

# Health & Safety Management System Handbook

Version 2

2015

This handbook was prepared by United Nations Office for Project Services (UNOPS) Sustainable Infrastructure Practice Group (SIPG).

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The Handbook is a living document and is intended to be a tool for learning and improving the quality of Health and Safety management in infrastructure projects. Please send comments on this document, highlighting gaps, omissions and areas that need more development to [Infrastructure@unops.org](mailto:Infrastructure@unops.org) or to [ItaiM@unops.org](mailto:ItaiM@unops.org).

# HEALTH & SAFETY MANAGEMENT SYSTEM HANDBOOK

Version 2

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UNOPS Sustainable Infrastructure Practice Group

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## List of Acronyms and Abbreviations Used

<b>AI</b>	Administrative Instruction
<b>COSHH</b>	Control of Substances Hazardous to Health
<b>EMS</b>	Environmental Management System
<b>EMP</b>	Environmental Management Plan
<b>EA</b>	Environmental Assessment
<b>EIA</b>	Environmental Impact Assessment
<b>ES</b>	Environmental Screening
<b>ESIA</b>	Environmental & Social Impact Assessment
<b>HSE</b>	Health, Safety & Environment
<b>HS</b>	Health and Safety
<b>OD</b>	Organizational Directive
<b>PM</b>	Project Manager
<b>PPE</b>	Personal Protective Equipment
<b>RAMS</b>	Risk Assessment and Method Statement
<b>SHEQ</b>	Safety, Health, Environment & Quality
<b>SMP</b>	Safety Management Plan
<b>SWL</b>	Safe Working Load
<b>SIPG</b>	Sustainable Infrastructure Practice Group
<b>TOR</b>	Terms of Reference
<b>UN</b>	United Nations
<b>UNOPS</b>	United Nations Office for Project Services

## Table of Contents

### Contents

List of Acronyms and Abbreviations Used .....	4
Table of Contents.....	5
Preface .....	7
UNOPS Site Health and Safety Plan .....	8
1. UNOPS Health & Safety (HS) Policy .....	9
2. Scope of the Health and Safety System (HS) .....	9
3. HS Objectives, Targets & Action Plan .....	10
4. HS Responsibilities .....	12
4.1. HS Responsibilities for all employees .....	12
5. Process.....	16
5.1. Overview .....	16
5.2. Process .....	16
6. Hazard Identification, Risk Assessment determining controls.....	17
7. Incident Investigation .....	19
7.1. Investigation Process .....	19
7.2. Incident Classification.....	20
8. Nonconformities, corrective actions and preventative actions.....	21
9. Permit to work .....	22
10. Inspections .....	23
11. Project Compliance Monitoring .....	25
12. HS Internal Audit .....	26
13. HS System Review .....	27
14. Project Closure .....	28
15. Access Control and Site Rules .....	28
16. Legal and other requirements .....	28
16.1. Legal and other requirements as a minimum .....	28

16.2.	Maintaining the HS System.....	29
16.3.	Communicating Legal and other requirements .....	29
17.	Training.....	29
18.	Communication and Participation.....	32
19.	Emergency preparedness and response.....	33
20.	Control of Documentation and records.....	33
21.	Operational Controls .....	35
22.	Performance measurement and monitoring.....	35
23.	Evaluation for compliance .....	36
24.	Contractor management.....	36
25.	Plans for offices.....	36
26.	Copies of templates, guidelines and tool box talks .....	37

## Preface

This version (version 2.1) contains an update of the HS procedures which includes an improvement in addressing training, legal and other requirements and the approach to management reviews .

The purpose of the Handbook is to ensure that all health and safety impacts of a project within UNOPS control and influence have been considered and addressed throughout the lifecycle of the intervention. The process allows for the identification issues during the early stages so that they can be managed in a coherent, effective and efficient manner.

The templates, guidelines and toolbox talks put in the previous version of the handbook were removed so that users keep up with the latest versions of the templates on the intranet.

We hope the handbook will be utilized regularly by the project management and other stakeholders, the UNOPS SIPG will also be regularly revisiting the report. As a result of lessons learned in the field and from our partners, we will continue to build upon this living document and ensure that best practices can become even better.

### Version 2

This version has updates on the definition of scope, emergency procedure and procedure for issues to consider in the management review.

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V 1.0	28-3-2014	Itai Mukuvari
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# **UNOPS Site Health and Safety Plan**



## 1. UNOPS Health & Safety (HS) Policy

The UNOPS HS policy gives the overall direction of how HS issues are treated in UNOPS. The appendix has a copy of the UNOPS Health and Safety policy. The policy has been authorized as Organisational Directive 42 (OD 42) by the Executive Director of UNOPS. The policy is available on the UNOPS intranet so that all personnel in infrastructure operations are able to easily refer to it. A review of the policy shall occur every two years.

## 2. Scope of the Health and Safety System (HS)

The scope of the UNOPS HS System is: The provision of implementation services for the planning, design and construction management of physical infrastructure projects to partners working in peacebuilding, humanitarian and development operations.

For the purposes of this standard, UNOPS 'Organization' refers to the Sustainable Infrastructure Practice Group (SIPG) and all UNOPS supervised infrastructure operations falling under the regional, country and project levels of management. It includes office operations for infrastructure project portfolios but does not refer to UNOPS departments for Administration, Procurement and Project Management. It also does not refer to any services that have no infrastructure component. As of January 2015, the operations that were under the OHSAS 18 001 certification were UNOPS Denmark, Jerusalem and Pristina.

