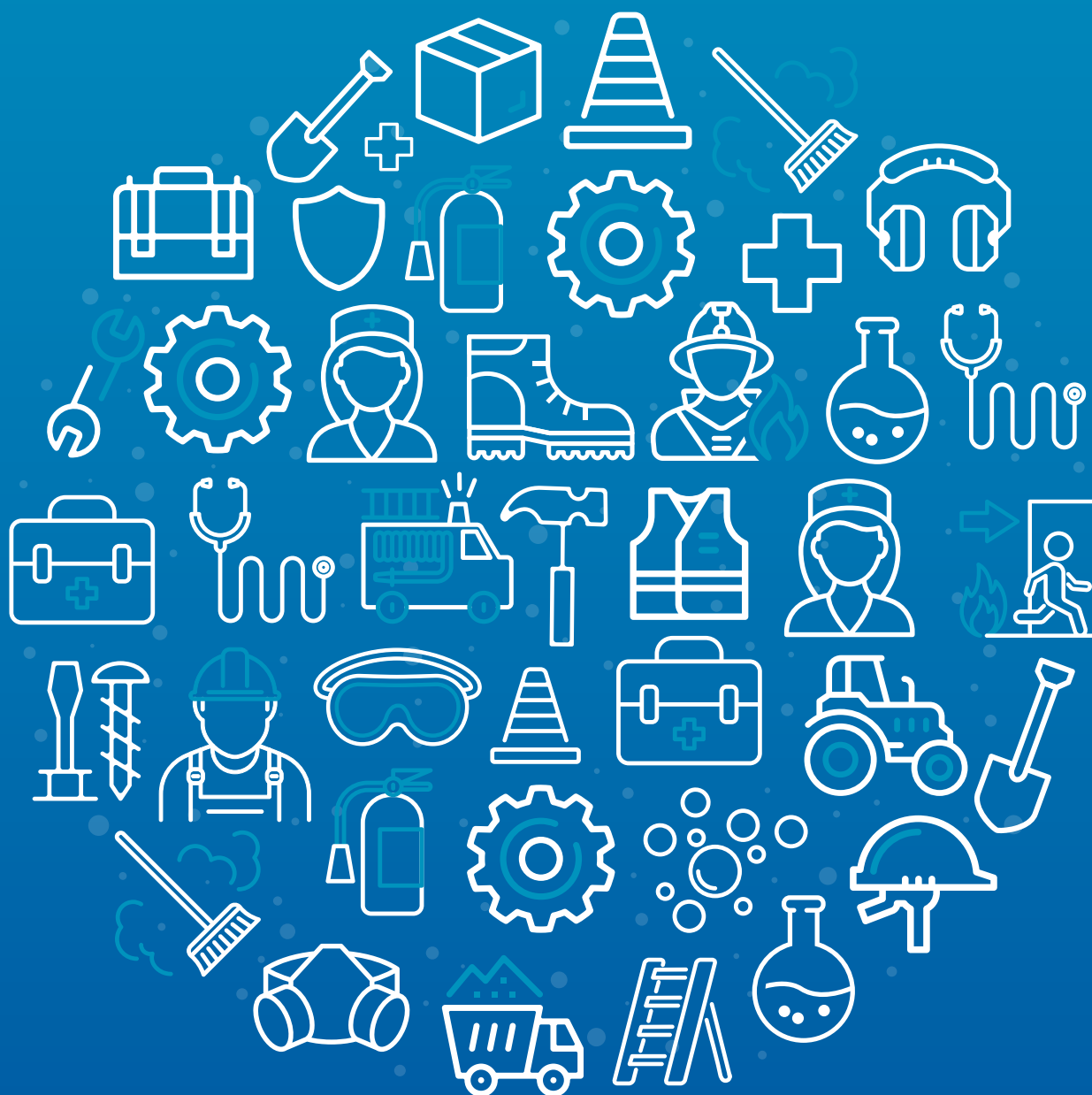


# ANNUAL REPORT & ACCOUNTS

1 April 2019 – 31 March 2020



Health and Safety  
Executive for  
Northern Ireland

**hse**ni  
CONTROLLING RISK TOGETHER



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Health and Safety Executive for Northern Ireland

# Annual Report and Accounts

For the year ended 31 March 2020

Laid before the Northern Ireland Assembly under paragraph 19 (3) of Schedule 2  
of the Health and Safety at Work (Northern Ireland) Order  
1978 by the Department for the Economy

23 October 2020

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# Key Facts and Figures for 2019 - 2020

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## Key trends in work-related injuries are as follows:

- fatalities within areas under the responsibility of HSENI down by 2 to 11 (P)<sup>1</sup>, compared to 13<sup>2</sup> in the previous year;
- fatalities in the agriculture sector reduced significantly from seven to one fatality in this sector in 2019-20;
- fatalities in the construction sector increased from three in 2018-19 to four during this reporting period;
- major injuries down 11% on last year to 290; and
- all reportable injuries down by 5% on last year to 1,811.

## During the year, HSENI:

- continued its Farm Safety Partnership (FSP) work through the third Farm Safety Action Plan and the FSP Affiliate Scheme;
- reached over 9,000 children in 88 rural primary schools with its "Be Aware Kids" farm safety messages;
- involved over 3,300 pupils from 72 primary schools in its Child Safety on Farms Poster competition and distributed 42,000 copies of the calendar produced from the winning entries;
- completed 14 successful prosecutions, which saw fines totalling £602,500;
- achieved UKAS Accreditation for its Scientific Services Unit;
- delivered 5,399 inspections and served 247 formal enforcement notices;

- dealt with 1,110 complaints about alleged unsatisfactory working conditions and activities;
- prepared three sets of Northern Ireland Statutory Rules, initiated one consultation and developed two Agency Agreements;
- submitted an Annual Equality Report to the Equality Commission;
- organised four key events.
  1. Balmoral Show, Balmoral Park, Lisburn – 15-18 May 2019;
  2. Managing Work-Related Stress, The Management Standards Approach, Ladas Drive – 12 June 2019;
  3. Workplace Health Leadership Conference, La Mon Hotel, Belfast - 20-21 November 2019; and
  4. Waste Industry Safety & Health Forum NI (WISHNI) Awards, Malone House, Belfast – 11 March 2020;
- held or attended 101 promotional events including seminars, lectures, workshops and presentations, with 145 published materials;
- distributed over 18,499 free publications giving health and safety advice;
- dealt with 6,444 calls for information via its Freephone Helpline; and
- enabled website visitors to download over 99,663 publication files.

<sup>1</sup> (P)These figures do not include fatalities where the investigation has not yet established details to make a decision on their inclusion

<sup>2</sup> This figure has been increased to reflect one further fatality confirmed retrospectively for the 2018-19 period

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# Foreword

We are pleased to present HSENI's twenty first Annual Report and Accounts. Overall, the total number of all work-related fatalities in Northern Ireland in 2019-20, including those within areas that are the responsibility of both HSENI and local councils, was 12 compared to 17<sup>3</sup> in the previous year. Any loss of life in the workplace is unacceptable and HSENI set their priorities in full consultation with their board, in order to enable us to prioritise our resources to best tackle the high risk areas which, over the 2019-20 period, included the construction and manufacturing sectors. It is clear that these work areas are high risk environments and while we cannot remove the risks we want to ensure that all those people engaged in these industries do everything in their power to manage the risks.

The role of HSENI in this process is through regulation and inspection but also through education. Only by ensuring that every employee is equipped with the skills and knowledge to carry out their role safely can we say we have done everything in our power to keep people safe in the workplace. We must also seek to focus on the less well publicised figures relating to major injuries. Such injuries will often be life changing and will impact on the individual and their family as well as affecting their ability to work. We must not be complacent as this is very much a journey to eradicate dangerous work practices, corner cutting, inappropriate risk taking, poor efforts at time saving, all of which increase the risk of a serious occurrence. It is essential that every employee has access to either suitable training to enable them to make safe decisions for themselves or has a suitably qualified person on site to advise them of best safe practice. They must also feel empowered to question any practice which they feel exposes them to unnecessary risk.

The number of fatalities in agriculture decreased significantly from seven last year to one during 2019-20. This fatality related to a child, and whilst any loss of life is difficult, it is particularly tragic when it involves a child. The Farm Safety Partnership remains the vehicle through which HSENI and its partners and affiliates work to improve farm safety. While we continue to work with our partners and affiliates in the area of farm safety, we can never lose sight of the other work areas where serious workplace incidents are occurring every month. We continue to raise awareness of best practice, to pick up on dangerous works through our inspection regime and notified incidents. Across the various teams we see emerging challenges that need to be managed and addressed. We strive to embrace new work methods that enhance workplace safety, measures to improve and maintain mental well-being in the workplace as well as making information and awareness raising materials available to reduce illnesses relating to exposure

<sup>3</sup> This figure has been updated to reflect one further fatality during the 2018-19 period

to materials which may have a long latency period. In addition there has been much focus on Musculoskeletal Disorders (MSDs) and the longer term impact on the health and well-being of individuals.

Across all sectors, major injuries fell in 2019-20 from 325 to 290, representing an 11% decrease. This is often an unacknowledged statistic as there is a tendency to see the fatalities as the headline figure and overlook the significant number of very serious, often life-changing, injuries. There was a decrease of 5% in reportable work-related injuries between 2018-19 and 2019-20.

During the year, HSENI carried out 5,399 inspections of workplaces and served 247 formal enforcement notices. Key aspects of HSENI's front line work in 2019-20 continued to be dominated by investigating a number of significant workplace incidents which resulted in a fatality or a serious injury, and dealing with a continuing high number of complaints about unhealthy and unsafe workplaces. Complaints and notified incidents in the construction sector continue to rise. This type of reactive work defines to a large extent our capacity to undertake proactive inspections. Investigations by the Major Investigation Team resulted in 14 successful prosecutions which led to fines totalling £602,500.

HSENI continued to work throughout the period to reduce occupational ill-health, in partnership working with a number of organisations, including the Workplace Health Leadership Group (WHLG). In November 2019, WHLGNI, in partnership with HSENI, delivered a two day occupational health conference entitled 'Managing Workplace Health: Fit for Purpose'.

After a three year suspension period, January 2020 saw the return of the Northern Ireland Assembly and the appointment of Mrs Diane Dodds MLA as the Minister for the Economy. As a result, HSENI's draft Corporate Plan 2018-2023 was formally approved by the Minister on 4 March 2020.

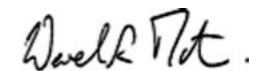
The UK left the European Union (EU) on 31 January 2020 and entered into the transition period. Since then, HSENI has worked to make preparations for the implementation of the Ireland/Northern Ireland Protocol to ensure Northern Ireland aligns with the relevant EU legislation.

The emergence of the COVID-19 pandemic in the final weeks of 2019-20 had a major impact on the organisation and its activities. HSENI staff dealt with an unprecedented number of phone calls and emails in relation to COVID-19 concerns whilst working from remote locations. 'Lockdown' was imposed quickly and the organisation reacted swiftly to ensure that the organisation could continue to deliver its statutory functions as well as dealing with the new and immediate demands imposed by necessity which left HSENI staff seeking to interpret Public Health advice in terms of its application to the workplace.

Despite another challenging year HSENI remains focused on the important work of stopping unsafe working practices and making work safer every day. We are grateful to all those who share our ambition to make Northern Ireland's workplaces as safe and healthy as possible and who have contributed to the achievement of the outcomes set out in this Annual Report.



**Robert Kidd**  
Chief Executive



**Derek Martin**  
Chairman

# Performance Report Overview

HSENI, the regional health and safety authority for Northern Ireland, was established on 1 April 1999 as an executive Non Departmental Public Body (NDPB) with Crown status. This was brought about by an Order in Council amending the Health and Safety at Work (Northern Ireland) Order 1978. An executive NDPB has a role in Central Government but is not a Department or part of one. During 2019-20, HSENI was funded by the Department for the Economy (DfE).

HSENI's organisational structure during 2019-20 is detailed on Appendix 1. The organisational structures which support the delivery of corporate governance in HSENI are outlined on the Governance Statement (page 54).

HSENI's business is to ensure that risks to people's health and safety arising from work activity are properly controlled, in ways that are proportionate to risk, allow for technological progress and pay due regard to costs as well as benefits; and in all that it does, seeks to promote better management of health and safety at work, through systematic approaches to identifying hazards and assessing and controlling risks.

HSENI has primary responsibility under the above Order for the regulation of health and safety at work in Northern Ireland. This involves the proposing and setting of necessary standards and securing compliance with those standards and undertaking other forms of activity designed to stimulate or support necessary action on the part of people and organisations that actually create risk.

During the year, HSENI's Corporate Plan for the period 2018-2023 which had been endorsed by both HSENI's Board and DfE's Permanent Secretary, was approved by the Minister for the Economy following the restoration of the

Northern Ireland Assembly in January 2020.

The plan identifies three main overlapping themes on which HSENI will focus its work during the next five years: safety, workplace ill-health and high risk work activities.

Principal risks managed by HSENI during 2019-20 were as follows:

- Failure to manage HSENI's budget effectively resulting in a significant under or overspend;
- Failure to maintain functions and services of HSENI due to budgetary pressure;
- Ineffective governance leading to poor value for money, fraud, loss of funds or irregular expenditure;
- Damage to HSENI's reputation as a regulator as a result of legal proceedings or adverse media coverage;
- Failure to comply with GDPR or to manage, maintain and secure personal data and information leading to legal proceedings and fines from the ICO;
- Disruption to service delivery; and
- COVID-19 and its potential to disrupt service delivery.

There were three emerging risks on the risk register at the end of March 2020:

- Failure to maintain an up to date regulatory framework as a result of the UK's exit from the EU;
- Impact of the UK's exit from the EU on operational/ enforcement activities; and
- COVID-19's impact on the ability to meet operational targets.

Further information on these risks and the controls taken by HSENI to mitigate them is provided in the Managing Risk section of the Governance Statement which forms part of the Statement of Accounts accompanying this Annual Report.

The financial results of HSENI are set out in the Annual Accounts. The net cost of operations (i.e. net expenditure) for the year was £6,785,000.

HSENI is committed to the prompt payment of bills for goods and services. Quarterly analysis has indicated that, during the year, HSENI paid 98.7% of its invoices within 10 working days (2018-19: 99.6%). HSENI paid 100% of its invoices within 30 days (2018-19: 100%). This policy on prompt payment is expected to continue in the 2020-21 financial year.

The Statement of Accounts has been prepared under a direction issued by the Department for the Economy under the Health and Safety at Work (Northern Ireland) Order 1978, as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998. The Statement of Accounts has been prepared on a going concern basis.

This performance report provides a balanced and comprehensive analysis of the development and performance of HSENI's business during 2019-20 and includes the following sections on Performance through to Statistics. As regards financial performance, HSENI operated during 2019-20 within the budget allocated to it by its sponsor department, the Department for the Economy, and budget expenditure at year end was within the acceptable permitted limits given the impact of Covid-19 on the organisation in the closing weeks.

While this performance report includes information on HSENI's employees and social, community and human rights issues, it does not include information about environmental matters as HSENI is exempt from Greening Government Commitments.<sup>4</sup>

The emergence of the COVID-19 pandemic towards the end of the reporting period had a significant impact on the organisation's performance during the final weeks of 2019-2020 and has continued to do so throughout 2020-2021. During the period 16 March 2020 to 24 June 2020 HSENI received 1,649 COVID-19 related complaints, 1,053 of which fell within HSENI's remit with the remainder referred to local authorities to respond. Inspections following the emergence of COVID-19 were limited to those relating to serious fatal accidents. Inspectors returned to carrying out routine site visits following the development of guidance to ensure staff could carry out their duties safely and in line with Government guidelines. Given the unprecedented levels of queries and complaints being raised as a result of COVID-19 concerns, HSENI responded by implementing mechanisms to handle the volumes including increased call handling, offering advice and support remotely and gathering evidence by way of submitted photographic and video evidence and following up with complainants. This enabled a much more timely response than could otherwise have been achieved by conducting site visits in every case.

225 out of 331 inspections carried out by HSENI's inspectorate during the period 16 March to 24 June 2020 related to COVID-19 incidents. HSENI also received a large number of COVID-19 related queries from various media outlets and the organisation released a number of press statements on a range of COVID-19 related issues during the period.

A detailed Performance Analysis of HSENI's 2019-20 activities is included on Appendix 4.



**Robert Kidd**  
Chief Executive  
Date: 15 October 2020

<sup>4</sup> Source – DEFRA Greening Government Commitments Overview of Reporting Requirements 2016-2020 under the criteria 'Arm's length organisations (NOT government departments) occupying less than a total of 1,000m<sup>2</sup> of floor area or with fewer than 250 FTE Staff'

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# Non-Executive Director's Report

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HSENI launched its latest five year Corporate Plan for 2018-2023 during 2018. The plan was developed following a series of workshops and discussions between the Board of HSENI and the Senior Management Team.

