locate excavated spoil/stockpile heaps well back from the edge of the excavation works. A general rule is to keep the spoil as back from the edge of the excavation at least the distance that the excavation is deep. Don't store materials close to the edge of excavated areas.
- Excavated areas require edge protection to prevent falls. Secured ladders should be used for excavation access, do not climb on excavation supports.
- When vehicles are operating in the vicinity of the excavation, i.e. trucks tipping for backfilling, use stop blocks or create berms/kerbing to prevent vehicles driving into excavations.
- Excavations should be checked daily before entering for any change in condition which may make the excavation unsafe, i.e. after heavy rainfall, changes in support and shoring etc.
- Working in and around excavations workers should always wear the correct PPE, never jump across excavations, and never throw tools or materials down to someone into an excavated area.
- Excavation machinery should be checked regularly before use. Items to be considered include
 - Coupler assembly, free of debris and material, check for any damaged or cracked components
 - Generally check for any missing parts or components, oil leaks, distressed welds etc
 - Check safety, lynch and mounting pins, locks and nuts. Are they in good condition, not bent, or worn and functioning correctly
 - Check blocking arm and bar components and operation

GUIDELINE GHS 04

- Check all the hydraulic hoses, couplings, fittings
- Check all grease points; ensure maintenance scheduling is carried out
- Check lights, flasher beacons, mirrors etc
- In operating excavation machinery the following should be considered
 - Never carry passengers
 - Keep watch for potential hazards, overhead cables, people and machines
 - If outriggers and supports are available they are to be used
 - Ensure safety pins are always fitted with quick hitch buckets
 - Always ground bucket before leaving the machine
 - Do not leave the machine unattended unless switched off, parked and fully locked

GUIDELINE GHS 09**WORKING AT HEIGHTS**

Falls from height are the largest single cause of serious injuries and deaths in infrastructure/construction. Working at height must be treated as a high risk activity for those at height and those working below

Planning is vital before you begin working at height. Anywhere you are at risk from a fall then a hazard and risk identification should be carried out

General issues for consideration when working at heights:

- Ensure safe access and egress to work face
- Installation of guardrails to perimeters and penetrations
- Use of setting up fall protection barriers (safety mesh and edge protection)
- Consider the risks involved from objects falling from above
- Review and implement suitable means to prevent fall
- Walking and working surfaces are strong enough to support workers
- Do some areas require isolation and barricading

Safe Ladder Use:

- Extended use of ladders in lieu of working platforms is prohibited.
- Check equipment before use, no splits or cracks in stiles and rungs, none missing or loose
- Remove defective ladders from site
- Do not position ladder in the place where it can be struck by passing vehicle or where it can be knocked by a door or window,
- Ladders should only be used when other platforms have been explored but not able to be used. Work on ladders should only be used in short durations
- Ladders need to be set on a firm base and leaning at the correct angle. One (out) to Four (up) ratio acceptable
- Ladders should be tied at the top and extend a safe distance (1 m or 3 rungs) above the landing height
- The base of the ladder should be staked to prevent slipping
- Clean footwear from excessive mud/soil before climbing the ladder
- Always face the ladder when climbing; always have three points of contact on the ladder at all times
- Do not overreach from the ladder; always move the ladder to the new work face

GUIDELINE GHS 09

- As much as possible avoid carrying out loads up ladders – hoist it up.
- For step ladders: all four feet must be in contact with the ground, rungs shall be facing the work activity, never work higher than three steps down from the top of the ladder

Use of Harnesses Safely:

- Harnesses should only be considered as a last option after platforms, mobile towers, scaffolding, and where no other fall restraint is available
- Harness equipment must be fully inspected before use. Include wedding, leather, checking for cuts, cracks, tears, abrasions and damage. Check hooks and karabiners and all stitching
- Wet equipment and harnesses should be hung to dry naturally
- Confirm a firm and secure anchorage points and lines (best above head height). All anchorages should be installed by a competent person, design by an Engineer and checked
- Do not tie, loop or place the harness lanyard near small or sharp items during use, this could mean the lanyard fails in the event of a fall situation
- Users should be trained in harness use by a competent person
- Never work alone while using a harness, if you fall you may need assistance to be rescued
- Have established rescue/emergency procedures in place

Mechanical Elevated Work Platforms (scissor hoists, cherry pickers, crane baskets):

- Checked the machine is the correct type for the task intended
- Trained operators are required for the machinery in use
- Do not use the machine as a crane or have it overloaded
- The machine requires regular inspection and testing, check before use
- Ensure the machine is set up on firm ground with all support legs fully extended where applicable
- Operate well away from overhead services
- Workers on platforms are to wear harnesses
- Ensure the lanyard is just long enough to provide free movement within the confines of the platform
- Do not allow material waste and rubbish to build up on platform
- Ensure tools are secured to the working platform

General

GUIDELINE GHS 09

- All ladders/trestles should be individually tagged.
- Ladders/Trestles must be stored correctly.
- Ladders must not be painted - paint can hide damaged parts.
- Any defective Ladders / Trestles should be removed from site immediately.
- Ladders/trestles shall be weekly inspected and record of the inspections shall be kept on site.