### Summary of UNOPS HS Policy

The UNOPS SIPG endeavours to design and implement infrastructure projects in a manner that ensures that reasonable measures are taken to prevent personal injuries, illnesses and damage to property.

UNOPS infrastructure operations also seek to maintain the occupational health, safety and welfare of all individuals involved in infrastructure projects, including UNOPS employees, partners and contractors.

This policy mandates that infrastructure projects shall create and maintain a safe and healthy working environment and complies with health and safety legislations. Therefore, major hazards and risk shall be identified and reasonable measures should be taken to eliminate them.

Health and safety performance should be monitored and the management system (including procedures, guidelines and tools) should be reviewed to continuously improve both. Additionally a safe working culture should be promoted through training and awareness-raising activities.

## HS in the project cycle

Considerations for HS shall start when new projects are being considered. In the LEADS system, at the lead generation stage, the project developer is required to determine whether the project is part of the Physical Infrastructure Practice.

If the project contains elements of Physical Infrastructure, the procedures associated with the implementation of the EMS and the HS systems apply. The project developers shall then move to the next stage and complete the Environmental Screening (ES). This process will also include an initial assessment of HS risks.

All infrastructure projects shall develop HS plans during project initiation along with Implementation and Environmental Management Plans (EMP). HS considerations shall be included in the design process of infrastructure through the guidance given in the design manual. This guidance includes considerations for HS during construction, as well as for the post-construction use of the infrastructure.

## 3. HS Objectives, Targets & Action Plan

### **Setting of objectives, targets and plans**

HS objectives and targets, which are measurable and practical, shall be set at the beginning of the year in order to ensure that UNOPS meets the commitments in the HS policy, requirements of the UN system and any other relevant requirements and the commitment to continuously improve. Objectives and targets for infrastructure operations shall also plan to meet legal and other requirements of the location. Objectives and targets shall be set at corporate level to cover the whole HS programme. Objectives and targets shall also be set at country/site level to cover activities in particular countries. Currently the setting of objectives is at these two levels however, more levels may be required to set objectives in future.

### **Objectives should be consistent with the HS policy and should address changes**

Objectives and targets should be consistent with the HS policy (OD 42) which includes the intent of avoiding injuries and illnesses, meeting legal and other requirements and ensuring that continuous improvement happens. Objectives and targets should also be set in order to address HS risks. It is important that objectives and targets remain relevant to changes in the operations. Therefore consideration should be given to Technological, financial, operational and stakeholder (Interested party) issues.

## **Program to address Objectives and Targets**

Specific action plan(s) shall be put in place to address the Objectives and Targets. Responsibility and a timeline shall be assigned to each action point. There shall also be a means of periodically measuring progress. Quarterly review progress on Objectives, Targets and Action plans is recommended. Current objects and targets shall be displayed on the HS and E website on the intranet.

## 4. HS Responsibilities

The HS policy defines Responsibilities and accountabilities for key players in the UNOPS HS program. More information about these responsibilities is given below.

### 4.1. HS Responsibilities for all employees

All UNOPS employees have a responsibility to work in a way that results in no harm being done to themselves or to others in the work place. All employees are responsible for:

- stopping work if they identify anything that could cause harm to person or environment;
- identifying, reporting and eliminating (to the extent allowed within their authority and ability) hazards to health and safety;
- reporting any occupational health and safety incidents;
- assisting in incident investigations;
- contributing to attitudes and behaviours that promote good workplace HS; and
- complying with the UNOPS policies, relevant legislations and the Project Health & Safety Plan.

In addition, the following roles have been identified as having specific responsibilities:

- Executive Director;
- SIPG Director;
- Regional Director;
- HSE Manager;
- Head of Construction Management;
- Head of Planning and Design ;
- Regional Infrastructure Lead;
- Project Developer;
- Project Manager;
- SHEQ Taskforce; and the

#### Executive Director

The Executive Director holds the ultimate responsibility for HS compliance in UNOPS. He/she carries out his/her responsibility by setting the policy direction required for the HS programme. The Executive Director also ensures that the HS programme works by making adequate resources available and delegating appropriate authority to the programme.

### **SIPG Director**

The Executive Director shall delegate the authority to the SIPG Director to put in place the necessary arrangements, technical advice and oversight required to implement the HS programme. The SIPG Director is the member of senior management responsible for the HS system. The Director SIPG remains accountable for the HS system and performance but delegates responsibility of the development and implementation of the HS system to the HSE Manager. The HSE manager is also responsible for representing the organisation in Health, Safety and Environment matters including in audit processes. As part of his responsibility the SIPG Director shall ensure that HSE operations are adequately resourced. The provision of resources shall include adequate levels of human resources, financial resources, and any specialized skills and technology that may be required.

### **Regional Director**

The Regional Directors are responsible for the implementation of the UNOPS HS programme in their regions. Additionally, they shall ensure that the HS system is implemented in the different country offices where infrastructure projects are carried out that fall under their regional portfolio.

### **HSE Manager**

The HSE Manager holds an overall responsibility for implementation of the HS System. The system will comply with the requirements of the OHSAS 18001 standards and he/she shall:

- ensure that the HS policy is regularly reviewed and communicated both internally and externally;
- prepare the system for and assist in the carrying-out internal and external audits;
- ensure that audit schedules are in place for country offices;
- ensure that the training schedule is prepared and arrange training courses as required;
- ensure that the HS system objectives and targets are set, monitored, reviewed and kept up-to-date;
- collate feedback on the HS system (documents, procedures), review them and implement improvements;
- collate information regarding the HS performance of the regions/offices, analyse trends and propose necessary actions For improvement;
- collect information on HS incidents and ensure that preventative actions are completed;
- facilitate the sharing of information about incidents and best practice across the organisation; and

- arrange and participate in the management system reviews. The HSE manager shall ensure that the Management Review meetings inform senior management of the overall performance of the HS system and that the meeting is used as a means of continuous improvement.