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Due to the absence of a Minister at the time, the plan was unable to be given Ministerial approval and instead was issued in draft form. This reporting year, 2019-2020 has been the first full year that the plan has been in place. The Board of HSENI have provided oversight of the implementation of the plan during the course of the year through formal reporting of progress by the Senior Management Team at Board meetings and through more informal discussion between Board members and senior management during the course of the year.

I am pleased to say that one of the early actions of the new Minister for the Economy, Mrs Diane Dodds MLA, following the resumption of the NI Assembly and the formation of a new Executive, in January 2020, was to formally approve the draft plan.

The year 2019-20 has proved a challenging one for HSENI in many ways in terms of workload and some key staffing changes. In January 2019, we welcomed a new Chief Executive, Robert Kidd. The Board's Remuneration Committee oversaw Robert's period of induction into the organisation during the first quarter of the reporting period and board members provided collective and individual support through their corporate and business contacts to give introductions for Robert to meet a variety of external stakeholders from various business and industrial sectors, during the course of the year.

During the year the Board Audit and Risk Management Committee (ARMC), chaired by Mrs Hilary Singleton, met on four occasions to provide support and assurance to the Board relating to the management of risk and compliance with corporate governance requirements by HSENI, including the robustness of internal controls, the probity of HSENI's affairs and the propriety and regularity of HSENI's management of public funds.

Due to the absence of an Executive, there have been no Departmental budget reviews conducted for a number of years, instead baseline budgets have been rolled forward into subsequent years and this uncertainty presented a number of challenges to the organisation, particularly in the areas of future planning of resources and recruitment of staff. It is to senior management's credit that the risks which developed as a result of these challenges have been managed extremely competently.

Other risks which the ARMC considered during the year, included cyber security, information management, fraud and business disruption.

Farm safety continues to be an area of concern to HSENI. The Farm Safety Partnership was set up a number of years ago under the leadership of HSENI, to provide a forum for stakeholder bodies within the agricultural sector to drive a change in attitudinal and behavioural change within farming to reduce the toll of severe injury and fatalities within the industry. HSENI Board members play an active role in the Partnership which is chaired by one of our Board members, Mr Harry Sinclair.

HSENI works closely with its colleagues in HSE (GB) and the Health & Safety Authority (HSA) in the Republic of Ireland. This work, which is ongoing throughout the year, is underpinned by an annual Tripartite meeting between the Chairs and Chief Executives and senior management of the three regulatory organisations to discuss matters of mutual strategic interest. This year the meeting was hosted by HSENI, a number of issues were raised, the most important being the future role of the three authorities following the UK's exit from the EU. This is the beginning of a new era as all three Chief Executives were less than 18 months in post at the time of the first meeting and there was a very clear commitment to continued collaborative working going forward both formally and informally.

During the year a new Code of Practice, 'Partnerships between Departments and Arm's-Length Bodies' was launched by DoF. The HSENI Board is very supportive of this development and the Chair and other board members, along with the Chief Executive, attended a number of conferences and seminars organised by DoF and the NI Public Sector Chair's Forum, which explained the background and development of this Code of Practice.

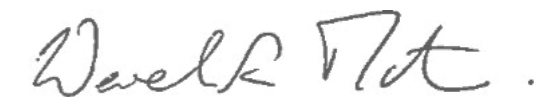
Our sponsoring department, the Department for the Economy (DfE), continues to be very supportive of HSENI and we were pleased to welcome the then Permanent Secretary, Noel Lavery, and two of his colleagues, Colin Lewis and Colin Jack to our October board meeting. Board members found it extremely interesting to get the Department's view on a wide range of subjects.

During the last quarter of the reported year, there were two significant developments. Firstly in January 2020, the NI Assembly reconvened and a new Executive was formed with Mrs Diane Dodds MLA appointed to the role of Minister for the Economy. Shortly after this, in March 2020, the COVID-19 crisis broke.

HSENI, apart from having to implement its Business Continuity Plan (and move to all staff working remotely from home overnight), became an important source of technical knowledge and advice both to the Department and the Minister and her Executive colleagues, as well as to those key industries who were required to remain in operation during the lockdown period whilst keeping their employees safe. As other business and industry sectors have restarted, our staff continue to be much in demand to offer advice on the safe return to work of employees as employers seek to implement Public Health guidance.

This has put considerable pressure on all HSENI staff over this period and I would like to thank them all, on behalf of our Board for the way in which they have maintained and enhanced HSENI's reputation during a very challenging time.

In conclusion, I would also like to thank my colleagues on the Board for their continued support for me and for the Senior Management Team and staff and for their ongoing commitment to HSENI.



**Derek Martin**  
Chairman

# Management Commentary

## Communications

Communication continues to play a vital role in HSENI's day-to-day programme of work. HSENI promotes occupational health and safety advice and information to targeted groups through a multi-channel strategy, which includes campaigns, events, publications, seminars and exhibitions. Social media plays a key role to highlight key themes and messages which are aimed at preventing work-related injuries and ill-health and also promotes the many activities undertaken by HSENI.

Working in partnership is particularly important to HSENI if it is to reach a wider target audience. Partnerships exist in areas such as construction (BuildHealth), waste and recycling (WISHNI), farming (the Farm Safety Partnership), and mental well-being (The Workplace Health Leadership Group NI). These partnerships allow HSENI to promote its messages to a much wider audience than it would be able to reach on its own.

Through the Farm Safety Partnership (FSP) and the Farm Safety Partnership Affiliate Scheme HSENI has continued to partner with 23 organisations from a range of private, public and voluntary organisations with a shared goal in promoting a range of farm safety messages. This year the Farm Safety Foundation became the seventh member of the FSP.

During 2019-20, HSENI's Communication Team organised the following events, in partnership with inspectorate staff:

- Balmoral Show, Balmoral Park, Lisburn – 15-18 May 2019
- Managing Work-Related Stress, The Management Standards Approach, Ladas Drive – 12 June 2019
- Workplace Health Leadership Conference, La Mon Hotel, Belfast - 20-21 November 2019
- WISHNI Awards, Malone House, Belfast – 11 March 2020

During the year, the Communications Team was also involved in 101 promotional events including seminars, lectures, workshops and presentations, and produced 11 new published materials.

## Launch of 'Coping with the Pressures of Farming' Booklet

In May 2019 HSENI, in conjunction with Rural Support, launched the booklet 'Coping with the Pressures of Farming' at the Balmoral Show. The booklet is aimed at offering the farming community help and assistance in relation to their health and well-being and every day pressures of running a farm. It has been researched and collated to address some of the many and varied issues that contribute to stress when not handled appropriately.



Pictured at the launch of the 'Coping with the Pressures of Farming' booklet: (L-R) Dr Denis McMahon, DAERA Permanent Secretary, John Thompson, Rural Support Chair, Jude McCann, former Chief Executive Rural Support, and Bryan Monson, HSENI Deputy Chief Executive.

## International Farm Safety Week 15-19 July 2019

HSENI backed the seventh International Farm Safety Week, led by award-winning charity the Farm Safety Foundation. HSENI's aim was to remind the farming community that looking after their own physical and mental well-being should always be the priority.

HSENI issued five press releases during Farm Safety Week, entitled 'HSENI backs call for farmers to put themselves first', 'Farm Safety Week: Coping with the Pressures of Farming', 'Farm Safety Week: Statistics', 'Warning when working with older tractors' and 'Farm Safety Week: Stop and Think SAFE'.

Throughout the week, HSENI Communications Team issued a series of social media posts on Facebook and Twitter, aimed at raising the issues of mental stress and safety issues amongst the farming community.

In promoting International Farm Safety Week in July 2019, there was a positive response as a result of HSENI PR activity, with 46 news articles published in the local press. This represented a total combined circulation of 1,760,100 and an advertising value equivalent of more than £35,267.

## 'Avoid Harm on the Farm' child safety calendar launch 2020

On 7 January 2020 HSENI's Chief Executive, Robert Kidd, launched the 'Avoid Harm on the Farm' child safety calendar launch 2020. The launch took place at St Joseph's Primary School, Donagh, where one of the winning entries attended. For this competition, HSENI received 3,882 entries from 72 schools all over Northern Ireland.



Pictured at the launch of the 'Avoid Harm on the Farm' Child Safety 2020 Calendar is (L-R) Paul Kelly, HSENI Inspector, Robert Kidd, HSENI Chief Executive, Caoilfhionn Mohan, St Joseph's PS and Mr Michael Grew, Principal St Joseph's PS.

## HSENI Inspection Campaigns

### Agriculture Contractors Initiative

In November 2019 HSENI began a series of Agriculture Contractors advisory visits as part of an initiative to focus on how health and safety is currently managed. The visits also highlighted the changes required to meet the minimum standard required by law and most importantly to keep everyone safe.

### 'Construction Plant Accidents are Preventable' Initiative

On Monday 27 January 2020 HSENI began a two week programme of site inspections in the construction sector. 'Construction Plant Accidents Are Preventable' was the clear message to the industry during this year's initiative.

All non-compliant plant, unsafe practices and inadequate segregation of pedestrians and vehicles on local building sites were targeted during the drive aimed at reducing deaths and injuries within Northern Ireland's construction industry.

### Farm Safety Partnership (FSP)

The Affiliate Scheme, which was set up in 2016, continues to be a success and each year an award is presented as part of the FSP's commitment to encourage and recognise organisations who pledge to utilise their resources and expertise to improve farm safety.

On 13 February 2020, the FSP awarded Polaris Safety Training and Rescue with an award for their contribution to health and safety for farming families.

The Farm Safety Partnership was also very impressed with the contribution from the Northern Ireland Safety Group (NISG), the Livestock and Meat Commission, and the Northern Health and Social Care Trust (NHSCT) in promoting farm safety through their work, and awarded the three Affiliates 'Highly Commended' certificates.





From L-R – Camilla Mackey, HSENI Principal Inspector, Harry Sinclair, HSENI Board Member and Farm Safety Partnership Chairperson, Mark Harriott and Dr Patrick Harriott, Polaris Safety Training and Rescue, and Bryan Monson, HSENI Deputy Chief Executive.

## Social Media

HSENI Twitter followers now exceed 2,900 and we have attracted 4,229 followers on our Facebook account which shows a further increase from last year. During 2019-20 HSENI's views to HSENI's YouTube channel have reached more than 412,897. The most viewed video continues to be that of the survivor story by Wallace Gregg, former president of the Young Farmers' Clubs of Ulster (YFCU), where he relays how his eight year old son was injured in an accident falling from a tractor. This video which was launched in July 2016 has been viewed more than 106,000 times.



Farm accident survivor story by Wallace Gregg.

HSENI's Communications Team continues to assist employers, employees, trade union representatives, safety professionals and practitioners and members of the public requiring help or information on health and safety matters.

HSENI offers a telephone helpline which allows customers to speak to a HSENI representative who provides advice on health and safety in the workplace, on a confidential basis if necessary. This service responded to 6,444 requests. The service is accessed through HSENI's Freephone Helpline on 0800 0320 121.

The Communications Team is responsible for HSENI's public relations and marketing function, ensuring that key workplace health and safety messages are promoted in an appropriate and timely manner to targeted groups through a variety of communication channels.

Throughout the year HSENI:

- distributed over 18,499 free publications giving health and safety advice;
- distributed over 5,995 promotional items;
- dealt with 6,444 calls for information via its Freephone Helpline; and
- enabled website visitors to download some 99,663 publication files.

# Employment Medical Advisory Service

The Employment Medical Advisory Service (EMAS) functions are delivered through the provision of occupational health advice on work-related health matters to organisations and individuals including employers, employees, trade unions, regulators, health care professionals.

HSENI also investigates complaints and concerns about ill-health, reports of diseases received from employers under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997 (RIDDOR) and facilitates the appointment and approval of doctors under statutory requirement.

## Appointed Doctors

HSE (GB), on behalf of HSENI, carries out the appointment, renewal and review process of Appointed Doctors.

HSENI appoints doctors under four sets of regulations to carry out statutory medical examinations. It also sets standards for their qualifications and for the conduct of the specific assessments and examinations. All doctors are the subject of periodic review. At 31 March 2020, there were a total of seven NI based appointed doctors, two of which held dual regulation appointments (and four further based in GB carrying out medical surveillance under HSENI Regulations).

In this reporting period, appointed doctors based in Northern Ireland carried out approximately 146 statutory medical examinations.

## HSENI Approved Medical Examiners of Divers (AMEDs)

Approved Medical Examiners of Divers are also appointed by HSENI (via HSE (GB)) under the Diving at Work Regulations (Northern Ireland) 2005. HSENI has adopted the Guidance on Fitness to Dive developed by the Health and Safety Executive in Great Britain as its standard. In 2019-20, HSENI's five Approved Medical Examiners of Divers conducted 100 'fitness to dive' assessments.

## Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (NI) 1997 (RIDDOR) - Reported Diseases 2019-20

Under the RIDDOR Regulations, HSENI received 22 reports of diseases, all of which were reportable. There were 11 cases of hand-arm vibration syndrome, two cases of carpal tunnel syndrome, three cases of occupational dermatitis, three cases of traumatic inflammation of tendons of the hand or forearm, one case of leptospirosis, one case of legionella and one case of infection attributable to specific work. These notifications came from 17 different employers.

# Agriculture and Food

There are almost 25,000 farm businesses in Northern Ireland, most of which are small family run farms with only one or two people running the business. The agriculture industry as a whole employs over 49,000 people. Approximately 55% of farmers are classified as being employed full-time on their farm with over 70% of farms being classified as very small (statistics taken from the Department of Agriculture and Rural Development –The Agricultural Census in Northern Ireland – June 2019). The majority of farms in Northern Ireland are run as a family business and a sizeable proportion of those involved have jobs outside the farm business.

The Agri-food Group within HSENI has enforcement responsibility for work in farming, horticulture, forestry, arboriculture, fish farming and the food and drink processing industry.

## Promotional and Educational Activities

During the period 2019-20 HSENI's Agri-food staff took part in a range of promotional events including Open Farm weekend in June 2019, an agricultural contractor's event in January 2020 and Balmoral Show in May 2019.

## Child Safety on Farms

HSENI continued to deliver its 'Be Aware Kids' Child Safety on Farms Campaign during the year. Between April and June 2019, Foundation, Key Stage 1 and Key Stage 2 pupils received important farm safety messages via presentations carried out in rural primary schools right across Northern Ireland. HSENI staff visited 88 rural schools in the period where over 9,000 children received our farm safety messages.

Farm safety presentations were also delivered to pupils studying for a GCSE in Agriculture and Land Use at 14 schools across Northern Ireland. This is in line with the GSCE syllabus and also helps HSENI target a different audience of 14 to 16 year olds.

During the spring and summer of 2019 HSENI organised and ran another very successful primary school poster competition. This competition is always very well received by teachers and children alike and it continues to garner huge interest from children with an agricultural background.

3,382 pupils from 72 primary schools submitted drawings to the poster competition. The twelve winning entries were used to produce a Child Safety on Farms calendar for 2020. Over 42,000 calendars were produced and distributed (through rural primary schools) to ensure that a calendar was delivered to every rural home in Northern Ireland with children of primary school age.

'Bee Safe' events are a multi-agency community safety initiative organised specifically for key stage 2 children. Key safety messages are communicated to the children by various regulatory bodies at these events. HSENI attended six 'Bee Safe' events throughout the year, delivering interactive farm safety presentations and reaching over 3,000 pupils.

## Balmoral Show 2019

At the 2019 Balmoral Show HSENI focused on the dangers of inadequate power take off (PTO) shaft guarding and ladder safety. Throughout the four days of the show, practical demonstrations on PTO safety were given, as well as ladder safety demonstrations which were carried out by Polaris Safety Training, one of the Farm Safety Partnership Affiliates.

Child safety was also an integral part of the stand along with providing other promotional materials for farmers and their families. During the show representatives from Girlguiding Ulster and IOSH attended the HSENI stand and helped to encourage people to visit the stand and to take part in the farm safety competition. HSENI would like to express its thanks to IOSH and Girlguiding Ulster for their continued support as well as Rural Support and Farm Families who attended

the show on the same stand as HSENI. HSENI also supported the Young Farmers' Clubs of Ulster (YFCU) by aiding with the organisation and judging of a safe tractor handling competition. During Balmoral Show 2019 Rural Support in conjunction with HSENI launched their "Coping with the Pressures of farming" booklet, this aimed to tackle the issue of mental health in agriculture and raise awareness around this very important subject.

## Presentations and Advisory Work

HSENI delivered 16 presentations to farmers' groups, students at CAFRE Colleges, stakeholders in the agriculture industry and other relevant bodies during the year. These presentations, given directly to those working in the industry, are extremely important. Larger audiences can be reached during such presentations and practical advice can be given directly to farmers and their families. Incidents and common health and safety issues can be discussed and these have always been well received by those who have attended. The delivery of health and safety presentations to the farming community has also been carried out by farm health and safety ambassadors from the Young Farmers' Clubs of Ulster (YFCU).