GUIDELINE GHS11**CONFINED SPACE****1. Introduction**

Confined spaces can include unventilated rooms and spaces, cellars, tunnels, shafts, risers, ducts, tanks, sewers, excavations, manholes, pipelines and boreholes.

Any work carried out in a confined space is recommended to be controlled by the project work permit system and procedures, please refer to **Form HS12**.

Any work carried out in a confined space should be subject to a Hazard and Risk Assessment review as detailed in **Form HS09**.

All Personnel working in a confined space are required to be specifically trained to work in this environment.

2. Potential Hazards

Oxygen depleted or enriched spaces, possible toxic and or flammable atmosphere i.e. gas fumes, biological hazards including disease and noxious substances and sludge, concentrated gas and vapour produced from the work task itself.

3. Safety/Planning Considerations

- Trained, experienced and competent workforce and supervision to carry out the works
- Is the required safety equipment available, expertise and experience in to operation, e.g. Gas detection equipment, safety harness, lifeline, support and winch, breathing apparatus, specific PPE etc.
- Requirement for mechanical ventilation
- Emergency planning, communication methods and rescue plan
- Temporary safe lighting
- Non spark tools and equipment
- The entrance/opening to the space requires fall protection/barriers/fencing

GUIDELINE GHS 07**SCAFFOLD**

Falls from height account of over 50% of the deaths associated with the construction industry. The correct design, installation and use of scaffold are extremely important to ensure people working at height are as safe as possible.

The people involved in the design, installation and inspection of the scaffolding system for the project must be competent in the type and complexity of the scaffold system to be used.

Any scaffold system should be officially inspected at least once a week to ensure it remains in safe condition. Each scaffolding and ladder shall be marked with the appropriate scaff tag, indicating inspection dates and whether scaffolding/ladder is safe for use. It is suggested that scaffolds that are not completed or not safe to be used shall have a red tag with clear 'No Entry' sign.

Key issues for consideration at design, installation and ongoing use stages are outlined on the below:

Foundations/Base

- Scaffolding must be on suitable foundations and stable against subsidence (level, compacted, capable of all loads)
- Each supporting standard should be supported by a base plate and then a sole board (guide on sizing, base plate 15 x 15 x 0.6 cm, sole boards 50 x 200 x 3.8 cm)
- Ensure each supporting standard is centred on the base plate and sole board.

Geometry

- All standards shall be vertical
- All ledgers and guardrails shall be horizontal
- All transoms shall be horizontal
- All standards, ledgers and guardrails shall be staggered

Bracing

- Braces start from ground and extend to top platform at 45 degrees

Platforms/decking

- All platforms shall have an appropriate width (70 cm minimal)
- All platforms shall be secured against uplift or horizontal movement
- Platforms shall have toe/kick boards, at a minimum height of 15 cm, fixed to the scaffold
- All lap planks shall be tied/cleated
- Gaps in the platforms shall not be more than 5 cm

GUIDELINE GHS 07

- The platforms should be no more than 30cm away from the work face. If so an internal guardrail is required

Access to Platforms

- Appropriate access shall be provided to every working platform
- Ladders shall be secured top and bottom
- Ladders shall be positioned at a 4 to 1 ratio
- Ladders above the second lift shall be located within the scaffold frame

Ties

- Ties shall be placed every 4 to 5 m horizontal and vertically
- Ties shall be staggered every second floor lift

Guardrails

- Guardrails are required on all platforms
- Height of guard rails shall be between 90 – 110 cm
- Platforms shall have a mid-rail
- Internal guard rail required if platform is further than 30 cm away from work face

Raking Members

- Raking members shall be connected to the standards
- Raking members shall have a horizontal tube connected back to the scaffolding

Erection and Dismantling

- Working procedure for scaffolders working at height shall be prepared, Risk Assessment shall be completed
- Scaffolders shall install guard rails, decking and ties as soon as possible when erecting
- PPE must be worn by scaffolders

General

- Screening may be required to protect the surrounding areas
- Screening material shall be suitable for the conditions and fixed correctly (will not become a “sail” in windy conditions)
- Scaffold shall be adequately protected against vehicle collision

GUIDELINE GHS 07

- Scaffolding shall not be overloaded - material loads shall be distributed around the support standard bearing members
- Walking space shall be allowed on platform where materials are also stacked

GUIDELINE GHS10**SIGNIFICANT ACCIDENT OR INCIDENT RESPONSE**

A Significant Accident or Incident is an event with serious or extreme consequences. Such events would include multiple major injuries, a fatality, a major environmental incident or an extreme failure of a product, structure, element or service.