### **Head of Construction Management**

The Head of Construction Management is responsible for ensuring that HS is adequately considered in construction management by offering relevant technical advice and oversight.

### **Head of Planning and Design**

She/he is responsible for ensuring that infrastructure planning and design processes adequately consider HS. He/she should give technical guidance and provide tools that field operations will use in the planning and designing process of infrastructure works.

### **Regional Infrastructure Lead**

The Regional Infrastructure Lead shall provide technical advice on HS matters and assist field teams in their access to the available HS resources.

### **Project Developer**

The main responsibility of the Project Developer is to ensure that HS considerations are included in development of the project and that relevant parties (UNOPS, Donor, Beneficiary) are aware of the potential HS risks. This includes:

- identifying the major HS issues and the means of mitigating them so that they are clearly indicated in the proposals and legal agreements; and
- putting an adequate budgetary provision in the proposals to allow the project to properly address HS issues.

### **Project Manager**

The Project Manager (PM) holds the ultimate responsibility and accountability for the HS performance of the project. In this regard, the PM shall ensure the:

- preparation of the Safety Management Plan (SMP) for the project;
- communication of the information and requirements of HS to the consultants and contractors;

- communication, co-operation and co-ordination between employees, contractors and other stakeholders with respect to the environmental issues;
- liaison with design team (if applicable), in terms of the HS compliance;
- appointment of HSE Site Coordinator and other staff with environmental responsibilities as necessary;
- monthly reporting of HS performance to the HSE Coordinator; and that
- following an incident, remedial actions are completed and investigative reports are passed on to the HSE manager.

The PM shall also act as a main contact point with local authorities and ensure that any required licences, consents and other authorisations are signed and secured.

### **Safety, Health, Environment & Quality (SHEQ) Task Force**

A SHEQ Task Force will be created on each site. At a minimum, it shall consist of the relevant representatives of the site management, employees and the contractor.

The role of the SHEQ Task Force will be to review the health, safety, environmental and quality practices and make recommendations to improve performance on-site, and ultimately system-wide.

The SHEQ Task Force will conduct the regular meetings that will be documented and archived.

## 5. Process

### 5.1. Overview

The purpose of the process is to ensure that all HS risks of the project that are within UNOPS control and influence have been considered and addressed throughout the project's lifecycle. It will assist stakeholders in identifying HS risks and in placing controls at various stages so that the risks can be managed in a coherent, effective and efficient manner.

### 5.2. Process

The below table outlines how the HS system aligns with the project management cycle. For details on the steps in the project management cycle, kindly refer to the instructions and supporting guidance issued by the Project Management Practice Group.

#	Key Step	Responsible	Approver	Consulted	Templates/Tools	RR*
1	Lead Generation:	Developer	HSE Mgr			
2	Pre-Engagement: <ul style="list-style-type: none"> <li>Identify key HS hazards, risks and potential controls.</li> <li>Prepare basic HS Plan, including a budget, in the proposal.</li> </ul>	Developer/ Project Officer	HSE Mgr		Templates: Risk Assessment, HS Plan	*
3	Initiation: <ul style="list-style-type: none"> <li>Prepare a detailed HS Risk Assessments of all the major activities and sites, including controls. Prepare an HS Plan and include it at various stages, such as in invitations to tender documents, pre-bid meetings, in contracts and in the Bill of Quantities.</li> <li>Inclusion of HS considerations in designs by guiding the designer to utilize the UNOPS design Manual for HS considerations. The resulting design should go through design review.</li> </ul>	PM  PM	  Head of Design	HSE Mgr  Head of Design	Templates: Risk Assessment, HS Plan  UNOPS Design Manual	*
4	Initiation: Initial check for compliance soon after mobilization on-site includes: <ul style="list-style-type: none"> <li>checking the HS plan (of contractor if using contractor);</li> <li>checking equipment;</li> <li>checking personnel competence;</li> <li>checking site set-up; and</li> <li>ensuring HS compliance.</li> </ul>	PM		HSE Coord		*
5	Subsequent Stages: Conduct weekly site inspections	PM/ Project engineers		HSE Coord	Templates: HSE Inspection Form	*
6	Subsequent stages: Monitoring performance via monthly reports	Contractor & PM, HSE Site Coord			Templates: HSE Monthly Report	*
7	Subsequent stages: Conduct an internal review/audit of project's HSE performance.	HSE Mgr			Templates: HSE review/audit template	*



#	Key Step	Responsible	Approver	Consulted	Templates/Tools	RR*
8	Project Closure: In project's closure documents provide an overview of the HS performance, key issues and lessons learned.	PM				

The '\*' indicates that resulting records (RR) must be kept for audit purposes.

## 6. Hazard Identification, Risk Assessment determining controls

The UNOPS HS management system is set to address HS risks. Therefore, in order to prioritise higher risks, there must be a way of determining their magnitude (high, medium or low). This will allow UNOPS to ensure that addressing higher risks is prioritised. The Hazard Identification and Risk Assessment (HIRA) process helps UNOPS operations to proactively manage HS risks. The process will lead to the recording of HIRA assessments showing the necessary controls in order to guide all people who work at or access UNOPS infrastructure operations. Therefore, if the process is done properly controls will be put in place which will prevent unwanted occurrences before they happen. Therefore, the timing of the HIRA process and what is covered by the HIRA process shall ensure proactive rather than reactive management of risks. The results of the HIRA process including the determination of adequate controls should be documented and kept up-to-date.