## Farm Safety Partnership

All members of the Farm Safety Partnership have been very active throughout the year and have achieved the vast majority of the objectives set out in the 2018 – 2020 Farm Safety Partnership Action Plan. The action plan has strived to raise awareness, improve safety standards and encourage behavioural change in the industry based on the four 'SAFE' topics (Slurry, Animals, Falls and Equipment). In 2020 a new Farm Safety Partnership Action Plan is due to be published for the period 2020-2023. The core principles will largely remain the same, focusing on the 'SAFE' topics. However emphasis will be placed upon 'Safety Essentials', which will concentrate on the most common causes of incidents and encourage those working on farms to take simple precautions to prevent injury and death, and to embed that behaviour in future working practices.

## Agricultural Contractors Initiative

HSENI business advisors continued to carry out the initiative with agricultural contractors during the year. They offered support and advice to 19 contractors to enable them to manage health and safety effectively in their businesses. Those contractors who took up the offer of advice responded very positively about the initiative. HSENI's business advisors will continue to offer this valuable service to the industry.

## Inspection, Complaints and Investigation

HSENI inspectors continued through the year to carry out general inspections on agricultural premises, deal with complaints and investigate serious and fatal incidents where required.

## Food and Drink Processing Industry

The food and drink processing industry was estimated to have employed 24,818 full-time employee equivalents across the industry in 2018.

Inspections in this industry focused on the main health and safety issues including maintenance activities, vehicle movement, work at height, management of asbestos, machinery guarding, training of workers, vulnerable workers and health issues relevant to the company. Staff from the Agri-food team carried out over 100 inspections of food and drink processing companies. Business advisors from HSENI provided practical help and advice on the management of health and safety in food and drinks processing premises, providing over 10 advisory visits in 2019. This valuable support was well received by those companies who took up the offer of assistance.

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# Construction

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Sadly in 2019-20 there were four fatalities on construction sites. The main cause of major injury accidents in construction remains falls from height.

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Reducing the number of injuries and deaths is a priority for HSENI, in order to help prevent the devastating effect these accidents have on the lives of workers and their families. In 2019-20 the Construction group issued 108 Prohibition Notices targeting work at height, plant maintenance and control of asbestos. The Construction group handled 415 complaints in 2019-20, which is a reduction from the previous year, and recognises the new complaints handling system and the effect it has on operational groups.

During 2019-20, HSENI continued to raise the profile of health during site visits including respirable crystalline silica, occupational cancers and manual handling. During relevant inspections, the requirement for face fit testing for all tight fitting Respiratory Protective Equipment (RPE) was discussed. HSENI continues to inspect welfare facilities on site to ensure these meet the legal standards.

## BuildHealth

The BuildHealth initiative continues to build on a successful past with new companies joining every year. It is very encouraging to see the industry being proactive in improving the health of the workforce and especially encouraging to see the mentoring role carried out by the larger companies with their sub-contractors. A free BuildHealth Workshop was delivered on 4 April 2019 in Londonderry on 'Managing Asbestos and Dust on site'. The workshops provided small builders with practical advice on how to implement controls to improve occupational health on site.

A successful BuildHealth and Institute of Safety & Health (IOSH) joint conference was held on 15 October 2019 in Templepatrick. The key note speaker was Professor Alistair Gibb, head of construction and engineering management at Loughborough University. Alistair has managed teams working on many research projects in construction innovation and health and safety.

## Asbestos

HSENI continued to exercise its statutory function as a licensing authority and conducted interviews with companies either renewing their asbestos licences or those applying for the first time. Inspection of licensed asbestos removal work formed a part of the normal day-to-day work carried out by Construction inspectors this year. Asbestos is routinely discussed at site visits and concerns in this area are regularly reported and dealt with as complaints.

The presence of asbestos in existing buildings is also discussed with clients and designers. They are informed of the need to include asbestos refurbishment and demolition surveys as part of the preconstruction information for the project. This remains an ongoing area of interest which HSENI inspectors undertake, also engaging with Local Authorities in some joint working.

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## Plant Initiative

In January 2020 HSENI undertook a plant initiative across house building sites in Northern Ireland with the clear message that construction plant accidents are preventable. All non-compliant plant, unsafe practices and inadequate segregation of pedestrians and vehicles on local building sites were targeted. It was noted that operative training was in place in 98% of the sites but improvement is needed in maintenance of fleet including handbrakes and mirrors. Vehicle pedestrian segregation remains a big challenge across the industry.

## Other Promotional Activities

HSENI continues to work in partnership with a number of key stakeholders in order to promote important health and safety messages to the construction industry. Such collaboration during 2019- 20 included:

- Liaison with the HSE (GB) Asbestos Licensing Unit;
- Membership of industry panels & forums such as the Institution of Civil Engineers (ICE) and the Industrial Liaison Panel (ILP) at Ulster University;
- Advisory representation at the meetings of the health and safety officers of Government groups in the Central Procurement Directorate (CPD); and
- Participation in industry seminars.

# Extractive Industries and Waste

The extractive industries are a major contributor to the Northern Ireland economy. There are around 170 quarries which produce approximately 24 million tonnes of aggregates annually. These are mainly for the construction industry.

The quarry industry exports high quality aggregates used in road surfacing to Great Britain (GB) and Europe and produces high quality limestone and chalk that is used in many downstream products such as fertiliser and animal feedstuffs.

The concrete products industry in Northern Ireland also produces a wide range of products such as kerbstones, concrete floor slabs, paving slabs and concrete pipes. Many of these products are exported to the GB market. The extractive industries employ approximately 6,500 people in Northern Ireland.<sup>5</sup>

## Quarry & Concrete Industry

HSENI, supported by the Mineral Products Association Northern Ireland (MPANI) and the Institute of Quarrying (IoQ), delivered 12 workshops to the quarry industry across Northern Ireland during November 2019. These workshops were part of HSENI's focus on occupational health in the quarry industry and highlighted the potential for quarry workers to be robbed of their old age and retirement. Workshops were attended by approximately 150 quarry workers from around 80 quarries. The key message for the quarry industry was 'A Quarry Worker is five times more likely to die from Chronic Obstructive Pulmonary Disease (COPD) than a worker in the general population'. HSENI is proactively working with the quarry industry to ensure each quarry takes action to implement a dust strategy for their individual quarry. The dust strategy will assist in reducing worker health issues arising from dust exposure.

During November 2019 HSENI, in association with HSENI's Mental Well-being at Work Advisory Service, delivered an awareness seminar to senior directors from the quarry and concrete industry on the use of HSE (GB)'s Management Standards as a tool to control the risks associated with work-related stress in their individual businesses. The purpose of the initial seminar held in Larne was to provide the senior management of the larger companies with the necessary information and encouragement to put systems in place to support their line managers. Further seminars are planned for line managers working within the extractive industry in 2020-21.

HSENI continues to work with MPANI to ensure the message that quarries are not playgrounds is widely circulated. A joint letter highlighting the 'Play Safe Stay Safe' campaign was sent to all school principals. A joint press release was issued to alert the public of the dangers of very cold deep water in both active and abandoned quarries, warning that these should not be used for swimming.

A planned workshop for the pre-stress concrete industry to address noise, dust and machinery guarding on mobile saw machines used in long bed production was postponed and will be delivered during 2020.

HSENI continued to provide planning advice as a consultee to Strategic Planning and the Local Planning Offices within the 11 councils in Northern Ireland on matters relating to both quarries and mines.

<sup>5</sup> Source – Northern Ireland Statistics & Research Agency (NISRA) Quarterly Employment Survey Quarter 4 2019: Date published 17 March 2020

## Explosives

In November 2019 a Memorandum of Understanding was made between the Department of Justice (DoJ) and HSENI on the provision of explosives-related technical support. Since then HSENI has provided assistance to the Department of Justice in exercising its responsibility as the enforcing authority for explosives.

HSENI organised a seminar for Regulators on the use of explosives in demolition in February 2020. The guest speaker was John Wolstenholme FIStutE, FIExpE, who is a Principal Inspector with the Office for Nuclear Regulation and former past President of the Institute of Explosives Engineers. Attendees at the event held in Belfast included representatives from DoJ, Police Service for Northern Ireland (PSNI), and the Health and Safety Authority (Republic of Ireland), as well as HSENI inspectors from the Explosives, Construction, Extractive Industries and Waste Groups. The purpose of the seminar was to examine in detail the planning cycle for a blow down event such as the demolition of a high rise block of flats using explosives. Incidents in recent years involving the use of explosives in the demolition of high rise blocks of flats where the demolition did not go according to plan certainly highlight the need for



(L-R) John Wolstenholme, Principal Inspector with the Office for Nuclear Regulation, with Ken Logan, HSENI Principal Inspector of Explosives

good planning.

## Abandoned Mines

The Department for the Economy (DfE) has responsibility for the approximately 2,400 abandoned mine workings in Northern Ireland. In order to manage these abandoned mine workings, DfE formed the Northern Ireland Mines Oversight Committee (NIMOC). HSENI provides technical support to this working committee.

## Mining Industry

HM Inspectors of Mines in Great Britain continue to provide technical support to HSENI on mining activities and have been involved in a number of major hazard topic inspections at mine workings in Northern Ireland during 2019-20. Topics covered included ground control, electrical power systems and diesel vehicle fire prevention.

## Waste Industry

The waste and recycling sector in Northern Ireland has approximately 5,500 employees involved in the recycling of paper, cardboard, plastic, glass, metals, green waste etc. in order to greatly reduce the demand for landfill.<sup>6</sup>

It is a rapidly growing industry with numbers expected to rise three fold over the next 10 to 15 years and is made up of approximately 500 waste premises such as waste management sites, permitted sites, authorised treatment facilities and licence exempt sites.

Target areas for inspection have been established and include workplace health (musculoskeletal disorders, dust and welfare facilities), workplace transport (vehicle all round visibility and vehicle / pedestrian segregation) and machinery (guarding, isolation and safe maintenance). Efforts continue to raise awareness within the industry and, where necessary, proportionate enforcement action is taken to ensure employee safety. HSENI intends to place a continued emphasis on occupational health in the waste and recycling sector during 2020-21.

<sup>6</sup> Source – NISRA Quarterly Employment Survey Quarter 4 2019: Date published 17 March 2020

## Waste Industry Safety and Health Forum (WISHNI)

HSENI has continued to support the Waste Industry Safety and Health Forum for Northern Ireland (WISHNI) providing health and safety advice and resources for industry, as well as raising awareness through the sharing of best practice. The WISHNI forum meets every three to four months and consists of a partnership of private industry, regulators and local councils.

The seventh annual Ambassador Awards presentation took place at Malone House, Belfast in March 2020. Newly appointed Ambassadors were recognised for health and safety best practice and a willingness to engage with other businesses to help improve standards within the industry. Four organisations were recognised at the awards ceremony. A returning award category this year was for 'Student Ambassador'. The successful student, an Environmental Health undergraduate from Ulster University, was recognised for a piece of coursework which focused on the importance of managing and reducing noise within the UK waste industry.



(L-R) Jim King, WISHNI Chairperson, David Donnelly (Re-Gen Waste Limited), Damien Teague (McQuillan Environmental Ltd), Maria Gribben (Student Ambassador), Michael McLaughlin (McKinstry Skip Hire), Anne Coyle (ReCon Waste Management), and Robert Kidd, HSENI Chief Executive

Following the awards ceremony, a health and safety seminar was attended by over 70 delegates from across the industry. Throughout the event exhibitors provided advice and services specific to the requirements of the industry.

## Major Hazards, Gas and Transport

HSENI's Major Hazards, Gas and Transport Group is involved in ensuring public and employee safety across a diverse range of industries and activities. These include gas transmission, gas distribution and use, land use planning, sites subject to the Control of Major Accident Hazards Regulations (COMAH), road haulage, bus operators, railways (mainline and heritage) and airports. It is difficult to judge the total numbers employed within this diverse arena, but it is estimated to be over 30,000.

### Gas Safety

A new five year, UK wide Service Concession Agreement (SCA) for Capita Gas Registration and Ancillary Services (CGRAS) to run the Gas Safe Register (GSR) – the official list of gas engineers registered to work legally and safely in NI and GB, commenced on 1 April 2019.

In partnership with the Gas Safe Register, visits and inspections were conducted in the downstream private, industrial and commercial sectors with enforcement action being pursued as necessary to ensure the safety of members of the public and employees being harmed by unsafe gas work.

The Joint HSENI and District Council Gas Safety Regulators Group continued to meet regularly during 2019-20. The group shared knowledge on a range of gas topics, including gas appliances and the safe installation of gas equipment, and in doing so helped to promote consistency and good practice in gas safety regulation.

The continued expansion of the natural gas networks, including the ongoing Gas to the West (GttW) project, led to further planned visits and inspections within the natural gas transmission and distribution sectors of the industry to ensure compliance.

### Major Hazards - Control of Major Accident Hazards (COMAH)

The NI Competent Authority for the Seveso II Directive comprises the Northern Ireland Environment Agency (NIEA) and HSENI, acting as a joint Competent Authority to deliver a programme of inspections and advice for those sites subject to COMAH, with 10 sites being categorised at higher risk ('upper-tier') and 14 sites as lower risk ('lower-tier'). The majority of COMAH sites in Northern Ireland are subject to these regulations because they have extensive oil and gas storage facilities. Consequently HSENI is closely involved with large scale oil and gas storage proposals from design through to build.

All sites are inspected by HSENI and NIEA (usually together), to determine compliance with the COMAH regulations. Agendas for inspection and advisory visits are prepared based on HSE (GB)'s COMAH enforcement guidelines. Inspection reports are completed outlining any necessary improvement plans or enforcement actions. The risk management basis of each COMAH site is regularly reviewed.

HSENI also has responsibility for ensuring that external emergency plans covering off-site risks are prepared, tested and reviewed for all 'upper-tier' COMAH sites.

HSENI has responsibility for ensuring that external emergency plans covering off-site risks are prepared, tested and reviewed for all 'Upper Tier' COMAH sites. 'Upper Tier' COMAH sites are also required to prepare, test and review internal emergency plans covering on-site risks.

### Land Use Planning

HSENI is a statutory consultee to the Planning Service on developments in the vicinity of COMAH sites, gas transmission pipelines and other significant hazards. This is to ensure members of the public, in particular vulnerable groups, who work or live near such hazardous installations, are not subjected to an unacceptable level of risk.

HSENI continued to highlight the importance of consultation in relation to the Planning Advice for Developments near Hazardous Installations (PADHI) and provide advice as a statutory consultee to Strategic Planning and the Local Planning Offices within the 11 local councils in Northern Ireland. In total, the Major Hazards, Gas and Transport Group advised on 96 such statutory consultations during this period.

### Transport

Inspections and investigations have encouraged the use of the available checklists to help identify gaps in arrangements for ensuring that this risk is effectively managed. This has included the need to manage the occupational road risk to safeguard members of the public as well as the driver of a company vehicle.

In addition, investigation work has been carried out across a wide range of peripatetic activities. Falls from vehicles during loading and unloading operations, the vehicle / pedestrian interface, and load safety, particularly security of loads which can cause significant risks during transit and at delivery sites, continued to be the key topics focused on during inspections and investigations in this sector. A focus was also maintained on occupational health matters within the sector such as hand arm vibration syndrome (HAVS) and manual handling.

### Carriage of Dangerous Goods by Road

The legislation dealing with the carriage of dangerous goods (CDG) is the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations (NI) 2010 (as amended) which, with some exceptions, requires duty holders to comply with the European Agreement concerning the International Carriage of Dangerous Goods by Road, commonly known as ADR.

Inspection of compliance with CDG Regulations during 2019-20 included on-road inspections of dangerous goods traffic (with PSNI) as well as duty holders' premises. This involved both an assessment of management systems, including the role of a Dangerous Goods Safety Advisor (DGSA), and checks on vehicles at the premises.

The focus was on the most important requirements, i.e. those that contribute significantly to the safety of the public, etc. such as:

- the integrity of packages, tanks etc.;
- tank testing and ADR vehicle and annual technical inspection of road vehicles;
- documentation;
- equipment including fire extinguishers;
- other matters of obvious concern, e.g. insecure loads;
- driver training;
- vehicle placarding and orange plate marking; and
- package marking and labelling.

### Railways

HSENI continued to conduct joint inspections in conjunction with Northern Ireland Railways (NIR), Transport NI and PSNI. The physical arrangements in terms of provision of appropriate barriers, signage and vegetation control were examined at level crossings. Inspection work was carried out in relation to railway operations during this period. The Department for Infrastructure (DfI) operates a licensing regime for heritage/ minor railways. HSENI provides advice to the DfI with regard to this and carries out inspections.