This guide does not replace relevant UNOPS Organizational Directives (OD's) and Administration Instructions (AI's) relating to communications, reporting lines and responsibility with regard to safety, security, risk and continuity planning. The aim of this document is to assist in the site team's immediate response to a significant event on a construction project with the aim to attend to immediate physical needs of any injured parties and contain and control the overall situation to minimise further loss, injury or damage.

Immediate Action

UNOPS most senior member of the site team at the scene of the Accident/Incident should seek to respond in the following way.

- Immediately take control of the situation and implement the relevant steps outlined below.
- Contact relevant emergency services (local, government, UN, if available)
- Ensure that injured persons are attended to by first aiders and secondly that appropriate steps are taken to facilitate further critical medical treatment (i.e. stabilise and wait for ambulance/emergency services, or facilitate emergency transport of injured to nearest clinic/doctor/hospital facility)
- Make the site and surrounding area safe, this may require emergency barriers and cordons depending on the nature of the incident. The evacuation of the site and neighbouring properties may also be necessary.
- Notify your UNOPS line manager of the situation
- Leave to accident location as undisturbed as possible. However it may be required to disturb the location to affect a rescue or stabilise an area to make it safer where a dangerous situation still exists.
- Endeavour to ensure that injured workers or employee's next of kin receive the earliest notification of the accident (this may be in association with the local police and UNOPS senior management where appropriate).

Secondary Actions

Once the situation has stabilised with injured persons off the site and receiving treatment and/or the dangerous incident is controlled, situation stable with little or no risk of further injury or damage, then the following actions can be considered.

- Begin to gather evidence regarding the Accident/Incident. Take photos, video and sketches as required. Identify witnesses to the event and record statements.
- Begin to fill out the Accident/Incident report for significant events – **Form HS16**.

GUIDELINE GHS10

- UNOPS senior management should meet as soon as possible to plan and establish roles and responsibilities for managing the incident.

Tasks which may be required include

- Establishing ongoing contact, support and relationship with injury parties and their families
 - Establish a project/site recovery plan to allow resumption of works
 - Establish an appropriate internal communications plan for communicating with the donor, donor community, and beneficiary, local media/press, police and general public
 - Insurance and or legal considerations to be reviewed
 - Possibility of external investigation? Plan to manage and co-operate with investigators if applicable
 - Consider the need to establish a UNOPS Accident/Incident investigation team
- Maintain all records of evidence and any materials or documents relating specially to the incident.
 - The aim of any report or investigation has to be to understand the causes of the incident in order to prevent recurrence. Ensure clear actions and tasks are identified and undertaken to eliminate the causes of the incident before operations on the project/site resume.

GUIDELINE GHS10

HSSE Reportable Incidents and Incident Examples

1. Introduction

UNOPS is committed to maintaining systems for the identification, reporting and investigation of all Occupational Incidents. Proper notification and investigation of Occupational Incidents is essential to ensure that the root causes are identified and similar incidents do not recur in the future.

The purpose of this guideline is to assist UNOPS facilities and operations with the classification, identification, reporting and investigation of occupational incidents. The guideline also highlights examples of HSSE reportable and non-reportable incidents as well as incidents that should be handed over to different units within the organisation.

2. Incident Management

For the purposes of HSSE management in UNOPS, work locations, premises or sites include UNOPS offices, storage facilities, project sites and sites or premises directly associated with projects.

All UNOPS Personnel and Contractors are required to report **occupational incidents** in accordance with the **EOI.SSC.2021.01 on Health & Safety and Social & Environment Management** ([EN](#) - [FR](#) - [ES](#)).

The EOI highlights the type of incidents that must be reported and investigated:

- **Class 1 incidents (Major incidents)** - e.g. fatality or 7 or more days off work (for health & safety); considerable international and/or national reputational risk for UNOPS (for social), and/or extending beyond the project boundaries and lifespan (for environment).
- **Class 2 incidents (Minor incidents)** - e.g. anything else that is not covered above, including near-misses.

3. What is a reportable Occupational Incident?

A reportable health and safety occupational incident under these two categories is as follows:

Occupational Injury: An occupational injury is a physical harm that results from a work-related event or from a single instantaneous exposure in the work environment e.g. falling from height while working on a scaffold, hand being caught in rotating part of construction equipment or electrical shock on site.