A *hazard* is anything that can cause harm. A *risk* is the combination of the likelihood (probability) that an unwanted result may occur due to the hazard and its consequences (extent of harm).

### 6.1 Aspects to consider when doing HIRA

Identify hazards by considering the key activities and listing the different tasks.

In doing HIRA and determining controls UNOPS teams shall consider:

- i. The work environment including the infrastructure, equipment/machinery and materials. This includes items provided by non-UNOPS parties. In addition, this shall include the design of work areas, processes, installations, machinery/equipment, operating procedures and work organization, and adaption of such processes to human capabilities.
- ii. Both routine and non-routine conditions and special conditions. Some of the major unwanted events related to HS have occurred because inadequate controls were put in place to cover non-routine or special conditions. Therefore risk assessment must also include routine and non-routine conditions such as bad weather, temporary work and emergencies.
- iii. All people with access to the site: It is also important to assess the risk in terms of all people with access to the site e.g. contractors, suppliers, members of the community and UNOPS employees. They may also be hazards that come from outside the workplace or from outside the work processes including hazards near the workplace which have a

potential to cause harm to people under UNOPS control and influence. All these hazards should also be considered.

- iv. The capability and behaviour of personnel and any other human factors,
- v. The potential risk from hazards coming from outside the workplace but with potential to influence the health and safety of personnel under the control or influence of UNOPS.
- vi. Hazards that are introduced to the surroundings of the workplace due to work-related activities. Many of these hazards may be managed through the Environmental Management system.
- vii. Changes in UNOPS operations, activities or materials.
- viii. Changes to the UNOPS HS management system, and how these changes impact operations, processes and activities. This includes temporary changes.
- ix. Any legal obligations or other requirements requiring specific risk assessments and control to be in place.

### **Consider changes, equipment and infrastructure and legal requirements**

Equipment and infrastructure may cause harm to personnel and should be assessed to ensure that adequate controls are put in place. This includes equipment and infrastructure provided by UNOPS or brought in by other parties such as contractors. There may also be new hazards introduced by changes or proposed changes in UNOPS or in a particular country office or project including changes in the HS management system. In addition, there may be legal and other requirements for the specific project location that specifies that certain risk assessments or controls should be put in place.

The HIRA process and the establishment of the necessary controls will help ensure that the design of work areas, processes and machinery/equipment will minimise the possibility of harm and ill health. The process will also ensure that risks associated changes in infrastructure operations are anticipated and controls are in place to manage HS aspects before problems occur.

### **Use of the HIRA form HS09**

To assess risk UNOPS uses the [Form HS09](#). This form guides the person doing HIRA to identify, prioritise and record risks and to also record the appropriate controls.

## 7. Incident Investigation

### Purpose of investigations

The purpose of an incident investigation is for the project and the organisation to learn from unwanted events so that future recurrence is avoided. Incident investigation shall establish the underlying HS shortcomings and any other factors leading to HS incidents. This should lead to the identification of preventative and corrective actions and opportunities for continuous improvement. The results of an investigation shall be documented and the records maintained. The results shall also be communicated to people affected by the issues raised. Opportunities should also be sought to share learning points with other UNOPS operations on lessons from incidents.

### Timing of investigations

Investigations should be done as soon as possible to ensure that corrective and preventative actions are not delayed. Doing investigations in a timely manner may also ensure that evidence is collected whilst it is still available and witness accounts are still fresh in memory.

### Corrective and preventative actions

1. **Corrective actions** which address the need to make right the immediate situation or circumstances surrounding an incident (e.g. repair of structures, training of personnel or medical treatment and rehabilitation of the affected). Also actions which address the overall management of the risk to ensure adequate controls are in place (e.g. ensuring adequate supervision, adequate risk assessment process, adequate budgetary provisions, adequate procedures and adequate management oversight).

2. **Preventative actions** which address the need to put in place controls to ensure that incidents do not happen before the incident occurs. For example, trends of deficiencies from weekly inspections may be investigated for underlying causes and actions put in place to prevent potential future incidents.

### 7.1. Investigation Process

The amount of detail and thoroughness of the investigation process depends on the severity of the incident. An incident that has resulted in the death of personnel will be treated in more detail than an incident involving a minor bruise.

**1. Medical attention and making the area safe:** As soon as a report of an incident is received, the first consideration should be to ensure that those involved are safe and receiving medical

attention. At the same time, the incident area should be made safe to avoid additional casualties. It is important that efforts are made to preserve evidence whilst assisting victims and making the area safe. However, saving lives takes precedence over collecting evidence.

**2. Collect evidence:** Collect evidence by taking pictures of the scene and taking any relevant measurements that may help to understand the sequence of events.

**3. Witness accounts:** Separate the witnesses and ask them to write a statement of what happened. If witnesses are not separated, they may start discussing and end up giving a similar, modified account of what happened. When interviewing the witnesses (this may be after the immediate task of stopping work and controlling the site), the investigating team will go through the statement with the witness and then ask follow-up questions to clarify any misunderstandings.

**4. Other evidence:** The investigating team should have collected other evidence, such as training records, inspection records, information from maintenance and/or information from other workmates and any other relevant technical people.