## Manufacturing, Utilities and Docks

The Manufacturing, Utilities and Docks (MUD) group has enforcement responsibility across a very wide range of businesses and activities. This year, as in previous years, priority was given to the core business activities of inspection and the investigation of complaints and incidents across these sectors.

### General Manufacturing

The manufacturing sector includes companies that manufacture or process a wide and diverse range of products. These range from heavy and light engineering, aerospace, wood based products, plastics, rubber, electrical, vehicles, pharmaceuticals and glass, as well as vehicle repair and maintenance. Overall the industry employs approximately 67,000 people on a full and part-time basis.<sup>7</sup>

Inspections and investigations focused on machinery guarding, maintenance activities, workplace transport, operator training, the operation and maintenance of forklift trucks, lifting and slinging operations, slips and trips, as well as health issues including, noise, fumes, manual handling and hand arm vibration syndrome.

Health concerns regarding the fumes generated when welding mild steel have been a major issue in the manufacturing sector. HSENI has been working with industry to raise awareness of the risks from welding fume and assisting industry to put in place measures to control the issue.

### Docks, Harbours and Ports

During 2019-20, inspection activity in the docks, harbours and ports throughout Northern Ireland continued to focus on plant maintenance, workplace transport, lifting operations, work in confined spaces and the management of contractors and tenants, as well as the health risks associated with dusty cargoes and paint spraying of isocyanides.

### Utilities

Inspections and investigations of complaints and incidents were carried out in the telecommunications,

water, sewerage and the electrical generation and distribution industries during 2019-20.

Work continued to address the requirements under the Electricity Safety, Quality and Continuity Regulations (ESQCR). A number of inspections took place on electrical infrastructure on private networks and with the main electricity network provider in Northern Ireland. HSENI engaged with Northern Ireland Electricity (NIE) and with private clients in relation to their duty to risk assess overhead powerlines and substations from dangers to the public arising from interference, vandalism or unauthorised access.

Within the renewable energy sector, work continued with the programme of inspections on wind farm operators, focusing on emergency planning and emergency rescue.

### Business Advisor

During 2019-20, the business advisor within the group carried out over 50 advisory visits to a range of manufacturing companies and provided practical advice and guidance on managing health and safety within the workplace. The advisor also delivered 39 presentations to young people in third level education who will soon enter work, as well as numerous farm safety presentations to primary school children as part of the Child Safety on Farms and BeeSafe programmes.

### COVID-19

The COVID-19 pandemic at the end of the financial year created significant concerns amongst employees and led to a very substantial increase in the number of complaints received by HSENI. Almost 200 complaints were dealt with by the MUD team during the month of March. The main concerns raised included social distancing, housekeeping, vulnerable groups, personal protective equipment, risk assessment, communication with employees and public health messages.

<sup>7</sup> Sources - NISRA and Invest NI

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# Major Investigation Team

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During 2019-20, the Major Investigation team (MIT) took on investigations into ten new incidents, six of which were fatal accident investigations. In addition, the team carried forward seven investigations from the previous operational year. Of the six fatal accident investigations that MIT is involved in, two relate to incidents within the Agri-food sector, and the remaining four occurred within the Manufacturing, Docks, Healthcare and Private Waste sectors respectively.

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In total, seven cases were submitted to the Public Prosecution Service between 1 April 2019 and 31 March 2020. Also, during the same period, a total of 14 prosecutions were completed. The total amount of fines arising out of these cases was £602,500.

Poorly maintained plant and equipment, unguarded machinery and a lack of suitable and sufficient risk assessments resulting in unsafe systems of work were factors in a number of incidents.

One case in particular related to a poorly planned lifting operation which could easily have resulted in a fatality. A lorry driver was in the vicinity of an unloading operation to remove a stacker truck from the rear of a flatbed lorry using a forklift truck. During the operation the stacker truck fell off the forks of the forklift truck landing on the lorry driver who sustained serious injuries. This incident was entirely foreseeable and could have been avoided if a suitable and sufficient risk assessment had been carried out which would have identified simple control measures and the correct equipment for the job. The company taking delivery of the load failed to identify the risks associated with the activity and was subsequently fined £150,000.

A further four cases carried over from previous operational years are currently in the court system. Details of all prosecutions completed during 2019-20 are set out in Appendix 3 to this report.

HSENI also issued a press statement following the completion of each prosecution. This is an essential action to highlight the failings which led to the incident, lessons learned and also acts as an important means of signposting other duty holders to sources of information and advice on how to work safely and ultimately avoid prosecution.

HSENI continues to use information relating to incidents to highlight the dangers of such activities through general inspections, advertising campaigns, press articles and seminars to the relevant industries.

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# Public Sector

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The Public Sector Group (PSG) combines Health, Education, Social Care, Disciplined Services, Local and Central Government with associated activities and Agencies. The group also includes the Product Safety team, Fairgrounds and Genetically Modified Organisms (GMOs) in Contained Use.

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Employment figures published by the Northern Ireland Statistics and Research Agency (NISRA) indicate that during the reporting period the Public Sector employed just over 27% of the working population in Northern Ireland.

During 2019-2020, just under half (48%) of the accidents reported to HSENI as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) involved public sector activities.

The emergence of the COVID-19 pandemic towards the end of 2019-20 meant that inspectors dealt with a large number of complaints and enquiries across all our sectors concerning social distancing and the provision of PPE.

## Local Authorities

During the year HSENI inspectors carried out inspections and investigations into a range of Local Authority (LA) activities. Management of waste and waste collection is a major part of LA activity. There were ongoing interactions with councils throughout the year in relation to bin loading and refuse collection vehicle (RCV) movement following a fatal incident when an operative was struck by a reversing RCV. These included unannounced observations and checks followed by meetings with council management to review vehicle CCTV footage, route risk assessments and discuss measures councils are implementing. Where necessary, additional measures were discussed. Officers continued to carry out unannounced visits to household

recycling sites to review traffic management, the safe operation of compactors, safety of members of the public on the site and to follow up on complaints.

Safe operation of leisure facilities also featured on the inspection programme, including the management of asbestos and legionella, with a number of leisure centres and associated premises visited, including those managed by private companies.

HSENI regularly attends the Local Authorities Health and Safety Advisors Network (LASAN) and has briefed the Local Authorities Technical Advisors Group (TAG) on HSENI's role and current health and safety issues relating to Local Authority activities including safe operation of RCVs.

## Disciplined Services

These services comprise PSNI, the Northern Ireland Fire and Rescue Service (NIFRS), the Northern Ireland Prison Service, the Maritime and Coastguard Agency and the Ministry of Defence. During the year, the group continued to provide these organisations with advice and guidance and undertook investigations when necessary. Throughout the year HSENI inspectors have continued to meet with senior managers and employee representatives from the Disciplined Services to discuss health and safety related issues.

## Government Departments/ Agencies

HSENI continues to be represented at the Interdepartmental Health and Safety Forum (IDHSF), as well as on the Department of Justice health and safety group. HSENI inspectors continue to work closely with the Health and Safety Officers from various Departments and Agencies to provide general health and safety advice or to investigate incidents or complaints. During the year HSENI inspectors engaged with the Driver Vehicle Agency (DVA) in relation to cracks which appeared on vehicle lifts in the Test Centres.

## Education

Within the education sector, inspectors dealt with a range of complaints, investigations and advisory contacts across all levels in the education sector. The work within this sector, like so much of the public service, extends to the health and safety of both staff and pupils, parents and visitors. Issues raised continued to be in relation to slips, trips and falls. During the year inspectors continued to work closely with the Education Authority's (EA) Quality Health and Safety Unit and Safety Officers on matters relating to health and safety in education, including the management of asbestos in schools. These interactions have, as always, proved very beneficial. HSENI continues to liaise with the Department of Education (DE), the EA, the Education Training inspectorate (ETI) and the unions in an ongoing issue in relation to class sizes in practical classes in Secondary Education.

## Health and Social Care

Inspectors continued to carry out inspections and investigations across the health and social care sector within nursing homes, hospitals, health centres, day centres and domiciliary care providers. This work included both reactive and proactive meetings and site visits. The Group continued to respond to complaints from both the public and employees in the health and social care sector. As in previous years, these issues include moving and handling arrangements, the safe use and thorough examination of lifting equipment, legionella management, asbestos management, clinical waste, care plan assessments, accident reporting and investigation.

## Fairgrounds

HSENI has enforcement responsibility for travelling funfairs and fairgrounds which are common in

Northern Ireland. Inspectors carried out a number of inspections at fairground sites across Northern Ireland during which key elements of health and safety management were discussed with operators following specific incidents. General safety of the public on fairgrounds is always a priority including safe access and egress to and from rides, as well as the safe installation and operation of inflatable attractions.

## Biological Agents

HSENI forms part of the Competent Authority (CA) on genetically modified organisms along with the Department of Agriculture, Environment and Rural Affairs (DAERA). HSENI officials are provided with technical support from HSE (GB), under an Agency Agreement.

HSENI takes the lead on behalf of the CA for administering the respective regulations and acts as the point of contact for notifications, enquiries and inspections in Northern Ireland. Premises notified within Northern Ireland range across government laboratories, universities, as well as drug manufacturing and drug testing facilities.

HSENI reports to the European Commission through HSE (GB) regarding Directive 2009/41/EC. This provides an overview of activities and installations, particularly new ones, as well as accidents notified under the regulations and inspection and enforcement issues.

Advice was given to duty holders in relation to contained use regulation around clinical trials in humans and significant changes of circumstances relating to notifications.

Specialist inspectors continued the legionella inspection programme aimed at industrial premises operating wet cooling systems such as cooling towers and evaporative condensers. These inspections followed a pattern of reviewing risk assessments, written schemes of control and statutory record keeping, before a physical check of the plant was completed. The inspections were attended by the company representatives, senior management and responsible persons, as well as a representative from the water treatment company contracted to service and maintain the plant. Inspectors from other groups within HSENI were involved in some of these inspections.

A range of accidents and incidents reported under RIDDOR to HSENI by Health Trusts were investigated.

# Product Safety

The Health and Safety at Work Order 1978 and EU Regulation (EC) No 765/2008 (RAMS) provides the legal framework for HSENI's responsibilities in relation to product safety which includes market surveillance.

EU Market Surveillance helps to protect both those Northern Ireland manufacturers who competently design, equipment and machinery in compliance with EU requirements and the end user from unsafe machinery products.

With the United Kingdom passing the EU (Withdrawal Agreement) Act 2020 in January 2020, HSENI's Product Safety Team (PST) has worked closely with HSE (GB) Safety Unit and the Office of Product Safety and Standards (OPSS) within the Department of Business, Energy & Industrial Strategy (BEIS). This work has focused largely on the complexities of how HSENI will continue to fulfil its obligations, as a Market Surveillance Authority (MSA), post the transition period of the EU (Withdrawal Agreement) Act, and with particular focus on the requirements of the Northern Ireland Protocol (NIP) to maintain EU alignment with the Community Product Supply Legislation, and HSENI's continued requirement to fulfil its obligation under EU Regulation (EC) No 765/2008 (RAMS).

HSENI has also continued to work closely with our sponsor Department, DfE, and Local Authorities to look at the implications of the Northern Ireland Protocol and the implications, post transition period of a no Free Trade Agreement (FTA) with the EU and its potential effect on market surveillance, and the potential for future possible regulatory divergence from Great Britain.

HSENI is a member of the United Kingdom Market Surveillance Network (MSN) which leads on the strategic direction of market surveillance throughout the UK. It also provides a mechanism for cooperation, coordination and the exchange of information between MSAs on policy obligations and policy

concerning products which are placed on the market within the UK, with regard to EU legislation.

As an organisation, HSENI is also a member of BEIS' Intel group that works on Intel sharing across UK MSAs. It also gives a timely opportunity to assess the UK's model of Intel sharing and how to achieve best practice through creating Memorandums of Understanding between various UK MSAs.

HSENI is a leading participative member of BEIS' Northern Ireland Protocol Task and Finish Group, working with other MSAs who carry a MSA function solely in Northern Ireland or nationally, to assess the implications for market surveillance post Transition period if no Free Trade Agreement is reached between Great Britain and the Union.

HSENI in 2020 held an Extractive Industries workshop on the 28 January 2020 with the leading extractive industries within Northern Ireland. The outfall of this workshop continues, as HSENI raises the awareness and necessity of compliance with European Directives and BS EN standards, primarily concerning guarding.

HSENI continues to investigate cases of non-compliant and unsafe machinery involving local and EU manufacturers and importers arising from complaints, inspections at trade shows and notifications from other European MSAs. These have included lifts, machinery, quarry washing and screening products, industrial kitchen equipment and a host of large earth moving plant from within the EEA and from the middle and Far East.



Other day-to-day work of the Product Safety Team includes:

- Updating ICSMS on all cases of Product safety intervention, as a requirement under RAMS (EC Regulation 765/2008);
- Carrying out Proactive Market Surveillance on sector specific initiatives to increase awareness within the sector, i.e. Extractive industries;
- Carrying out our statutory duty in relation to the requirements of BEIS's Regulatory Delivery Team, by making returns on our market surveillance activity; and
- Preparing as an invited speaker each year at the annual United Kingdom Product Safety Conference in Great Britain.

The main focus of the Product Safety team has been preparation for the UK's exit from the EU, and after the EU (Withdrawal Agreement) Act, became legislative, working on the implications of the Northern Ireland Protocol. However work has continued on investigations and proactive market surveillance within the Machinery Directive [Supply of Machinery (Safety) Regulations]. However, other market surveillance has taken place across other directives where a product safety issue has been identified.

HSENI will continue to work and prepare alongside BEIS, HSE (GB), and our sponsor Department, DfE, on the implications of the Northern Ireland Protocol with regard to regulatory compliance, market surveillance and the implications of possible regulatory divergence from Great Britain.

## Occupational Health and Hygiene Group

The Occupational Health and Hygiene Group is comprised of a Principal Inspector, an Inspector, an Occupational Health Professional, the Mental Well-being at Work Advisory Service and Scientific Services. In addition, the group also maintains oversight and operational responsibility in relation to the regulation of ionising radiation across all industries.

Updated statistics in relation to occupational ill-health in Northern Ireland suggest an approximate cost of £238 million to the local economy and an estimated 355 people die each year due to work-related disease. These figures emphasise further the work of the Occupational Health and Hygiene Group in leading on the occupational health priority areas as outlined within HSENI's Corporate Plan 2018–2023. These priority areas are:

- Occupational lung diseases;
- Occupational cancers; and
- Work-related stress and musculoskeletal disorders.

The importance of maintaining links with industry and key stakeholders has been maintained and not least as an active member of the Workplace Health Leadership Group Northern Ireland (WHLGNI).

In November 2019, WHLGNI, in partnership with HSENI, delivered a two day occupational health conference entitled 'Managing Workplace Health: Fit for Purpose'. The conference, held in the greater Belfast area, had over 550 attendees, 20 plenary session presenters, nine workshop facilitators and 32 exhibitors. The Occupational Health and Hygiene Group was able to contribute significantly from event planning and organisation, to the delivery of workplace health related presentations and workshops. Many of the themes of the conference focused on HSENI's key workplace health priorities. The success of the conference highlighted further the value of HSENI working in partnership.



Pictured at the WHLG Conference are L-R Wilson Lambe, Chair of WHLG, Dr Michael McBride, Chief Medical Officer, Department of Health, Robert Kidd, HSENI Chief Executive, Professor David Fishwick, Chief Medical Officer, HSE GB, and Lynda Bryans

Other examples of HSENI's partnerships include working with the Department for Communities (DfC) and the Construction Industry Training Board (CITB) Northern Ireland. In partnership, HSENI has been able to facilitate the development of a new pilot for the construction sector as part of the Condition Management Programme. The pilot when launched will be open to the self-employed or employees working for companies employing less than 10. Employees will be able to benefit from the help of health care professionals suffering from a range of mental and physical health conditions. The programme is designed to help workers to stay in work, expedite a return to work following sick leave or explore future employment options.

The group has also focused on a range of

interventions designed to raise awareness among Northern Ireland employers and to support colleagues in their various inspection roles within HSENI. Visits were conducted at galvanising plants during which particular health hazards were considered, including exposure to hexavalent chromium. Other health hazards considered during inspections included welding, paint spraying and chemical handling.

The availability of an Occupational Health Professional and an Occupational Hygiene Inspector within the group continues to serve as a valuable resource to the inspectorate in providing advice.

### Mental Well-being at Work Advisory Service

The Mental Well-being at Work Advisory Service (MWAWAS) consists of a team of three advisors.

The service has continued to provide advice, guidance and support on how to control the risks associated with work-related stress. During 2019-20, advisors continued to promote and deliver awareness seminars to assist Northern Ireland employers to use HSE's Management Standards as a tool to control the risks associated with work-related stress.