Occupational illness: An occupational illness is a state of being unwell or any abnormal condition or disorder caused by factors related to a person's work e.g. any disease contracted as a result of an exposure to risk factors arising from work activity

3.1 What is not categorised as occupational incidents?

- **Pre-existing conditions**

A pre-existing condition is a medical condition that you have before starting your job (e.g. asthma, allergies or diabetes).

- **Conditions contracted outside the work setting**

If you injure yourself outside of your work setting, it is not categorized as an occupational incident e.g. a fall, resulting in a broken bone, on your way to work but outside work premises.

4. Examples of occupational reportable incidents

4.1 Reportable Class 1 incidents

- **Fatal incidents**

All fatalities to workers and non-workers must be reported if they arise from an occupational incident, including interaction with equipment structures or other personnel. Fatalities such as suicides are not HSSE reportable incidents, as the death does not result from a work-related incident. Security incidents such as attacks on workers by armed groups are not included.

- **Lost-time injuries**

All injuries that prevent personnel and contractors from conducting their normal work for at least seven (7) days or more are reportable occupational incidents. Examples include, but are not limited to:

- Injuries caused by the collapse of the ground from excavation
- Injuries caused by a fall from a height
- Serious Burns
- Crush injuries
- Fractures
- Amputation of an arm, hand, finger, or leg
- Injuries arising from working in an enclosed space, which leads to hypothermia

- **Major environmental incident**

Incidents causing major environmental problems such as excessive spill occurrences and excessive disturbance to native wildlife and plant species.

- **Major property damage incident**

An incident resulting in damage to property where the cost of the damage is equal to or above \$20,000.

- **Reportable social issue/incident**

Excessive damage to heritage sites or important community sites and any adverse impacts on the community.

4.2 Reportable Class 2 incidents

- **Minor environmental incident**

Any localised environmental impact that does not lead to greater impacts outside of the operations area and may be corrected relatively easily within UNOPS operations area.

- **Minor injury/illness**

Incidents that require immediate attention and results in a person not being able to perform his/her duties for less than seven (7) days; and does not lead to significant reduction in quality of life of the affected person e.g. first-aid injuries such as lacerations and cuts, bruises, minor dislocations, minor burns and scalds.

- **Minor property damage**

Incident with the cost of damage amounting to less than \$20 000.

- **Minor social issue/incident**

A minor issue or incident arising from interaction with the public, community and/or other stakeholders, that has limited negative impacts on society and beneficiaries, but needs to be recorded and monitored to avoid escalation.

- **Near miss**

Incidents with the potential to cause harm;

- **High Potential near miss:** The rating applied to an incident which could have resulted in a fatality, serious incident, major environmental/social incidents or major property damage i.e. plant or equipment coming into contact with overhead power lines, excavation ground collapse, failure of load-bearing parts of lifts and lifting equipment
- **Low potential near miss:** An event which would have caused an incident resulting in minor harm to people, property or the Environment e.g. slipping (but not falling) due to bad housekeeping or a small tool/material falling from height, not hitting anyone.

4.3 Reportable Safety Observations

- **Unsafe act**

Behaving or performing an activity in a way that is unsafe, i.e., in a way that could cause harm or in a way that is contrary to HS norms, and requirements and could result in an incident happening if left unaddressed (e.g. working without proper authorization, working without following the standard operating procedures, or failing to wear proper personal protective equipment).

- **Unsafe condition**

A state in which the workplace, equipment, machinery, tools or structures are unsafe and could result in harm (e.g. faulty equipment or slippery floors).

4.4. Reportable Occupational Illnesses and Diseases

Illnesses and diseases resulting from exposure to environmental factors associated with work. Occupational diseases are reportable if the disease or illness was contracted as a result of exposure to occupational health hazards or risk factors arising from a work task or activity. Examples of reportable occupational diseases and illnesses and associated health hazards include:

- Diseases caused by chemical hazards (these hazards are found in the form of solids, liquids, gasses, mists, dust, fumes, and vapours) i.e. diseases caused by mercury or its compounds.

- Diseases caused by physical hazards (noise, illumination, temperature, ionizing and non-ionizing radiation) i.e. hand-arm vibration syndrome.
- Diseases attributed to exposure to biological agents (these hazards include bacteria, viruses, fungi)
- Illnesses arising from exposure to ergonomic hazards and occupational musculoskeletal disorders i.e. carpal tunnel syndrome due to extended periods of repetitive movements
- Occupational cancer i.e. cancer caused by crystalline silica, occupational asthma and occupational dermatitis

5. Classification of incidents as UNOPS or Non-UNOPS

The classification of whether an incident is a UNOPS incident or not is determined based on the **managerial control** of the site and operations. If UNOPS has direct control over the site and operations then the incident will be a reportable UNOPS incident. For sites and operations where UNOPS only has influence, however, the incident might be reportable but will not be recorded as an HSSE incident.