**5. Investigation report:** The results of the investigation must be recorded on [Form HS16](#).

## 7.2. Incident Classification

- **Fatality** - death as a result of accident
- **Major Incident** - major failure of a structure or service (e.g. property damage, service strike)
- **Serious harm injury** - Off-site medical treatment with severe/permanent injury involving lost time
- **Minor harm incident** - On-site First Aid treatment with no lost time
- **High potential near-miss** - Does not result in injury but could have easily resulted in loss of life or serious harm

## Pictures

It is recommended to include pictures that help to show what happened. Asking someone to pose simulating what happened is very useful for this purpose. However, this must only be done when it can be done safely, as it makes little sense to risk repeating the incident again.

## Incident Description

The report includes a description of the incident, the injuries sustained and any property damage.

## Incident causes

There are two types of incident causes:

- **Immediate causes** – These are the unsafe acts or conditions that have caused the incident (e.g. poorly secured working platform, incorrect use of equipment or PPE, uneven floor, trying to save time, etc.); and
- **Secondary (Root) causes** – These refer to the underlying failures that then lead to the immediate cause indicated above. These can include a lack of supervision or improper motivation (e.g. supervisor rewarding unsafe process done to meet production target), improper procurement (e.g. procuring substandard materials), inadequate budgetary provisions or a lack of management support for HS.

## Corrective and preventative action

Corrective and preventative action forms must be filled in. In order to share information and learning points from the incident the project team should prepare an incident highlight report (See [Form HS22](#)).

## 8. Nonconformities, corrective actions and preventative actions

This section deals with actual and potential non-conformances and both corrective and preventative actions.

### Identification and investigation of non-conformances

Non-conformances shall be identified from inspections, incident investigations and audits. Where necessary an investigation shall be carried out to determine the cause of non-conformances. The need for corrective actions shall be evaluated and where actions are required they shall be put in place to ensure that HS consequences do not result from the non-conformances. Corrective actions should be followed up and closed out to ensure that recurrences of the non-conformances are avoided.

### Recording, communication and reviewing effectiveness of actions

Corrective actions and preventative actions shall be recorded on inspection forms, investigation reports and audit corrective action plans. For major incidents form HS 22 shall be used to communicate the incident including the results of action plans. Periodically, effectiveness of

previous corrective and preventative actions should be reviewed to ensure that the actions are appropriate and fit for purpose.

If it is discovered, whilst establishing corrective and preventative actions, that hazards have changed or new hazards have been introduced then the proposed actions shall be risk assessed before implementation.

## 9. Permit to work

Permits to work are a method of controlling the execution of high risk work. They are documents giving an employee or a team the authority to execute high risk work after the authority signing off the form is satisfied that conditions for doing the work safely have been put in place. The person or team who are given the authority to work through the permit have to sign in order to acknowledge that they will do the work under the conditions defined.

The UNOPS HS system has the following permits:

- Excavation [HS14](#)
- Lifting [HS15](#)
- Hot Work [HS13](#)
- Confined Space [HS12](#)

## 10. Inspections

Inspections are important for checking that workplaces are operating in line with the HS system. If no one checks, employees and contractors are less likely to feel compelled to put effort into ensuring that everything is done safely. Inspections should be done by the PM, engineers, site supervisors, contractor supervisors and safety officers. It is good practice to involve a shop floor team leader and/or an employee HS representative.

See the Appendices for guidelines to the following:

GHS01	General Site Rules
GHS02	Lifting
GHS03	Electrics
GHS04	Excavation
GHS05	Fire
GHS06	Noise
GHS07	Scaffolding
GHS08	Underground Services
GHS09	Work at Height
GHS10	Accident/Incident Response
GHS11	Confined Space
GHS12	Site Establishment
GHS13	Welfare Facilities
GHS14	Construction Camp

When doing an HS inspection, consider the following:

- general and welfare (including housekeeping);
- emergency arrangements & response (fire, first aid, MOSS);
- work at height;
- equipment/portable tools/electrical appliances;
- excavation;
- PPE;
- underground and overhead services;
- hazardous materials;
- traffic management;
- Risk Assessment and Method Statement (RAMS); and
- lifting appliances and equipment.

When conducting the HS inspection, the authority should also consider the following environmental concerns:

- waste management and segregation;
- fuel/oil/chemical storage;
- drainage, dewatering, spillage control;
- ecology, archaeology and heritage;
- dust and mud;
- odour and air emissions;
- noise and vibration; and

- community interface.

[Form HS17](#) is designed to help someone to conduct an inspection. The form allows the inspector to record the number of issues noted under each category. A description of each issue observed should be included and it is recommended to include or attach pictures to make the issues clear.

In order to ensure that the issues raised are corrected it is important to assign responsibility for the action required. A categorisation of the priority or urgency of the issues should be indicated on Form HS17. Depending on the urgency, the priority may be set as: immediately; within 24 hours, within three days; or, if more than 3 days are needed, the authority should specify time required. Be sure to use the guidance notes on Form HS17 as they help the inspector to better know what to look for. Additionally, Forms [HS19](#), [HS20](#) and [HS21](#) are checklists for scaffolds, small tools and lifting equipment that can be used for maintaining equipment in good working order.



## 11. Project Compliance Monitoring

All infrastructure projects are subject to both internal and external HS compliance reviews. The project can be reviewed for compliance to the HS System at any time of the project life. Internal and external compliance evaluation is undertaken to verify the compliance of the project with the processes of the HS System and ultimately to ensure that none of the project activities lead to the breaching of relevant HS legislation and/or other requirements.

Evaluation visits will be undertaken by the trained internal reviewers led by the HSE Manager. Additionally, projects may be subject to the external reviews (audits) conducted by the Donor, Beneficiary or other stakeholder.

Results of the monitoring, inspection and evaluation reviews will be forwarded to the UNOPS HSE Manager for review and will be collated and communicated across infrastructure projects for sharing and learning.