MWAWAS supported a range of organisations in implementing the Management Standards and delivered a total of 15 workshops across Northern Ireland, including three tailored workshops for separate organisations. Advisors actively participated in seminars in conjunction with the Labour Relations Agency (LRA) and made further presentations at events organised by the Mental Health Charter, Public Health Agency (PHA) and WHLGNI Conference in November 2019.

The Advisory Service also promoted the Management Standards within private industry working alongside key stakeholders. Links were established within the farming community in conjunction with the Farm Safety Partnership and work commenced on the development of an online resource for farmers.

Work with other industry bodies, including the Mineral Products Association Northern Ireland (MPANI), enabled a tailored workshop to be delivered to multiple employers within the quarry industry.

Strong working relationships with the PHA Workplace Health and Well-being Programme service providers has also provided many opportunities to provide advice, guidance and tailored support to employers throughout the four health trust areas. This involved the delivery of three additional workshops.

HSENI, in partnership with the PHA, also launched a step-by-step guide on the Management Standards to guide employers through the process.



Pictured at the launch of the step-by-step guide on implementation of the HSE Management Standards are L-R HSENI Mental Well-being at Work Advisor Claire Kelly and Janet Calvert, Health & Social Care NI

Continuing to build and maintain effective working relationships with local mental health organisations and public bodies was a significant part of the day-to-day work of advisors during the year.

Advisors also presented and exhibited at a number of events across Northern Ireland including Mental Health Charter events, NIPSA Conference, WISH NI Ambassador Awards and the Northern Ireland Chest Heart and Stroke Well-being Awards.

### Scientific Services

Scientific Services currently consists of four members of staff with a wide range of skills and experience in the areas of asbestos and wider field of occupational hygiene. The team provides both investigative support and technical advice to the inspectorate. The unit also provides an Asbestos Advisory Service, primarily to the public, on asbestos related matters.

As part of the Occupational Health and Hygiene Group, Scientific Services has increasingly focused on occupational hygiene related investigations in support of field staff. This practice has helped to

embed HSENI's workplace health priority areas within the day-to-day work of the unit.

Scientific Services is accredited to ISO17025, an international standard which enables laboratories to demonstrate that they operate competently and generate valid results. Scientific Services is accredited by the United Kingdom Accreditation Service (UKAS) for a range of procedures including the sampling and identification of asbestos in bulk materials, asbestos air sampling and fibre counting, assessment of Local Exhaust Ventilation (LEV) systems and air sampling for dusts and aerosols. In February 2020 the laboratory successfully maintained accreditation and transitioned to the revised 2017 version of the new ISO standard.

A significant role of Scientific Services is conducting technical investigations on behalf of HSENI inspectors. Although the occupational hygiene work often focuses on asbestos, a wide range of other occupational health hazards that exist within industry are routinely considered. Other health hazards for which investigatory support has been provided include respirable crystalline silica (RCS), isocyanates and welding fume.

Within the last operational year the team has supported the inspectorate by presenting on specialist topics at a number of events which included a presentation in March 2020 to the waste and recycling industry on health hazards associated with dust, a prevalent health risk within this sector. A presentation and practical workshop on LEV was delivered at the WHLGNI conference and a series of presentations were also delivered to duty holders at a separate event focusing on asbestos surveys.

Ongoing advice to field staff has also included training sessions on the health hazards and controls associated with welding fume and asbestos sampling.

During 2019-20 the Asbestos Advisory Service provided asbestos related advice on 54 occasions to members of the public and various stakeholders.

Scientific Services also provides field staff with the provision of aerial photography using an unmanned aerial vehicle (UAV). This additional service has provided a vital resource in connection with safety related hazards connected to the extractive industry.

### Ionising Radiation

A review of the UK's regulatory infrastructure for nuclear, radiation, radioactive waste and transport safety took place in October 2019. This review was conducted by the Integrated Regulatory Review Service (IRRS) on behalf of the International Atomic Energy Agency. It focused on all relevant regulators across the UK, including HSENI. HSENI continues to review and implement relevant recommendations. The process has also served to strengthen working relationships with other regulators both locally and in Great Britain.

During the last operational year much effort has focused on developing staff competencies in relation to ionising radiation inspection duties. This has involved extensive training and joint visits to a range of premises including veterinary practices and healthcare premises where ionising radiation is commonly used. Visits have also focused on the safe use of nuclear density gauges and the investigation of elevated levels of radon within workplaces.

# Health and Safety at Work Legislation

One of the key targets as detailed on HSENI's Corporate Plan is to 'Maintain an up-to-date regulatory framework, including the outworking of the UK's exit from the EU, which affords appropriate protections and conditions to workers, while also supporting businesses in terms of streamlining the requirements placed on them'.

During 2019-20 HSENI continued to be involved in a significant amount of work to ensure the operability of the health and safety at work regulatory framework following the UK's exit from the EU.

## Activity during the year

During the year, HSENI continued work on legislation to address deficiencies and inoperabilities following the UK's exit from the EU.

The remaining legislation in this tranche had been deferred from 2018-19 and, following the return of the NI Assembly in January 2020, the Minister for the Economy gave exceptional approval to the continued inclusion of Northern Ireland provisions in Westminster legislation. This approval related to the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment (Amendment) (EU Exit) Regulations 2020, on the basis of its drafting being at an advanced stage and with Westminster legislation due to be laid imminently. The Westminster scrutiny committees concluded that a different Parliamentary procedure should have applied to the legislation and it was withdrawn by the Department for Transport. As the legislation will now be revised, the Northern Ireland provisions will be brought forward in a separate Northern Ireland Statutory Rule.

HSENI also contributed to amendments to a Northern Ireland Statutory Rule that was included in a Westminster 'no deal' EU Exit Statutory Instrument. The Product Safety, Metrology and Mutual Recognition Agreement (Amendment) (EU Exit) Regulations 2019 were made on 9 September 2019 and include a further EU exit related amendment to

the Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2017.

HSENI was involved in the preparation of two agency agreements, one in relation to biocidal products involving HSE (GB) and HSENI and one in relation to classification, labelling and packaging involving HSE (GB), DfE and DoJ. Both agreements were related to the UK's exit from the EU and were finalised and signed by the Northern Ireland signatories. However, HSE (GB) subsequently advised that, following enactment of the EU (Withdrawal Agreement) Act 2020, the agreements will need to be reviewed and amended as appropriate.

When the UK left the EU on 31 January 2020 it entered the implementation period. During this period the UK is no longer a member of the EU but continues to be subject to EU rules and remains a member of the single market and customs union. This is designed to allow the UK to continue its current relationship with the EU while the future trading relationship is negotiated. HSENI is currently involved in a significant quantity of work to ensure that the health and safety at work regulatory framework will be operable when the implementation period ends on 31 December 2020. In addition, HSENI is also involved in an extensive body of work to make preparations for the implementation of the Ireland – Northern Ireland Protocol, a specific provision of the EU – UK Withdrawal Agreement designed to address the relationship between Ireland and Northern Ireland following the UK withdrawal from the EU. The Protocol requires Northern Ireland to continue to align with certain

provisions of the EU. HSENI is making the necessary preparations to ensure Northern Ireland aligns with the relevant EU legislation which covers a number of areas such as consumer goods, product safety and chemicals.

Following the closure of the HSENI consultation on revised requirements for radiological protection on 25 May 2018, HSENI was heavily involved in the development of two sets of proposed Regulations to implement, in Northern Ireland, the emergency preparedness and response elements of the Basic Safety Standards Directive 2013. The Directive lays down minimum radiation safety standards for three exposure groups: medical patients, workers and members of the public. The resulting Carriage of Dangerous Goods (Amendment) Regulations 2019 and Radiation (Emergency Preparedness and Public Information) Regulations 2019 were made on 21 May 2019 and 26 September 2019 respectively.

Following consultation with Northern Ireland Departments, HSENI brought forward Regulations to amend Schedule 2 to the Employer's Liability (Compulsory Insurance) Regulations (Northern Ireland) 1999 ('the 1999 Regulations'). This Schedule lists public bodies that are exempt from purchasing employers liability insurance because the sponsor

Department has provided a guarantee that any claim against the body in respect of liability to an employee will, to any extent that it is unable to be satisfied by the body itself, be satisfied out of moneys provided by the Northern Ireland Assembly. The Employers' Liability (Compulsory Insurance) (Amendment) Regulations (Northern Ireland) 2019 were made on 22 October 2019 and added Comhairle na Gaelscolaíochta, the LRA, and the Northern Ireland Council for Integrated Education to the exemptions in Schedule 2 to the 1999 Regulations. They also removed the Ilex Urban Regeneration Company Limited, the Northern Ireland Legal Services Commission, the Northern Ireland Memorial Fund, the Planning Appeals Commission and the Water Appeals Commission for Northern Ireland as, for various reasons, they no longer need to be included.

During the year, in order to implement Directive (EU) 2017/2398, HSENI initiated a consultation exercise on proposals for the 'Revision of limit values in EH40/2005 "Workplace Exposure Limits" and Amendments to Mines Regulations (Northern Ireland) 2016'. The approval of the revised EH40/2005 Workplace Exposure Limits document was subsequently effected.

Details of work completed during 2019-20 include:

## Northern Ireland Regulations prepared

The Carriage of Dangerous Goods (Amendment) Regulations (Northern Ireland) 2019 (S.R. 2019 No. 11)

The Radiation (Emergency Preparedness and Public Information) Regulations (Northern Ireland) 2019 (S.R. 2019 No. 185)

The Employers' Liability (Compulsory Insurance) (Amendment) Regulations (Northern Ireland) 2019 (S.R. 2019 No. 205)

## EU Exit Regulations prepared

The Product Safety, Metrology and Mutual Recognition Agreement (Amendment) (EU Exit) Regulations 2019 (S.I. 2019 No. 1246)

## Consultations initiated

Carcinogens and Mutagens – Revision of limit values in EH40/2005 'Workplace Exposure Limits' and Amendments to Mines Regulations (Northern Ireland) 2016

## Revised Approved Codes of Practice and Guidance published

EH40/2005 Workplace exposure limits: Containing the list of workplace exposure limits for use with the control of Substances Hazardous to Health Regulations 2002 (as amended)

## Agency Agreements prepared

Agreement on classification, labelling and packaging with HSE (GB), DfE and DoJ (to be reviewed following enactment of the European Union (Withdrawal Agreement) Act 2020

Agreement on biocidal products between HSE (GB) and HSENI (to be reviewed following enactment of the European Union (Withdrawal Agreement) Act 2020

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# Case Management System

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HSENI operates an ICT system to manage casework, facilitating key business processes and the work of staff within the organisation. The system also provides online facilities for members of the public to complete statutory forms and provide key information. In order to replace the previous case management solution which was no longer supported, HSENI tendered for a replacement in autumn 2016 and after a CPD procurement tender exercise, the contract was awarded to Equiniti-ICS (incumbent supplier) on 26 October 2017. The new CMS2 system was delivered and went LIVE at the end of May 2019.

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The new system provides a fully integrated case management solution with workflow and document management extensions, data sharing/ external interfacing with other applications, online website form filling functionality, mobile device integration, form scanning of cases and a reporting tool facility for the generation of reports and production of statistics for management reports. CMS2 is a web-based application and business critical system which is used by 80% of HSENI staff and, on a daily basis, by approximately 50% of staff. Key improvements made as part of the redevelopment process include mobile/ tablet device integration with the system to allow field staff to access functionality in the field, improved reporting tools and improved data capture from paper based records.

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# The impact of EU Exit on HSENI's activity and outcomes

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The UK has now left the EU. The transition period is in place while the EU and UK negotiate new arrangements for a trade deal. It will end on 31 December 2020. The Northern Ireland Protocol (NIP) in the Withdrawal Agreement will ensure that the progress that the people of Northern Ireland have made in the 22 years since the Belfast (Good Friday) Agreement is secured into the future. The NIP sets out a number of pieces of EU legislation which will continue to apply in Northern Ireland. The ones which are relevant to HSENI broadly fall into three areas of work:

- maintaining an up-to-date regulatory framework;
- chemicals; and
- product safety.

HSENI will have an involvement in seventeen pieces of legislation and, in some cases, the competent authority role or the associated regulatory activity.

When the outcome of negotiations between the EU and the UK is communicated, the approach which will be required for the majority of this work will become clearer. It will be new business for HSENI and will most likely require new staffing, new policies and procedures and new approaches. HSENI has established a small unit to plan for the delivery of its functions under the NIP.

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## The impact of COVID-19 on HSENI's activity and outcomes

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As the 2019-20 financial year drew to a close, the development of the COVID-19 pandemic and its incredible impact on the organisation and its activities became apparent. Management and staff became acutely aware that HSENI's work would change significantly as a result of the crisis. HSENI's headquarters and regional offices closed in response to Government guidance to work at home where possible. Staff adapted to the new 'remote working' situation as the nature of the organisation's inspectorate and advisory work was now focused primarily on COVID-19 related incidents and queries. An unprecedented number of phone calls and emails in relation to COVID-19 concerns were received during the final weeks of 2019-20.

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As concerns grew throughout the world about the COVID-19 pandemic in March and the UK lockdown was announced on 23 March 2020, there was some impact on the 2019-20 financial position. Savings were accrued as staff training courses that were scheduled in March were cancelled and travel and subsistence spend was reduced as a result of this, along with a reduction in physical site visits due to the COVID-19 pandemic restrictions on activities.

HSENI's versatility and expertise was evident as staff adapted quickly and professionally to new work methods, to handle the huge increase in requests for advice and assistance. The role of HSENI in assisting industry with what is in effect Public Health guidance and supporting co-regulators was difficult to quantify in advance. However from the beginning the challenge was taken up and delivered upon. The economic impacts of the COVID-19 pandemic will be far reaching and it is essential that we maintain a sustainable financial footing for HSENI.

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## Long-term Expenditure Trends

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HSENI is currently funded on a year by year basis. The budget allocation for 2020-21 has been set at a similar level to 2019-20 for revenue expenditure. During the 2019-20 financial year, net expenditure increased with the introduction of an increase in pension contributions brought about primarily by the reduction in the SCAPE discount rate. The development of a new case management system was completed in 2019-20, procured with specific capital budget, over the past two financial years. High levels of capital funding are not expected to be required in the organisation until the new system requires replacement. HSENI does not foresee any significant adjustments to budget levels in the short-term as a result of management decisions but is subject to the impact of overall adjustments to the Northern Ireland block funding and Departmental adjustments particularly in light of the COVID-19 pandemic and the UK's Exit from the EU.

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# Statistics

The following information has been compiled for the work sectors that HSENI is responsible for under the Health and Safety (Enforcing Authority) Regulations (Northern Ireland) 1999. It must be borne in mind that all figures for 2019-20 are provisional.

**Figure 1:** Reported Fatal Injuries Analysis by work sector 2015/16 - 2019/20

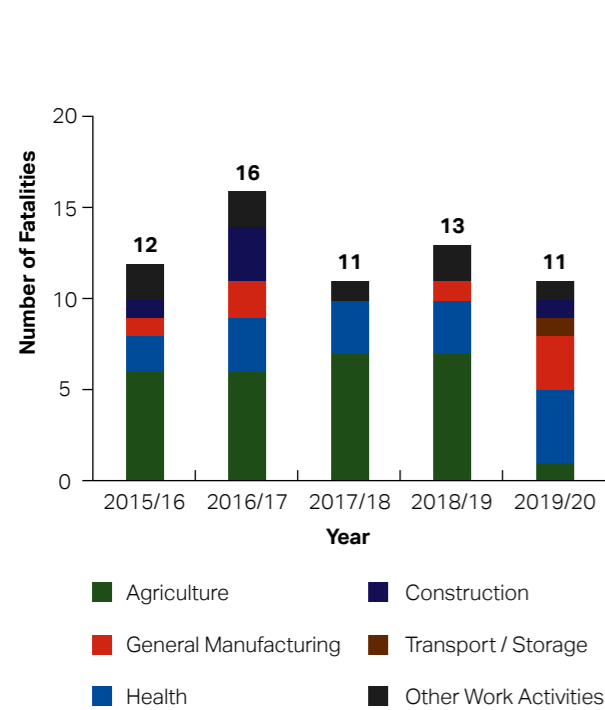
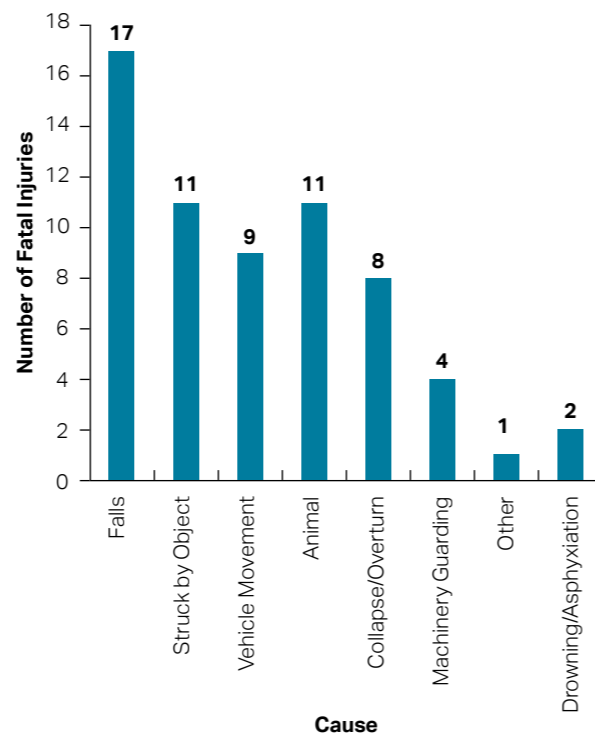


Figure 1 shows that there were 11 (P)<sup>8</sup> fatal injuries during the reporting period, which represents a decrease from the previous year's figure of 13<sup>9</sup>. Of the 11 fatal injuries during 2019-20, four occurred in construction, three in general manufacturing, one in agriculture, one in transport, one in health and one in other work activities.