Examples of UNOPS incidents

- Incidents at sites or premises directly associated with projects such as warehouses, borrow pits, quarries and waste management facilities that are being used exclusively to support UNOPS work
- Incidents at UNOPS accommodation and in places where UNOPS provides accommodation
- Incidents that occur during the execution of a UNOPS work activity
- UNOPS directly managed personnel/ partner personnel with UNOPS contracts
- Incidents that occur involving contractors at UNOPS sites or premises whose activities are directly contributing to UNOPS projects or offices

Examples of Non UNOPS incidents

- Incidents at sites or premises where UNOPS does not have direct control of the site and operations
- Occurrences at private accommodation
- Occurrence during travel from home to normal place of work
- Deviation from normal route for non-official purposes while using site mobile equipment (e.g. excavators and loaders or ordinary vehicles)

5.1 Classification of UNOPS and Non-UNOPS incidents on a case by case basis

A case by case determination of whether the incident is a UNOPS incident or non-UNOPS incident shall be made depending on the circumstances surrounding the incident and the incident investigation process. Some case by case would include;

- If the associated sites or facilities are not exclusively for UNOPS but are shared with other users
- In instances where incidents occur at associated facilities (third party facilities or operations) that could not be reasonably expected to be under UNOPS control
- Incidents that have occurred outside the stipulated work hours without prior authorisation to site access
- Instances where it is clear that an incident occurred due to failure to adhere to laid down safety measures and procedures and where the health and safety rules have been ignored
- Contractor operations that are not exclusive to UNOPS
- Incidents involving non-UNOPS personnel or Contractors at UNOPS sites and premises

6. Security vs. HSSE incidents

- Road traffic Accidents on official duty for UNOPS personnel and contractors are both reportable incidents although reported through different channels.
- RTA involving UNOPS personnel is categorised as a security incident and not an HSSE incident therefore all RTAs involving UNOPS personnel should be reported under the Security Management System (SMS)
- RTA involving UNOPS contractors is categorised an HSSE incident and should be reported to HSSE and follow the HSSE requirements on Incident Investigation


** Road safety is currently listed under mandatory UN security policies and instructions that are applied across the UN through UNDSS. They only apply to UN personnel, not contractor operations. To avoid double reporting, offices/personnel UNOPS personnel related RTAs should only be reported to Security. However, UNDSS and UN security activities do not extend to contractor activities and project sites therefore, project/contractor incidents are reported to and managed by HSSE.*



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Reviewer	
Location being reviewed	
Area Representative	
Date	

[illegible]

				Health, Safety, Social and Environmental (HSSE) Internal review (audit) - HSE16								
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				Reviewer								
				Location being reviewed								
				Area Representative								
Date												
Clause		Description	Requirements	Findings	Significance: Major Non-conformity / Minor Non-conformity / Observation	Root Cause Analysis	Corrective Action Required	By Whom	By When	Progress	Supporting Evidence	Relevant templates
9.3	9.3	Management review	Review of performance, communication, previous audits,									HSE15
10.1,	10.1,	Continous improvement	Evidence of continous improvement of the system.									

NOTES:
Clauses in red are to be audited at HQ location only.
The following should be considered when planning the internal review:

- the size of operations
- the criticalities highlighted in previous audits/reviews
- the environmental importance of the processes carried out at the location
- the health and safety risks of the processes carried out at the location
- any changes affecting the local processes

Contracts for Works Guidance Note

HSSE Breaches

Construction Contract for Major Works

This guidance note has information on the main obligations and authority of the Parties pertaining to health, safety, social and environment (HSSE) related requirements as per the General Conditions of the Contract and does not include internal UNOPS policy requirements. This guidance note discusses the different approaches that can be taken towards managing the issues such as record keeping and documentation, Personnel and Subcontractor management as well as Site processes that lead to HSSE related breaches.