## 12. HS Internal Audit

An internal audit of the HS System will be undertaken on an annual basis. The purpose of the audit is to ensure that the HS system is in line with the OHSAS 18 001 standard and also that it is being appropriately maintained. The internal audits also help to check whether the HS management system is performing in line with the HS Policy and objectives. Internal audits will be carried out through peer-review by PMs, designated internal auditors or by the HSE Manager.

### Audit Programme

An audit programme shall be prepared. The programme shall take into account risk assessments and the results of previous audits. The results of audits will be communicated to senior management through the Management review process. In order to guide internal auditors the HSE audit template may be used.

### Responsibility for Internal Audits

The HSE Manager is responsible for preparing the internal audit process and for coordinating internal audits. The HSE manager shall maintain records of internal audits. The sites where the audits are done shall also maintain records of the audit.

The internal audit includes: <sup>1</sup>

- definition of the scope of the HS System;
- policy;
- the legislation and other requirements;
- system objectives and targets - execution of the HS action plan;
- training;
- communication and reporting arrangements;
- operation control;
- project compliance evaluation reviews; and
- emergency preparedness and response.

### Method and Frequency of audits

Internal audits for a site shall be held at least once per year. They shall be carried out by doing a review of the system documentation of the site being audited and verifying compliance to the HS system. There is need to ensure an objective and impartial assessment. This shall be considered when selecting the internal auditors to use and also when conducting the audit.

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<sup>1</sup> A record of the review shall be kept in the system.

## 13. HS System Review

The HS System will be subject to periodic reviews. The management review will be undertaken on an annual basis. The purpose of the management review is to ensure that UNOPS HS system is appropriate and effective in controlling risks and delivering HS performance improvements. The review will look for opportunities to improve the system.

The review shall be arranged by the HSE Manager and attended by a representative group of senior management.

### Considerations

The Management review shall cover the following: <sup>2</sup>

- review of the actions taken following the previous management review;
- review of the HS policy for accuracy and adequacy;
- Changes to objectives and targets;
- review of the HS performance
- Whether objectives and targets were met;
- review of compliance with legislation;
- review of the findings of the internal and external audits, including relevant action plans' implementation;
- Issues arising from participation and consultations, stakeholder communications, complaints raised including claims
- Corrective and preventative actions from incidents and other issues;
- Changing circumstances that have an impact on the programme;
- Recommendations for improvements

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<sup>2</sup> A record of the meeting shall be maintained.

## 14. Project Closure

A final review of the HS performance of the project should be undertaken and clearly recorded in the Project HS Plan. The final review should take place during the project final stage.

The final review of the project's HS performance will allow UNOPS to:

- evaluate the project's performance against objectives and targets set in the initiation stage;
- evaluate project's compliance with the relevant HS legislation;
- ensure that the Donor/Beneficiary requirements, in terms of the HS performance of the project, have been addressed;
- ensure that all HS risks of the project have been addressed;
- identify good HS practices that can be shared across the organisation; and
- identify any lessons learnt that can help to improve overall HS performance of UNOPS projects.

The PM is responsible for undertaking final review of the Project HS Plan.

## 15. Access Control and Site Rules

PMs are required to control access to the construction site in order to reduce the exposure of people to the HS risks. It is important to have site rules to guide all who access the site on what is permitted and what is not. Form HS05 (see Appendix) can be modified to suit the needs of a site and used as site rules.

## 16. Legal and other requirements for legal requirements for Health, Safety and Environment

### 16.1. Legal and other requirements as a minimum

As good practice UNOPS aims to meet or exceed the legal and other requirements of the place where UNOPS operates. UNOPS will influence contractors and partners to, as a minimum, meet the legal and other requirements. However, it should be noted that for UN premises, this intention to be guided by legal requirements as a minimum, should be interpreted within the context of the Immunities and Privileges of the United Nations (Convention on the Privileges and Immunities of the United Nations, 1946). UN facilities and premises are extraterritorial in nature, and are under

the “legal authority” of the UN Secretary General (SG). The regulations and requirements put forth by the SG should be applied to UN facilities. Therefore, UNOPS facilities shall meet the requirements of the UN Occupational Safety and Health (OSH) Framework (CEB/2015/HLCM/7/Rev.2 of 31 March 2015). Additional requirements for Environmental management shall be investigated.

However, in general, construction sites shall generally be considered to fall under the requirements for local legislation. As a minimum all operations shall determine what the legal and other requirements are for their construction sites. This can be done through getting official copies of legislation from the relevant authority. The legislation can also be obtained from internet sources in cases where the authority has published online. Operations can also consult recent project documents from the same country to find out legal and other requirements already determined by the other projects. The results of the assessment for legal and other requirements shall form part of the Health and Safety Plan (HSP).

## **16.2. Maintaining the HS System**

Legal and other requirements shall be considered in maintaining and improving the HS system. Checking for new legal and other requirements shall be done during the revision of the HSP. This will ensure that the information is kept up to date.

In countries where legal requirements are not properly established projects shall use the UNOPS guidelines in the HS system to set the minimum requirements for operation.

## **16.3. Communicating Legal and other requirements**

Legal and other requirements shall be communicated to people working under UNOPS supervision. This communication may be through communicating and implementing the Health & Safety Plan which has the list of relevant legislation and the plans to meet the requirements.