<sup>8</sup> (P) These figures do not include fatalities where the investigation has not yet established sufficient details to make a decision on their inclusion.  
<sup>9</sup> This figure has been amended to reflect one further fatality which occurred during 2018-19.

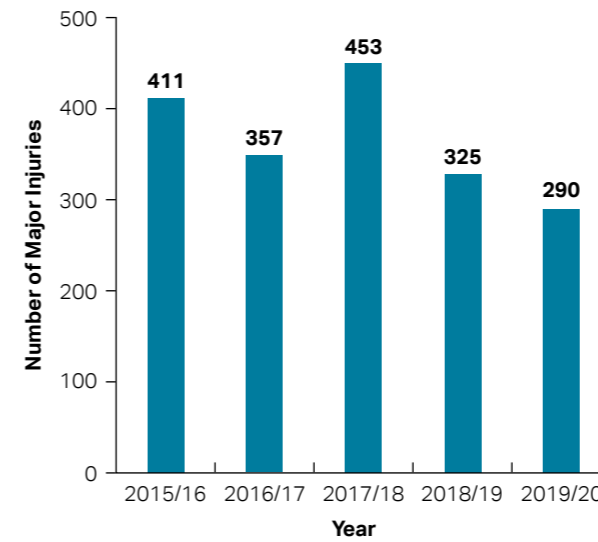
**Figure 2:** Reported Fatal Injuries Analysis by cause 2015/16 - 2019/20



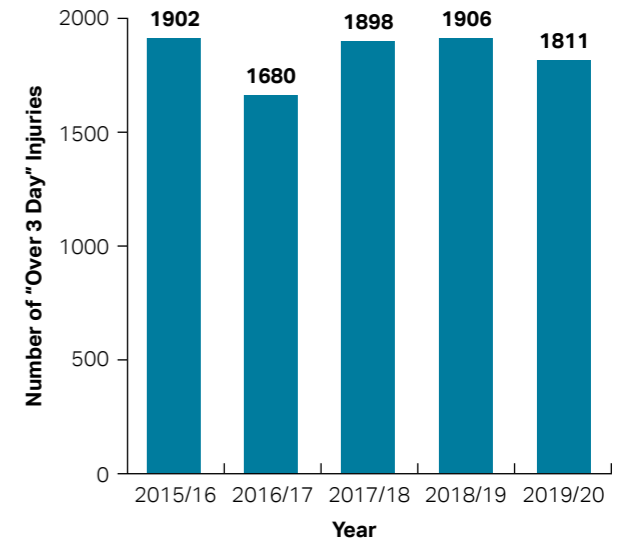
Because of the small statistical base, HSENI publishes analyses of fatal injury causations on the basis of five-year records. The most recent analysis is shown in Figure 2. The most frequent causations over the last five years were falls, vehicle movements, being struck by an object, animals, collapse/overturn, machinery guarding, and drowning/asphyxiation.

While HSENI has confidence in the number of fatal injuries recorded, it is generally recognised that there is a significant degree of under-reporting of incidents in other categories. Nevertheless trends relating to these categories can provide a useful indicator as to general health and safety performance in Northern Ireland. During the year there was 11% less non-fatal major injuries reported to HSENI than the number in the previous year as illustrated in Figure 3.

**Figure 3:** Reported Major Injuries 2015/16 - 2019/20



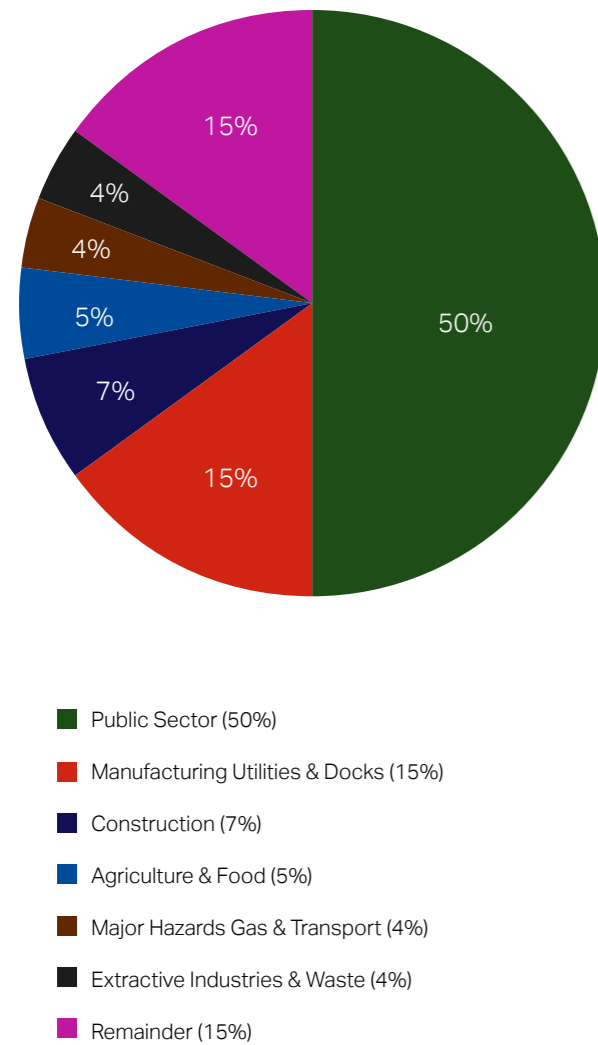
**Figure 4:** Reported "Over 3 Day" Injuries 2015/16 - 2019/20



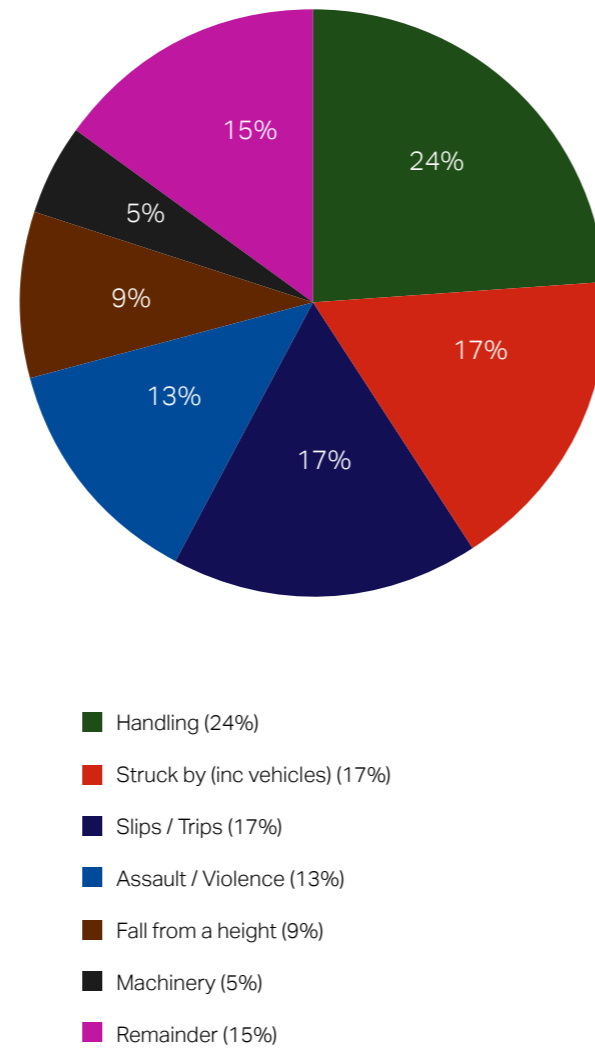
There were 1,811 reported 'over 3 day' injuries during the year, which was a decrease of 95 (5%) when compared to the number in the previous year as illustrated in Figure 4.

Figure 5 represents the analysis of all injuries by work sector. However due to variances in levels of under-reporting between sectors, caution should be applied when attempting to draw any firm inferences from these figures.

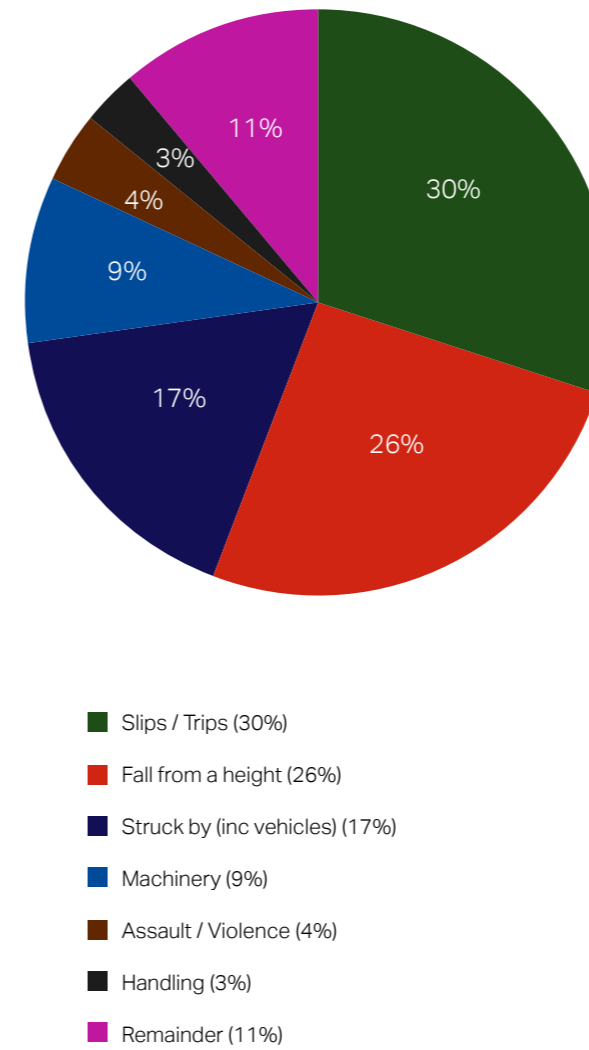
**Figure 5:** All reported Injuries 2019/20 - Analysis by work sector



**Figure 6:** Over 3 Day Injuries 2019/20 - Analysis



**Figure 7:** Major Injuries 2019/20 - Analysis by Cause



Figures 6 and 7 represent analyses of the causes of both 'Over 3 day' and 'major' injuries at work. Handling, slips and trips, and being struck by an object or vehicle accounted for the majority of 'Over 3 day' injuries reported, while slips and trips, falls from height and being struck by an object or vehicle accounted for the majority of 'major' injuries at work during 2019-20.

**Figure 8:** Complaints Received 2015/16 - 2019/20

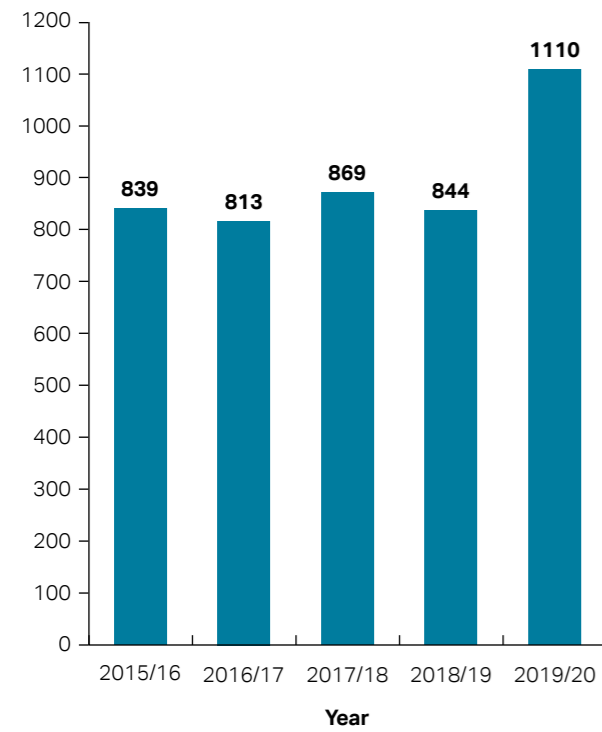


Figure 8 illustrates the number of complaints received by HSENI relating to alleged unsatisfactory working conditions and work-related activities. This year saw a 32% increase in the number of complaints being made when compared to the previous year. This large increase can be attributed to the significant number of complaints received by HSENI as a result of the emergence of the COVID-19 pandemic in the last number of weeks of 2019-20.

**Figure 9:** Reported Serious & Fatal Accidents Analysis 2015/16 - 2019/20

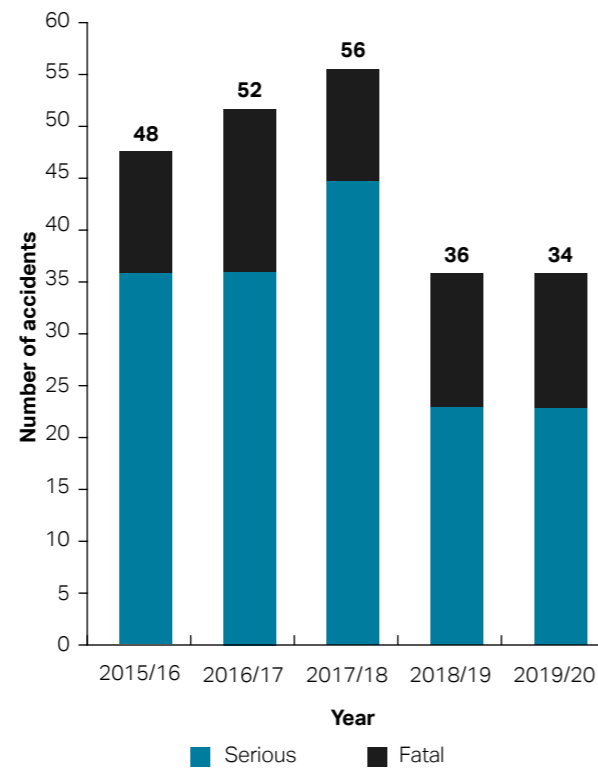


Figure 9 illustrates the number of serious and fatal accidents over the period 2015-16 to 2019-20. This figure provides details on whether or not HSENI is meeting its Corporate Plan target of an average of no more than 50 over the lifespan of the Corporate Plan (2018 – 2023). The graph shows that for the first two years of the Corporate Plan HSENI is well within this target, and it is hoped that this will continue to be the case for the duration of the Corporate Plan period.

## HSENI and District Council Statistics

The information below reflects the Northern Ireland position relating to all regulatory bodies (HSENI and District Councils). Previous year's final figures are shown in brackets. Figures for the current year are provisional..