DETAILS	REFERENCES
OBLIGATIONS ON THE CONTRACTOR	
<p>The Contractor</p> <ul style="list-style-type: none"> is responsible for the safety of the Site, and all facilities off Site used for the purposes of the works, and for the safety of all persons entitled to be on it (personnel of the Contractor, Subcontractors, Employer, Engineer and others). Consequently the Contractor may insist that any Employer's Personnel and others entitled to be on Site undertake Site safety inductions or requirements etc before inspecting parts of the Site. 	<p>Sub- Clauses 4.1 (c), 4.7(b) (iv) and 6.7 (a)</p>
<ul style="list-style-type: none"> must obey all Laws of the Authorities, including those for safe operations, licences, accredited personnel etc and comply with all the requirements stated in the Schedule 3.2 E [<i>Health and Safety Requirements</i>] and requirements for protection of the environment and Schedule 3.2 [<i>Specifications</i>] as a minimum. 	<p>Sub-Clauses 1.12, 6.7 (a), 4.7 (b) and 4.20</p>
<ul style="list-style-type: none"> has general obligations to keep the Site safe, tidy, and have a system to manage it. 	<p>Sub- Clause 4.1 (c)</p>
<ul style="list-style-type: none"> must have a fully documented Health and Safety Management Plan which must comply with all the requirements of the Contract, in particular Sub-Clause 4.7 [<i>Health and Safety Procedures</i>] and Clause 6 [<i>Staff and Labour</i>], and follow the plan. 	<p>Sub-Clauses 4.7 (a) and 4.7 (b)</p>
<ul style="list-style-type: none"> must provide documented details of arrangement and methods for all work, for the information of the Engineer, prior to undertaking the work. 	<p>Sub-Clauses 4.1 (d)</p>

<ul style="list-style-type: none"> must provide appropriately skilled personnel to manage the Site and the works. The Engineer has the power to accept or reject any of the Contractor's Key Personnel replacement or appointment and the right to require the Contractor to remove persons not complying to criteria in Sub-Clause 6.9 [<i>Contractor's Personnel</i>]. 	Sub-Clauses 6.9 (a) and 6.9 (c)
<ul style="list-style-type: none"> must appoint a qualified health and safety officer and delegate sufficient powers for that person to take protective measures to prevent accidents. 	Sub-Clause 6.7 (d)
<ul style="list-style-type: none"> must provide reports of all HSSE incidents within 24 hours of its occurrence. 	Sub-Clause 4.7 (i)
<ul style="list-style-type: none"> must take out insurances, in joint names of Employer and Contractor, as stated in relevant Schedule. There are consequences for not doing so. 	Clause 18
Full details of all HSSE obligations can be referred to in Clauses 1 [<i>General Provisions</i>], Clause 4 [<i>The Contractor</i>] and Clause 6 [<i>Staff and Labour</i>] of the General Conditions, and the relevant Schedules.	
OBLIGATIONS AND POWERS OF THE EMPLOYER AND ENGINEER	
<ul style="list-style-type: none"> The Employer, Engineer and all Employer's Personnel working on Contract administration and management have a duty of care to take action as appropriate in any situation which is unsafe. This is notwithstanding the fact that the Contractor is principally responsible for safety on the Site. 	UN and UNOPS policy. Sub-Clause 4.7 (g)
<ul style="list-style-type: none"> As the formal supervisor of the contract, the Engineer has the principal role in monitoring and controlling the activities of the Contractor. 	Sub-Clauses 3.1(a) and 3.3 (a)
<ul style="list-style-type: none"> All the Employer's Personnel must comply with the safety and environmental requirements of the Site, as established by the Contractor. This means that all Employer's Personnel must undertake any Site safety inductions and comply with requirements (eg wear appropriate personal protective equipment (PPE)) established by the Contractor before inspecting parts of the Site. 	Sub-Clause 2.3
<ul style="list-style-type: none"> The Engineer can cause to be removed from the Site any person including management staff, who fail to perform in a safe or competent manner or whose conduct are prejudicial to safety (note that the sub-clause requires this to be the opinion of the Employer). 	Sub-Clause 6.9 (c)
<ul style="list-style-type: none"> The Engineer can issue instructions for the safe conduct of the works at any time. This also applies to anyone delegated to do so by the Engineer. The Contractor must comply with the instructions. 	Sub-Clause 3.3
<ul style="list-style-type: none"> Instructions must be written, however in the case of urgent safety matters, they can be verbal initially but must be confirmed in writing later 	Sub-Clause 3.3 (c).
<ul style="list-style-type: none"> The Engineer can suspend part or all of the works if the Contractor is in breach of 	Sub-Clause 4.7 (f)