## **17. Training**

Training shall be carried out in order to raise awareness for the requirements of the HS system and to ensure that personnel who have an impact on Health and Safety are competent. In determining competence the organisation will consider appropriate qualifications, experience and relevant training. These considerations shall be recorded in the Terms of Reference for each position. Records for demonstrating competence shall be maintained by Human Resources or by the project. Training shall be targeted at different levels in order to ensure that they fulfil their HS functions. Project managers and project engineers will get HS system training which includes use of the different tools under the HS system. Shop floor employees (including contractor employees)

should get training through tool box talks and any other awareness activities. Training records shall be maintained as part of the HS plan and supporting documents.

### **Training and competence for safety critical Roles**

Safety critical roles are those roles whose inadequate or poor execution will significantly compromise occupational Safety and Health. These roles do not refer to job titles. Therefore, they may be done by people with different job titles in different projects. Safety critical roles shall be identified by considering the design, execution and supervision of high risk activities. Examples of such activities include:

1. Design of high risk structures such as bridges, multi-story buildings, dams and ports,
2. Design, construction and inspection of temporary works. Temporary works are non-permanent structures that are put in place to facilitate construction of the permanent structures. They include road detours, formwork and scaffolding,
3. Planning, execution and supervision of lifting with cranes or other equipment for mechanical handling,
4. Control of interaction between people and vehicles or mobile equipment,
5. Supervision of works done at heights,
6. Supervision of excavation work

### **Competence of personnel involved in safety critical roles**

UNOPS sites shall ensure that people carrying out safety critical tasks have the necessary Qualifications and/or on the job training. For example, scaffold erectors, scaffold inspectors, riggers, crane operators, excavator operators, dozer operators, etc. must have valid training/licensing for the tasks they carry out. Those doing designs, design review and site supervision must have relevant engineering qualifications. Doubts about the required competence levels must be referred to the HSE Manager, SIPG.

### **Generic Safety Critical Roles**

In addition to the site specific safety critical roles, the following positions are considered safety critical:

- a) Head of Construction Management: Provides technical advice that has safety implications across all operations. Formal engineering qualification and experience, and HS training is required for this position.

b) HSE Manager, Responsible for producing HSE procedures, guidance and gives specific HSE advice to operations. Formal HSE Qualifications and experience are required for this role.

c) Project Managers. Give the overall direction for HSE matters in a project. HS training is required for this role.

d) Site Engineers. Supervise day to day activities at constructions sites. Formal engineering qualifications and experience are required for this position. In addition HS training is also required.

Starting from 2015, HSE training shall be offered for personnel occupying these positions.

### **Training Needs**

Training needs shall be determined and used to plan training. Training needs should be related to key risks identified in the Risk Assessment processes. A process will be implemented to test the effectiveness of training and records should be maintained.

Employees shall also be made aware of their roles and responsibilities for HS. This includes awareness of what they should do in emergencies.

### **HS Awareness**

UNOPS operations shall ensure that people working under UNOPS control are aware the occupational Health and Safety implications of their work and behaviour including benefits that result with improved individual performance. In addition, personnel should also be made aware of possible consequences of not following procedures.

When carrying out training UNOPS shall address language, literacy levels, risk exposure and level of responsibility of the audience in order to make the training appropriate.

### **Ways of carrying out HS training**

HS training shall be carried through EMS, HS management system training offered from the head office. Training shall also be through online courses from external service providers. Toolbox talks shall be used to create awareness among employees. In addition, some coaching and awareness creation shall be offered informally during inspections. In line with UNOPS values of developing National capacity, opportunities shall be sought to assist the HS skills of local contractors and local personnel.

## 18. Communication and Participation

### **Ways of communicating HS related matters**

Communication within the organization shall include email communication across and within the different levels, communication through the Infrastructure community of practice forum, communication through meetings held by different operations. These same communication channels shall be used among UNOPS personnel and with contractors and partners. The UNOPS intranet shall be used to communicate to internal personnel. External communication shall be done globally through the UNOPS website. At a local project level communication shall include the holding of meetings and exchange of documents with contractors and other stakeholders. Records of external communication shall be kept for future reference.

Organisation-wide HS directives and instructions shall be issued through email to all UNOPS personnel on email. Project managers shall communicate the relevant requirements to contractors and ensure that the contractors comply with the requirements of the HS system. For projects, project-specific HS requirements shall be communicated through the program manager and project manager who shall then communicate to project engineers and other site personnel.

### **Induction**

Visitors and new people coming to a site shall be given an induction which highlights the key hazards at the site and information on what to do in case of emergencies. Records of the induction shall be kept on file.

### **Communications from external parties**

Communication received from external interested parties shall be received and kept on file. The project manager is responsible for responding to external parties. The project manager may escalate issues raised by the external communications to higher levels in the organisation.

### **Participation of personnel**

Employees (this includes contractor employees) shall have an opportunity to participate or share their views on the HS programme through HS meetings, toolbox talks discussions and through employee representatives. Employees are encouraged to fully participate in all activities such as development of HS policy and objectives, incident investigation, hazard identification, risk assessments and establishment of appropriate controls. Employees should be represented or consulted on major HS issues or when there are major changes that affect their occupational,



health and safety. Similarly, contractors and any external interested parties shall also be consulted in HS matters that affect them.

## 19. Emergency preparedness and response

UNOPS sites shall identify the possible emergencies and put in place plans for responding to emergencies. Although the emergency response form has some examples of emergencies, each site must consider any other emergencies that are unique to its context. Responses to emergency situations shall ensure mitigation of adverse HS impacts. Planning for emergency response shall include consideration of any relevant stakeholders including the surrounding community or neighbours and emergency services.