### 1. Health and Safety at Work Statistics 2019-20

Fatal Injuries	13	(*12)
Major Injuries	364	(334)
Over 3 Day Injuries	2290	(2153)
<b>Totals</b>	<b>2670</b>	<b>(*2499)</b>

\* This figure has been updated to reflect one further reportable fatality relating to 2018-19

### 2. Statistics by Enforcing Authority

	Fatal Injuries		Major Injuries		Over 3 Day Injuries	
HSENI	*11	(13)	290	(325)	1811	(1906)
District Councils	1	(4)	44	(39)	342	(384)
<b>Totals</b>	<b>12</b>	<b>(17)</b>	<b>334</b>	<b>(364)</b>	<b>2153</b>	<b>(2290)</b>

### 3. Five Year Trends

	2015-16	2016-17	2017-18	2018-19	2019-20
Fatal Injuries	13	18	13	*17	*12
Major Injuries	451	404	508	364	334
Over 3 Day Injuries	2313	2039	2231	2290	2153
<b>Totals</b>	<b>2777</b>	<b>2461</b>	<b>2752</b>	<b>*2671</b>	<b>2499</b>

\* This figure has been updated to reflect one further reportable fatality relating to 2018-19



#### 4. All Reportable Fatal Injuries

	Five Year Trend by Enforcing Authority				
	2015-16	2016-17	2017-18	2018-19	2019-20
HSENI	12	16	11	*13	11
District Councils	1	2	2	4	1
<b>Totals</b>	<b>13</b>	<b>18</b>	<b>13</b>	<b>*17</b>	<b>12</b>

\* This figure has been updated to reflect one further reportable fatality relating to 2018-19

#### 5. Employee Fatal Injury Incident Rate – Comparison with Great Britain

	2015-16	2016-17	2017-18	2018-19	2019-20
NI Employees at June rounded to nearest thousand <sup>10</sup>	730	732	756	774	784
NI Fatal Injuries (Employees only)	-	4	1	*6	6
NI Fatal Injuries incidence rate per 100,000 employees	-	0.55	0.13	*0.78	0.77
GB Fatal Injuries incidence rate per 100,000 employees	0.46	0.43	0.45	0.45	n/available

\* This figure has been updated to reflect one further reportable fatality relating to 2018-19

#### 6. Deaths caused, or contributed to, by Asbestos-Related Diseases

Table 1: Asbestos-related deaths in Northern Ireland 2009-2018

Registration Year	Primary / Secondary Cause			All primary or secondary cause
	Mesothelioma without asbestosis	Asbestosis* without mesothelioma	Mesothelioma and asbestosis*	
2009	42	21	-	<b>63</b>
2010	34	15	1	<b>50</b>
2011	51	20	1	<b>72</b>
2012	48	13	1	<b>62</b>
2013	41	19	1	<b>61</b>

<sup>10</sup>Figures used for 2015-16, 2016-17 and 2017-18 reflect December for that financial year

2014	39	22	2	<b>63</b>
2015	43**	24	3	<b>70</b>
2016	45	17	1	<b>63</b>
2017	47	30	-	<b>77</b>
2018	49	13	1	<b>63</b>

\* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure

\*\* In 2015 there are two mesothelioma cases included that were abdominal and testicular related.

Table 2: Asbestos-related deaths in Northern Ireland 2009-2018: where asbestosis or mesothelioma are coded as the primary cause of death

Registration Year	Primary Cause		
	Mesothelioma	Asbestosis*	All primary cause
2009	42	5	<b>47</b>
2010	35	4	<b>39</b>
2011	49	7	<b>56</b>
2012	48	4	<b>52</b>
2013	40	8	<b>48</b>
2014	41	8	<b>49</b>
2015	44**	3	<b>47</b>
2016	43	7	<b>50</b>
2017	43	11	<b>54</b>
2018	48	1	<b>49</b>

\* For certain years these figures also include a small number of other asbestos related chest diseases and pulmonary fibrosis where there was coexisting asbestos exposure

\*\* In 2015 there are two mesothelioma cases included that were abdominal and testicular related.

# Accountability Report

## Corporate Governance Report

### Directors' Report

#### Directors

The directors of HSENI during 2019-20 included the Chairman, Board Members and the Senior Management Team. The HSENI Chairman and Board Members during 2019-20 were Derek Martin (Chair), Hilary Singleton (Deputy Chair), Billy Graham, John Kane, Maynard Mawhinney, Harry Sinclair, Lindsey Smith and Tom Wright. The Senior Management Team during 2019-20 was comprised of the Chief Executive, Robert Kidd, and three Deputy Chief Executives, Bryan Monson, Nicola Monson and Louis Burns.

#### Principal Activities

The principal activities of HSENI in the course of the year are set out in detail in the Strategic Report, with the Performance section providing a good overview.

#### Donations

HSENI made no charitable or political donations during the year.

#### Pension Liabilities

Information on how pension liabilities are treated in the accounts is given in note 2 (b) of the Notes to the Executive's Accounts, and a reference to the statements of the relevant pension scheme is contained in the Remuneration Report.

#### Register of Interests

The HSENI Board is supported by a secretariat, located within Corporate Support Group, which is responsible for the maintenance of a register of interests that contains details of company directorships and other significant interests held by Board members which may conflict with their management responsibilities. Access to the information in that Register can be obtained by writing to the Board Secretary, Health and Safety

Executive for Northern Ireland, 83 Ladas Drive, Belfast, BT6 9FR or by emailing mail@hseni.gov.uk and marking your email 'FAO Board Secretary'.

#### Quality of Service

In order to support its key objectives and targets, HSENI:

- operates in a consistent and co-ordinated manner in the appliance of Service First principles;
- treats all its customers in an open, fair and impartial way;
- puts things right if they go wrong and explains how to complain if dissatisfied;
- ensures that suppliers are paid promptly in line with Better Payment Practice;
- maintains good industrial relations and liaises regularly with Trade Union representatives;
- has an independent customer satisfaction survey carried out within the lifetime of its Corporate Plan; and
- exploits the benefits of information technology in the delivery of its service.

#### Service First - Key Customer Standards

HSENI endeavours to operate at all times to its Service First standards as set out in HSENI's Customer Care Charter and which are reproduced below. We will:

- identify ourselves by name on the telephone and in letters. Field staff will carry identification;
- meet personal callers, with or without an appointment, within 5 minutes of arrival;

- provide a response to an enquiry within 10 working days;
- treat in confidence information that HSENI receives unless it is required to disclose that information for legal reasons;
- respond to requests for leaflets (subject to availability) within 5 working days; and
- ensure that complaints are dealt with quickly and effectively.

#### Service Complaints

The Head of HSENI's Services Division is responsible for ensuring that complaints are dealt with quickly and effectively. During the year there were eleven formal complaints received about the service provided by HSENI. Each of these complaints was dealt with in accordance with HSENI's published complaints procedure.

#### Data Security

HSENI continues to review and assess the effectiveness of its internal processes which support the Security Policy Framework. During 2019-20 HSENI reviewed its implementation of specific policies and procedures designed to maintain compliance with the General Data Protection Regulations (GDPR) which came into effect on 25 May 2018. This included the conducting of a GDPR audit. We remain in close contact with our sponsor Department and indeed the wider NICS to ensure compliance with the legislation and the adoption of best practice in relation to the Data Protection Act 2018.

While the UK government has committed to full alignment with the GDPR, we will continue to monitor developments relating to the UK's exit from the EU. We do not anticipate any immediate challenges.

HSENI's key objectives and risks are regularly assessed to ensure consistency of treatment. The risk to information security is considered as an integral part of this process, particularly in relation to risk of damage to HSENI's reputation.

#### Personal Data Related Incidents

During the 2019-20 year HSENI had one reportable data incident which the ICO decided that no further action was required on this occasion.

#### Future Developments in Health and Safety

Following the publication of HSENI's draft Corporate Plan for the period 2018-2023, HSENI will work towards achieving the aims of the organisation as outlined in its mission by focusing on:

- preventing the most serious workplace health and safety issues;
- high risk industries and activities;
- sensible and proportionate risk management;
- effective regulation; and
- supporting businesses and the economy.

During 2020-21, HSENI aims to:

- work with employers and employees to provide advice and guidance and ensure health and safety concerns are addressed in relation to the COVID-19 pandemic;
- do all it can to ensure that front line services are maintained and all priority health and safety areas are addressed despite the challenges faced by the organisation as a result of the COVID-19 pandemic;
- maintain its focus as far as possible on occupational health issues, including occupational lung disorders, occupational cancers and mental health at work, in line with our aim to make workplaces healthier;
- launch its third Farm Safety Partnership Action Plan for the 2020-2023 period;
- carry out a series of inspection initiatives aimed at priority issues including work at height, safe plant and safe maintenance, machinery guarding and vehicle pedestrian segregation, as well as health topics such as Musculoskeletal Disorders (MSDs), silica, licensed asbestos work and welding fumes in the engineering industry;
- undertake at least 5,000 inspections across all work sectors for which HSENI is responsible, aimed at improving levels of compliance with health and safety standards, raising workplace health as a priority issue during all inspections in sectors where known health risks exist;

- continue to work with a range of public sector bodies in reducing sickness absence associated with work-related stress; and
- ensure an effective health and safety at work regulatory framework, including making necessary preparations for the UK leaving the EU.

#### Policy Development

HSENI is aware that strategies must continuously evolve and develop with changing circumstances and, therefore, HSENI will ensure that its strategies continue to be effective and consistent with the broader Government policy framework and meet the needs of the local economy.

#### Other Developments

There were no important events affecting HSENI which have occurred since the end of the financial year.

#### Audit

The financial statements are audited by the Comptroller and Auditor General for Northern Ireland (C&AG) in accordance with the Health and Safety at Work (Northern Ireland) Order 1978 as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998. The C&AG is Head of the Northern Ireland Audit Office

and he and his staff are wholly independent of the Health and Safety Executive for Northern Ireland. He reports his findings to the Northern Ireland Assembly. The audit of the financial statements for 2019-20 resulted in an audit fee of £13,500 and is included in the other operating charges in the Net Expenditure Account.

The C&AG did not provide any non-audit services during the year. As the Accounting Officer, HSENI's Chief Executive is responsible for maintaining a sound system of internal control that supports the achievement of HSENI's policies, aims and objectives whilst safeguarding the public funds and HSENI assets in accordance with the responsibilities set out in Managing Public Money Northern Ireland (MPMNI).

So far as the Accounting Officer is aware, there is no relevant audit information of which the auditor is unaware, and the Accounting Officer has taken all the steps that he ought to have taken to make himself aware of any relevant audit information and to establish that the auditor is aware of that information.



**Robert Kidd**  
Chief Executive  
Date: 15 October 2020

#### Statement of Accounting Officer's Responsibilities

Under the Health and Safety at Work (Northern Ireland) Order 1978 as amended by the Health and Safety at Work (Amendment) (Northern Ireland) Order 1998, the Department for the Economy has directed the Health and Safety Executive for Northern Ireland to prepare for each financial year a statement of accounts in the form and on the basis set out in the Accounts Direction. The accounts are prepared on an accruals basis and must give a true and fair view of the state of affairs of the Health and Safety Executive for Northern Ireland and of its income and expenditure, Statement of Financial Position and cash flows for the financial year.

In preparing the accounts, the Accounting Officer is required to comply with the requirements of the Government Financial Reporting Manual and in particular to:

- observe the Accounts Direction issued by the Department for the Economy including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements;
- prepare the financial statements on a going concern basis; and
- confirm that the Annual Report and Accounts as a whole is fair, balanced and understandable and take personal responsibility for the Annual Report and Accounts and the judgements for determining that it is fair, balanced and understandable.

The Accounting Officer of the Department for the Economy has designated the Chief Executive as Accounting Officer of the Health and Safety Executive for Northern Ireland. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which the Accounting Officer is answerable, for keeping proper records and for safeguarding the Health and Safety Executive for Northern Ireland's assets, are set out in MPMNI published by HM Treasury.

As the Accounting Officer, I have taken all the steps that I ought to have taken to make myself aware of any relevant audit information and to establish that HSENI's auditors are aware of that information. So far as I am aware, there is no relevant audit information of which the auditors are unaware.



**Robert Kidd**  
Chief Executive  
Date: 15 October 2020

# Governance Statement: Introduction

This is the sixth Governance Statement for the Health and Safety Executive for Northern Ireland (HSENI).

It reflects HSENI's governance, risk management and internal control arrangements as they have operated during the 2019-20 financial year. It also provides details of future actions planned by the HSENI to mitigate risks and to address any internal control weaknesses that have been identified.

## Organisation and Structures

The key organisational structures which support the delivery of corporate governance in HSENI are:

1. the HSENI Board;
2. the Audit and Risk Management Committee;
3. the Remuneration Committee;
4. Monthly Senior Management Team meetings; and
5. Quarterly Oversight and Liaison meetings with HSENI's sponsoring body, the Department for the Economy (DfE).

## HSENI's Governance Framework

Corporate Governance refers to the way in which organisations are directed and controlled. HSENI's governance framework, which ensures the effectiveness of the direction and control of the Department, is set out in the following paragraphs.

## 1. HSENI's Board

HSENI's Board oversees the aims and objectives of the organisation within the wider strategic aims of DfE, HSENI's sponsor Department. It supports the Chief Executive by providing collective leadership and taking ownership of HSENI's performance.

During 2019-20, HSENI's Board comprised of eight members including the Chairman, Derek Martin. The Board Members are appointed for three years (renewable for a further period of up to three years) by the Departmental Minister, in line with the Code of Practice issued by the Commissioner for Public Appointments for Northern Ireland. The Board is comprised entirely of independent members. Its membership during 2019-20 was as follows:



**Derek Martin**  
Chairman



**Hilary Singleton**  
Deputy Chair



**Billy Graham**



**John Kane**



**Lindsey Smith**



**Harry Sinclair**



**Tom Wright**



**Maynard Mawhinney**

While HSENI is a Crown body and its staff are civil servants, the Board is the employer of HSENI staff and is responsible for appointing its Chief Executive and for setting appropriate remuneration for this post. The Board contributes to the good governance of HSENI by offering constructive challenge across all of HSENI's business. This is with a view to ensuring that all aspects of strategy and delivery of policy are scrutinised for effectiveness and efficiency. Day-to-day operational matters are the responsibility of the Chief Executive and Deputy Chief Executives that make up HSENI's Senior Management Team.

The Board has corporate responsibility for ensuring that HSENI fulfils the aims and objectives set by DfE and approved by the Minister, and for promoting the efficient, economic and effective use of staff and other resources by HSENI. To this end, and in pursuit of its wider corporate responsibilities, the Board:

- establishes the overall strategic direction of HSENI within the policy and resources framework determined by the sponsor Minister and Department, particularly under the Department's Management Statement and Financial Memorandum for HSENI;
- constructively challenges the HSENI's executive team in their planning, target setting and delivery of performance;
- ensures that the Department is kept informed of any changes which are likely to impact on the strategic direction of HSENI or on the attainability of its targets, and determines the steps needed to deal with such changes;
- ensures that any statutory or administrative requirements for the use of public funds are complied with; that the Board operates within the limits of its statutory authority and any delegated authority agreed with the Department, and in accordance with any other conditions relating to the use of public funds; and that, in reaching decisions, the Board takes into account all relevant guidance issued by DoF and the Department;
- ensures that the Board receives and reviews regular financial information concerning the management of HSENI; is informed in a timely manner about any concerns about

the activities of HSENI; and provides positive assurance to the Department that appropriate action has been taken on such concerns;

- demonstrates high standards of corporate governance at all times, including using the independent Audit and Risk Management Committee, to help the Board to address the key financial and other risks facing HSENI; and
- appoints with the Department's approval, a Chief Executive to HSENI and, in consultation with the Department, sets performance objectives and remuneration terms linked to these objectives for the Chief Executive, which give due weight to the proper management and use of public monies.

## 2. HSENI's Audit and Risk Management Committee

The Board is supported in its role by HSENI's Audit and Risk Management Committee (ARMC), which is a sub-committee of the Board. During 2019-20 the ARMC was chaired by a Board Member, Hilary Singleton. The ARMC also included three other Board Members, Lindsey Smith, Tom Wright and Harry Sinclair. Other attendees include HSENI officials and observers, namely representatives of Northern Ireland Audit Office (NIAO) and HSENI's externally appointed Internal Auditors. The role of the ARMC is to provide reassurance to the Board by overseeing:

- strategic processes for risk, control and governance, and the annual Governance Statement;
- accounting policies, the accounts, and the annual report of the organisation, including the processes for review of the accounts prior to submission for audit, levels of error identified, and management's letter of representation to the external auditors;
- the planned activity and results of both internal and external audit;
- proposals for tendering for internal audit services or for purchase of non-audit services from contractors who provide audit services;
- adequacy of management responses to issues identified by audit activity, including external audit's management letter;
- assurances relating to the corporate

governance requirements for the organisation; and

- anti-fraud policies and whistleblowing processes.

The ARMC also periodically reviews its own effectiveness and reports the results of that review to the Board. The last review was completed in relation to the 2018-19 year in June 2019 and submitted to the Board at its meeting on 14 June 2019. The points highlighted for consideration following this self-assessment exercise were:

- The inclusion of details on appointment letters to ARMC members relating to both the appointment duration and how individual performance will be appraised will provide members with further clarity on expectations in terms of commitment and performance as ARMC members;
- ARMC members will liaise with HSENI management to ensure that an IT Assist representative attends an ARMC meeting to provide members with information on cyber risk management. This will ensure members fully understand the risks associated with cyber security and the assurances they should seek to ensure this risk is being managed within HSENI; and
- The need to update HSENI's Whistleblowing Arrangements to reflect the ARMC Chair's responsibility in the process.

## 3. Remuneration Committee

The Remuneration Committee normally meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award. During 2019-20, the Committee, comprised of the Chair, Derek Martin, the Deputy Chair, Hilary Singleton and Board member, Billy Graham, discussed the Chief Executive's 2019-20 objectives at its meeting in April 2019.

## 4. Monthly Senior Management Team Meeting

HSENI's monthly Senior Management Team Meeting is the regular formal meeting of senior management to discuss ongoing operational issues. It is chaired by the Chief Executive and attended by the three Deputy Chief Executives.

Minutes of these meetings are published on HSENI's website.