its HSSE obligations. The corrective actions, and outcome of the suspension are at the Contractor's risk and cost.	Sub-Clause 8.8
<ul style="list-style-type: none"> In the event of an imminent risk on Site, the Employer's Personnel (which includes the Engineer and personnel delegated by the Employer) may orally instruct the Contractor to suspend part or all of the works, provided the instruction is confirmed by the Engineer in writing within 48 hours. Personnel who are not part of the Engineer's team, should be very careful in using this power, as there can be significant repercussions of such action - better to bring the matter to the attention of one of the Engineer's team who can issue the instruction. 	Sub-Clause 4.7 (g)
<ul style="list-style-type: none"> If the Contractor continues to fail to comply with its HSSE obligations under the contract, the Engineer may issue a Health and Safety Improvement Notice to the Contractor. This is a formal Notice issued under Clause 15 [<i>Termination by Employer</i>] (which must be quoted in the Notice) and which can lead to termination of the Contract. It should be a last resort. <p>For full understanding of the obligations and powers refer to the General Conditions.</p>	Sub-Clauses 4.7 (d) and 15.1
APPROACH TO ISSUES AND BREACH OF OBLIGATIONS	
<p>First of all, in some countries and contexts there is a government labour and industry department which regulates matters to do with safety on worksites. Usually their inspectors have significant powers to stop work, ban operators and the like. Their powers usually override those of the Employer's Personnel under a Works contract. Note that the Contractor must comply with all Laws, so is obliged to comply with instructions issued by these inspectors.</p> <p>Quite often an HSSE issue can start small, but progressively become worse, more frequent, or more severe. The approach would be to escalate the response if this occurs. The Contract allows different courses of action for this and that is the expectation from the Contractor too. Despite the requirements, the Contractor's Personnel on Site might not be fully aware of all the requirements, which are quite extensive. Minor issues should at first be raised at the regular Site meetings (often there is a separate meeting for HSSE matters). If this doesn't work, then some direct action could follow.</p> <p>Risk: Note that the onus of proof is often with the Employer so they need to be sure that they have the facts right before taking severe actions - taking unfounded action would lead to a Claim from the Contractor, as well as sour relationships impacting the work.</p>	Sub-Clause 1.12
ACTIONS TO BE TAKEN FOR HSSE RELATED DOCUMENTATION ISSUES	

<p>It is often difficult to get all the contractually required documentation from the Contractor, whether that entails action plans, evidence of licences (for operators) and permits (dangerous goods, explosives, environmental clearances), reports on accidents and incidents etc. This includes mandatory incident reports. Sometimes, incomplete drafts are provided, and the Contractor wishes to commence work on that basis: some judgement is required by the Engineer in considering such a request - it is a matter of risk.</p>	<p>Sub-Clause 4.19, Sub-Clause 4.7(i)</p>
<ul style="list-style-type: none"> Operators of most large machines and plant must be trained and accredited/licenced. If the Contractor cannot demonstrate this for any operator, then that person can be not permitted to operate the plant until such time as the licence is produced. 	<p>Sub-Clause 6.9, Sub -Clause 4.16</p>
<ul style="list-style-type: none"> Most reports and statistics form part of the Contractor's monthly Progress Report. If this is not provided, then the Employer may withhold any payment to the Contractor until the details are provided. The Engineer can make the point at a Site meeting, and refer any suggested non-payment to the Employer. 	<p>Sub-Clause 4.19 and 4.19 (e)</p>
<ul style="list-style-type: none"> For any HSSE documentation not supplied, the Engineer can suggest to the Contractor that the health and safety officer is not performing competently and unless things improve, the Engineer will instruct replacement of the officer. This should be done in writing. The second stage, if the health and safety officer doesn't improve in performance of their obligations, is to instruct replacement of the officer. Until the replacement is on board, the Contractor's Representative will be responsible for the HSSE matters and will have to attend the regular HSSE meetings etc. 	<p>Sub-Clause 6.7 (d) and 6.9 (c)</p>
<ul style="list-style-type: none"> The Contractor is obliged to provide details of arrangements and methods which the Contractor proposes to adopt for the execution of the works, before any work is commenced. If no such details are provided, or the Engineer considers them to be inadequate, then the Engineer can instruct the Contractor to hold off the work until the corrected documentation is provided. This is a fairly severe position to take, but if the proposed work is dangerous or risky, then it should be taken. For example, digging a deep trench across a road under traffic to install a pipe: the documentation would need to address all aspects of the stability of the trench (shoring) plus traffic control systems. 	<p>Sub-Clause 4.1(d)</p>
<ul style="list-style-type: none"> If the Contractor continues to fail to provide adequate documentation, and removal and replacement of the health and safety officer hasn't improved matters, then the Engineer can issue a Health and Safety Improvement Notice. This is issued under Sub- Clause 15.1[<i>Notice to Correct</i>], and failure to comply can lead to termination of the Contract. It is a very serious step, and should not be taken lightly. There are no specific requirements for the details to be incorporated in the Notice to Correct, however this notice should be carefully drafted and 	<p>Sub-Clause 4.7 (d), Sub-Clause 15.1</p>

- Refer to itself as a Notice pursuant to Sub-Clause 15.1
- Provide details of the non-compliance with the Contract, with reference to the specific Sub-clauses involved. Provide the recent history if appropriate
- Give the Contractor a (reasonable) time to correct the non-conformances.