Emergency procedures shall be tested through appropriate drills and, where possible, may involve relevant interested parties. Emergency procedures should be periodically reviewed to ensure continued relevance. The testing of emergency response through drills should be done at least once a year. It is important to consider possible improvements after drills and after actual emergency situations. Emergency planning may include use of the following forms:

- Emergency and evacuation procedure form HS02
- Project emergency contact numbers HS03
- Drill records HS04

## 20. Control of Documentation and records

### **UNOPS HS Documents**

UNOPS HS documents consist of HS handbook, HS policy, Objectives, targets, plan, procedures, templates, guidelines and toolbox talks. These documents cover the various elements of the HS management system and enable the UNOPS HS system to meet the requirements of the OHSAS 18001 standards.

### **UNOPS HS Records**

Records are all the documents that are filled-in or generated to show results or to show that activities have been done. Examples of records include weekly inspection reports, risk assessments, monthly summary of performance, investigation reports and the Health & Safety plan.

## **Documenting the HS System**

The UNOPS HS system shall be formally documented to allow for control and accountability. The thrust of documentation shall be to ensure that the requirements of the HS system are met, that there is control over HS risks and that continuous improvement is encouraged. There should be adequate and efficient planning and implementation without producing more documents than necessary.

### **Approval of Documents**

The official documents of the HS System shall be compiled into a hardcopy manual and shall be approved for use by the HSE Manager and Head of Construction Management. A copy of this document shall be available to HS system users through the UNOPS intranet system.

### **Review of Documents**

There shall be a review of the HS system documents at least once every two years. Ideally, review of HS documents should be after the audits and management review so that suggestions from these activities may be incorporated.

The Version of the documents shall be indicated on the document. After the first revision, the documents will show date for next revision date. There will also be an indication of what changes have been made in producing the latest version. The use of obsolete documents shall be prevented. Any obsolete documents which are kept shall be clearly marked.

The latest version of the documents shall be available for use on the UNOPS intranet. All users are required to keep the documents legible and readily identifiable. Any documents originating from outside UNOPS sources but required for the HS system shall be identified and their distribution controlled.

### **Control of records**

Records shall be maintained in order to demonstrate that the requirements of the HS system have been made. The records shall be legible traceable The records should properly be labelled so that they can be easily identified. Records shall be stored in such a way that they are accessible to those who need to use them. The records should not be privately stored by individuals to avoid loss of records when individuals leave particular duty stations. The records (soft or hardcopy) shall be stored in such a way that they are protected from damage or destruction. Records shall not be destroyed. If it becomes necessary to dispose the records, permission shall be sought from the HSE Manager.

Control of records shall be in line with the UNOPS organizational directive on control of records.

## **21. Operational Controls**

Implementation of controls is necessary to manage HS risk resulting from the identified hazards. Therefore UNOPS operations need to identify and put in place the necessary controls.

Operational controls shall cover:

- a) the management of change,
- b) the purchase of goods and services,
- c) visitors and contractors on site,
- d) documented procedures for work processes where lack of formal procedures may result in deviation from the requirements of the HS Policy and HS objectives,

The following are operational controls for UNOPS operations:

- 1. Site HS Plan,
- 2. Site rules and signage,
- 3. Visitors inductions,
- 4. Training and awareness through tool box talks and other training,
- 5. Maintenance of equipment such as mobile plant equipment and vehicles for the transportation of personnel,
- 6. Weekly HSE workplace inspection and correction of deviations,
- 7. Emergency procedures,
- 8. Permits to work (see section 8,
- 9. HS Guidelines (see section 22),
- 10. Checklist for equipment,
- 11. Infrastructure designs available, design changes done by competent person then authorised and documented.
- 12. Starting in January 2015, Infrastructure designs are to go through the design review process which checks for Health & Safety consideration among other issues,
- 13. Procedures/Method statements and Risk Assessments for high risk tasks.

## **22. Performance measurement and monitoring**

Performance measurement and monitoring shall be done frequently in order to ensure control over the HS programme. Monitoring of performance shall be done through quarterly review of the HS

targets and plan at HQ level, through weekly inspection programme coupled with monthly reports (HSE reporting summary). Some high level monitoring shall be done in the project Assurance process.

HS performance shall be described by both qualitative and quantitative measures. Performance measurement shall include the extent to which objectives and targets have been met and the effectiveness of controls.

Measuring performance shall include both proactive and reactive measures. Reactive measures include historical data such as incidents. Performance measurement shall be recorded in order for corrective and preventative actions to be tracked. Records shall also be maintained of calibration of any equipment that may be required for performance measuring.

## **23. Evaluation for compliance**

UNOPS operations shall evaluate compliance with legal and other requirements at least once a year. This shall be done by verifying whether legal requirements have been met using form HS 27. Where requirements have not been met, corrective actions should be put in place to immediately remedy the situation. A copy of this completed record should be shared with the HSE Manager.

## **24. Contractor management**

Contractors engaged by UNOPS shall comply with the requirements of the HSE system for the work performed under the contract with UNOPS. Therefore, contractors will be made aware of the HSE requirements and requirements of the site HSE plan. It is recognised that contractor capacity and skills are generally lower than the desirable levels in the locations that UNOPS works. Therefore, UNOPS teams may be required to develop the capacity of contractors by assisting the contractors to plan and to carry out their work in a way that meets the requirements for HSE.

## **25. Plans for offices**

HS plans should not only cover construction sites but also UNOPS offices that house infrastructure operations. The HS management system should be used to protect personnel from injury and occupational illnesses that may affect their wellbeing.

## **26. Copies of templates, guidelines and tool box talks**

The latest copies of templates, guidelines and toolbox talks are found on the intranet. The HSE webpages on the intranet also contains additional information about HSE and announcements.

## User Notes



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