ACTIONS TO BE TAKEN FOR HSSE ISSUES RELATED TO PERSONNEL AND SUBCONTRACTORS

- | | |
|--|---|
| <ul style="list-style-type: none"> ● Contractor's Personnel or Subcontractors or their personnel, might act unsafely or ignore contractual requirements. In the first instance, in most cases, they should be given a verbal or written warning through the Contractor's Representative who is responsible for the personnel and Subcontractors. Continued unsafe practices would lead to a Notice to the contractor advising the name of the person(s) and the details of the default (try to reference it to one of the items listed in Sub-Clause 6.9 (b) or 6.9 (c) [<i>Contractor's Personnel</i>]. (including the requirements in Schedule 3.8 [<i>Key Personnel Requirements</i>]). The Notice should state that further default will lead to action to remove the person(s). Again, the third step is to use that Sub-Clause to remove the person(s). | Sub-Clause 6.9.a,
Sub-Clause 6.9 (c),
Schedule 3.8 [<i>Key Personnel Requirements</i>]. |
| <ul style="list-style-type: none"> ● Another option is to indicate the possibility of removal of the Contractor's Representative, as not being in control of the whole Works. The removal of the Contractor's Representative would be by the Employer according to Sub- Clause 6.9 (c) [<i>Contractor's Personnel</i>], and this should be done with the previous warning. | Sub-Clauses 4.3,
6.9 (b) and 6.9 (c) |
| <ul style="list-style-type: none"> ● There are a number of defaults which would lead to immediate dismissal from the Site. These include <ul style="list-style-type: none"> ○ Being under the influence of alcohol or drugs while working ○ Falsification of documentation, including fake licenses, falsification of reports ○ Carrying arms and/or ammunition on the Site, unless aut to do so (for example security personnel) ○ being in breach of Sub-Clauses related to <i>Mines, Official Not To Benefit, Corruption and Fraud, Fundamental Principles and Rights at work, Child Labour, Sexual Exploitation</i>. These items are listed in Sub-Clause 15.2 [<i>Termination by Employer</i>] as leading to immediate termination of the Contract, however if a single person or a Subcontractor was found to be alone in such a breach, efforts should be taken to remove only that person(s) or Subcontractor rather than terminating the Contract. <p>Risk: The Employer needs to be very sure of the facts before taking this immediate action. It usually involves a face to face meeting with the Contractor's Representative as the first step: sometimes the Contractor might take the action to remove the person. Nevertheless, the breach should be documented.</p> | Sub-Clause 6.13,
6.14. 6.16, 4.26,
6.17, 6.18, 15.2 |

ACTIONS TO BE TAKEN FOR HSSE ISSUES RELATED TO SITE PROCESSES

<ul style="list-style-type: none"> If an activity, or planned activity, is unsafe and poses risk to people, then it must be stopped or suspended by an instruction. The unsafe activity itself should be stopped, not necessarily all the work around it. For example, an excavator working under power lines should be stopped, but maybe not all the earthworks nearby which are not under the power wires. Or someone working at height without the correct harness, fencing or whatever can be stopped, but not the rest of the (safe) building work on the ground. This can be done by simple instruction, stating the unsafe activity. 	Sub-Clause 6.7(a), Sub-Clause 4.7(f)
<ul style="list-style-type: none"> If there are multiple safety issues associated with an activity, then the whole activity should be suspended. Provide details of the default by reference to Sub-Clause 8.8 (a) which makes it clear that the suspension is at the Contractor's risk and cost. 	Sub-Clauses 8.8 (a), 4.9 (f),
<ul style="list-style-type: none"> If the safety issue continues, or repeats, then the matter is more serious, and the Engineer can issue a Health and Safety Improvement Notice. This is a form of Notice to Correct issued under Clause 15.1[<i>Notice to Correct</i>], which will provide the direction to the Contractor of what must be done, and by when. There are no specific requirements for the details to be incorporated in the Notice to Correct , however this notice should be carefully drafted and <ul style="list-style-type: none"> Refer to itself as a Notice to Correct pursuant to Sub-Clause 15.1 Provide details of the non-compliance with the Contract, with reference to the specific sub-clauses involved. Provide the recent history if appropriate Give the Contractor a (reasonable) time to correct the non-conformances 	Sub-Clause 4.7 (d) and 15.1
<ul style="list-style-type: none"> Failure of the Contractor to comply with the Health and Safety Improvement Notice can lead to termination of the contract by the Employer. <p>Risk: This will need the agreement of the Employer, as the Engineer does not have the power to terminate the Contract but does have the power to issue the Notice. This is a serious matter, and would normally only be taken after meeting with the Contractor/Contractors Representative and the Employer to discuss the Contractor's failings.</p>	Sub-Clause 15.2 (a) (i)