## 5. Quarterly Oversight and Liaison Meetings

Oversight and Liaison meetings with DfE are held on a quarterly basis. The agendas for these meetings contain standing items which include performance monitoring, budgetary and finance matters, risk management and corporate governance. HSENI's SMT and Board Chair attend these meetings with representatives from DfE's sponsor branch and any matters of note are reported to HSENI's Board by the Chief Executive and Board Chair.

## Corporate and Business Planning

Within the policy and resources framework set by the Department's Minister and the Executive, HSENI's Board sets the strategic and annual direction of the organisation through the corporate and business planning process. A Corporate Plan, which aligns with the Executive's Programme for Government and Budget, is normally prepared every three years. HSENI's draft Corporate Plan covering the period 2018 – 2023 was published in draft in the absence of a Minister on 3 October 2018 and following the formally approved by the Minister for the Economy on 4 March 2020. More detailed Operating Plans are prepared on an annual basis. The detailed stages of the corporate and business planning processes are built into the HSENI's Board work programme.

## Secretariat

The Board is supported by a secretariat, located within Corporate Support Group, which is responsible for maintenance of a register of interests. An agenda and papers are circulated one week in advance of each meeting and a record of meetings is circulated to Board members and posted on HSENI's website after the following board meeting. New members are provided with an induction pack and programme.

## Board Attendance

During the 2019-20 year, HSENI's Board met a total of five times. Details of the attendance of individuals who were board members during the year are as follows:

Board Member	Number of Meetings Attended	Out of a possible
Derek Martin	5	5
Hilary Singleton	5	5
John Kane	3	5
Billy Graham	1	5
Maynard Mawhinney	5	5
Lindsey Smith	4	5
Harry Sinclair	5	5
Tom Wright	5	5

During the 2019-20 year, issues considered by HSENI's Board included:

- (i) HSENI's annual budget allocation and issues arising therefrom;
- (ii) management accounting information relating to the actual use of financial resources;
- (iii) human resource issues, including managing attendance and staffing pressures;
- (iv) legislative progress and proposals, with particular focus on the UK's Exit from the EU;
- (v) progress in relation to outputs and outcomes (performance targets); and
- (vi) the identification and management of risk.

#### Board Performance and Effectiveness

HSENI's Board members' performance is appraised annually by the Chair of the Board and the Chair's performance is appraised annually by the Grade 5 in the Department for the Economy's Sponsor Branch. The Board also reviews its own performance to ensure compliance with the Corporate Governance Code. The last self-assessment exercise was completed in July 2019 and the next review is scheduled for 2022.

#### Conflicts of Interest

HSENI has a Conflicts of Interest Policy for both Non-Executive Board members and all

staff members. All interests of both Board Members and SMT are recorded on a Register of Interests. This is updated as any new appointments occur to ensure that any conflict is recognised immediately. Conflicts of interest are also declared at the beginning of all Board and Audit and Risk Management Committee Meetings and members will excuse themselves from the relevant discussion as necessary. No conflicts of interest were declared at any of the Board meetings or Audit and Risk Management Committee meetings during the year.

#### Audit and Risk Management Committee Reports

Following each meeting of the ARMC, HSENI's Board is provided with the draft minutes of the meeting supplemented by a verbal report from the ARMC Chair.

The Chair also provides an annual report to HSENI's Board which summarises the Committee's work for the year. The report includes:

- (i) details of meetings, membership and attendance;
- (ii) a summary of the findings from the ARMC's review of its effectiveness;
- (iii) a summary of work undertaken during the year; and

(iv) the ARMC's views on risk management.

The ARMC was generally content with the quality of assurances it received during 2019-20 including the management of risk and the quality of internal and external audit.

#### Risk Management

HSENI's approach is to assign risks to those best placed to manage them, whilst maintaining clear accountability. HSENI manages risk at a corporate level, supported by internal processes.

Corporate Risks are managed collectively by the Senior Management Team, with ownership of the risks assigned to the Accounting Officer. HSENI's Senior Management Team formally reviews the Corporate Risk Register on a quarterly basis, with a further review at each meeting of the ARMC. HSENI's Board also receives a full copy of the Corporate Risk Register at each meeting.

HSENI has its own Risk Management Policy which defines the roles and responsibilities within the organisation for the management and mitigation of risk. The policy also outlines HSENI's risk appetite in relation to each of the nine key outputs (activities) the organisation carries out in order to achieve its objectives.

Corporate risks being managed at 31 March 2020 and key actions being taken in mitigation related to:

- **Failure to manage HSENI's budget efficiently resulting in a significant under or overspend.**

During 2019-20 the very late confirmation of the annual budget meant that there was a risk of a significant underspend due to the fact that decisions on recruitment and training were delayed and much of the budget spend only started after the budget had been confirmed. In the latter part of the year, the COVID-19 pandemic added to the significant disruption to finance, specifically in relation to the ability to receipt goods and services and due to the cancellation of training courses and a significant decrease in travel and subsistence before year end. Meetings between SMT and Finance staff throughout the year, as well as monthly budget profiling returns from budget holders to Finance, helped ensure that management and Finance were kept informed of actual and

forecast expenditure throughout the year. Whilst every effort was made to try to ensure that the organisation remained within the 1% tolerance level, the challenges faced by the late budget confirmation coupled with the emergence of the COVID-19 pandemic meant that HSENI's underspend stood at 2.5% at year end.

- **Failure to maintain functions and services of HSENI due to budgetary pressures**

Regular financial planning meetings between SMT and Finance as well as prioritisation of work ensured continued service delivery during 2019-20. SMT also reviewed priorities with heads of group to ensure statutory functions were met and funding was allocated to essential and priority areas of work. Regular discussions took place with DfE throughout the year to promote the importance of HSENI's work and the potential impact of a further reduction in budget.

- **Ineffective governance leading to poor value for money, fraud, loss of public funds or irregular expenditure**

HSENI has clear roles and responsibilities in place with regard to identifying, investigating and managing any suspected cases of fraud. There are a number of key operational and corporate governance controls that help ensure that the likelihood of this risk is minimised. These include the existence of an Audit and Risk Management Committee, an internal audit service, as well as Fraud and Whistleblowing Policies and biannual Assurance Statements provided to DfE's Permanent Secretary. Following the establishment of DfE's Fraud and Raising Concerns Unit, HSENI revised its Fraud and Raising Concerns (Whistleblowing) policies to ensure these reflected the roles and responsibilities of the new Unit and to ensure the organisation's policies reflected best practice as advised by DfE. Routine governance returns to the Department, including mid and end-year Assurance Statements, were temporarily suspended in light of the COVID-19 crisis at the end of the period to allow staff to concentrate on frontline issues associated with the pandemic. However, these were reinstated at the start of 2020-21 and the Assurance Statement reflecting HSENI's position at the end of 2019-20 was subsequently submitted to the Department.

- **Damage to HSENI's reputation as regulator as a result of legal proceedings or adverse media coverage**

Damage to HSENI's reputation could lead to poor organisational creditability. The organisation therefore treats this as a significant risk and has a number of controls in place to mitigate this risk. This includes the maintenance of a strong corporate governance ethic and control procedures by both HSENI's Board and staff members. Performance of the organisation is regularly monitored by HSENI's Senior Management Team and the Board. In the final weeks of the financial year, HSENI received a significant amount of media attention as a result of the emergence of the COVID-19 pandemic and HSENI's role in ensuring the safe working conditions of employees across a number of industries. Queries were considered and responded to by HSENI's Senior Management team and Communications Team in order to minimise reputational damage.

- **Failure to manage, maintain and secure personal data and information leading to legal proceedings and fines from ICO and failure to comply with General Data Protection Regulation (GDPR) and ICO guidance**

HSENI has a number of policies which have been disseminated to all staff to help ensure this risk does not materialise. These include Data Protection, Information Security and Data Management Breach policies. Mandatory information management training is also undertaken by all staff on a regular basis.

Since the implementation of GDPR regulations in May 2018, HSENI has carried out a number of exercises in order to ensure the organisation is fully compliant with GDPR. Staff have received GDPR training, and all newly recruited staff will receive GDPR training on appointment. Data Sharing Agreements are in place for those organisations with which HSENI shares personal data. During the period, HSENI's internal audit service provider carried out a review of HSENI's Data Protection arrangements, including GDPR. The review resulted in a 'limited' assurance. This has been highlighted to HSENI's Board, ARMC and DfE. An action plan has been developed and a significant amount of work has already been undertaken by HSENI's Information Management

Unit staff to address the recommendations made.

- **Disruption to service delivery**

A major disruption to business delivery may result from a number of causes. HSENI has mitigated this risk by having Emergency Planning Controls, Information Technology Controls, Information Security Controls and Operational Controls in place. Staffing pressures which materialised during the year as a result of the late confirmation of the 2019-20 budget, as well as the emergence of the COVID-19 pandemic, were closely monitored by HSENI's SMT, Board and ARMC. HSENI's Business Continuity Plan was revised during the year and issued to all staff in light of Storm Ciara in February 2020. The emergence of COVID-19 in the final weeks of the year resulted in the Pandemic Flu Plan being invoked as the building closed and staff moved to remote working. HSENI's Chief Executive maintained regular contact with staff through the SMS Text Alert Service.

- **Disruption to service delivery – COVID-19**

During Quarter 4 of 2019-20 HSENI added a new risk to the risk register to reflect the potential disruption to service delivery as a result of COVID-19. A number of staff were unable to work remotely at the start of the pandemic, inspections were temporarily suspended and there was a significant rise in the number of complaints being received by the Notifications team as a result of the COVID-19 crisis. The potential impact on staff sickness levels was also unknown and these issues were all highlighted on the risk register. Controls in place to help mitigate the risk of business disruption towards the end of the year and to date in 2020-21 include close monitoring of the situation by SMT, regular updates to staff via e-mail and SMS, regular communication with the Board and DfE on the difficulties being faced by the organisation and the prioritisation of work to ensure essential services were being delivered.

As at 31 March 2020, HSENI's risk register included three 'Emerging Risks'.

- 1. Failure to maintain an up to date regulatory framework as a result of the UK's exit from the EU;**

This emerging risk was added to the risk register as the giving of any status to NI which could lead to an immediate or future divergence from GB

would cause difficulties as HSENI does not have a policy function and no experience of drafting legislation etc. HSENI is seeking advice from the Departmental Solicitors' Office (DSO) in order to help prevent this risk from materialising.

- 2. Impact of the UK's exit from the EU on operational/ enforcement activities;**

Uncertainty in Chemicals and Product Safety around the future role of HSENI in relation to the NI Protocol resulted in this emerging risk being added to the risk register. The potential for HSENI to have to take on new enforcement activities associated with EU Exit will result in financial and resource issues for the organisation. HSENI is currently liaising closely with HSE (GB) and other UK Government Departments on this issue but the uncertainties surrounding the outworkings of the NI Protocol mean that the likelihood of this risk materialising remains unknown.

- 3. COVID-19's impact on the ability to meet operational targets.**

The potential impact of COVID-19 on HSENI's ability to meet operational targets was added as an emerging risk during the last quarter of 2019-20. Actions taken to address this potential risk include revision of the 2020-21 Operating Plan in light of COVID-19, regular liaison between SMT with DfE, the Board and staff to ensure information is communicated in a timely manner and that essential services are prioritised throughout the pandemic.

- Six Monthly Assurance Statements**

Every six months HSENI's Chief Executive provides an Assurance Statement to DfE's Permanent Secretary, who is the Departmental Accounting Officer for DfE. This six monthly statement confirms the efficacy of the systems of internal control within HSENI and, where appropriate, draws the attention of the Permanent Secretary to any significant internal control issues during 2019-20. The emergence of the COVID-19 pandemic in the final weeks of 2019-20 led to the temporary suspension of a number of corporate governance returns, including the Year End Assurance Statement, as staff dealt with a significant increase in workloads as a result of the crisis. This was subsequently requested for submission to the Department in May 2020.

## **Freedom of Information (FOI) and Environmental Information**

### **Regulations (EIR) Requests**

The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 give everyone the right to access government information and place a statutory duty on government to make certain information publicly available as a matter of course. A total of 205 'Requests for Information', falling within the terms of this legislation, were received within the period of this report.

### **Subject Access Requests**

The Data Protection Act 2018 and the General Data Protection Regulations gives individuals the right to access their own personal data through the making of a Subject Access Requests. During the 2019-20 year HSENI received a total of two requests falling within the terms of this legislation.

### **Internal Audit**

HSENI has externally appointed Internal Auditors, who operate to HM Treasury's Public Sector Internal Audit Standards. The Internal Auditors construct their annual audit programme on the basis of an Internal Audit Strategy covering the period 2017-18 to 2019-20 and also take into account the objectives and risks faced by HSENI, including any emerging risks. The Internal Audit programme for 2019-20 was agreed by the ARMC.

HSENI's Internal Auditors submit regular reports to the ARMC which include the Head of Internal Audit's independent opinion on the adequacy, reliability and effectiveness of HSENI's system of internal control. During the year, HSENI received a 'satisfactory' assurance on five out of six areas reviewed. One audit completed in relation to Data Protection (GDPR) Arrangements resulted in a 'limited' assurance. An action plan to address a number of recommendations has been developed and work is under way to complete the necessary work. A 'satisfactory' assurance was provided on Internal Audit's Annual Assurance Report in relation to the adequacy of the systems of control in place within HSENI, in line with the Internal Audit Strategic Plan, and their operation for the period ended 31 March 2020.

## Compliance with the Corporate Governance Code

HSENI is content that it is compliant with both the spirit and the principles of the 'Corporate Governance in Central Government Departments: Code of Good Practice NI 2013' issued by the Department of Finance and Personnel (now Department of Finance) in April 2013, in so much as they can be read across to NDPBs.

## Quality of Data Used by HSENI's Board

HSENI's Board is issued with the most up-to-date data sources ahead of each board meeting. The data is collated into a number of key reports, drawn from a wide range of sources, covering the core functions of the organisation, including budgets and finance, performance monitoring, legislation, human resources, investigations and prosecutions, all of which are subject to internal audit scrutiny. The Board also draws assurance from the fact that data relating to financial information and absenteeism is derived from NICS wide systems such as Account NI and HR Connect. These systems are subject to scrutiny

by DoF's Internal Audit Service and information on absenteeism is supplied to departments by the Northern Ireland Statistics and Research Agency (NISRA). The data is subject to challenge or to requests for further information/clarification by the Board. The Board was content with the quality of information it received during 2019-20.

## Ministerial Directions

No Ministerial Directions were issued during the 2019-20 financial year.

## Public Accounts Committee Issues

HSENI was not required to provide evidence to the Assembly's Public Accounts Committee during 2019-20.



## Robert Kidd

Chief Executive

Date: 15 October 2020

# Remuneration Report

## Remuneration Policy

The pay policy for the Northern Ireland (NI) public sector, including senior civil servants (SCS), is normally approved by the Minister of Finance. In the absence of an Executive, the Department of Finance's Permanent Secretary set the 2019-20 NI public sector pay policy (October 2019) in line with the overarching HMT parameters and in a manner consistent with the approach taken by the previous Finance Minister in 2016-17. Annual NICS pay awards are made in the context of the wider public sector pay policy. The pay award for NICS staff, including SCS staff, for 2019-20 has been finalised but not yet paid.

The pay of SCS is based on a system of pay scales for each SCS grade containing a number of pay points from minima to maxima, allowing progression towards the maxima based on performance.

## Remuneration Committee

The Remuneration Committee meets once a year to review the performance of the Chief Executive and to recommend to the Department the Chief Executive's pay award.

The committee comprises the Chairman and Deputy Chairman together with one other Board member. The composition of the committee which met during 2019/20 was Derek Martin, Hilary Singleton and Billy Graham.

Board salaries are set by the Public Appointments Unit in the Department for the Economy.

## Service Contracts

The Civil Service Commissioners (NI) Order 1999 requires Civil Service appointments to be made on merit on the basis of fair and open competition. The Recruitment Code published by the Civil Service Commissioners for Northern Ireland specifies the circumstances when appointments may be made otherwise.

Unless otherwise stated, the officials covered by this report hold appointments that are open-ended. Early termination, other than for misconduct, would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme.

Further information about the work of the Civil Service Commissioners can be found at [www.nicscommissioners.org](http://www.nicscommissioners.org).

## Salary and Pension Entitlements (audited information)

The following sections provide details of the remuneration and pension interests of the senior members of HSENI.



## Remuneration (including salary) and pension entitlements

Senior Management	2019-20			2018-19		
	Salary £'000	Pension Benefits (to nearest £1000)*	Total (£'000)	Salary £'000	Pension Benefits (to nearest £1000)*	Total (£'000)
Robert Kidd Chief Executive (from 28 January 2019)	70-75	132	200-205	10-15 (65-70 full year equivalent)	25	35-40 (90-95 full year equivalent)
Louis Burns Deputy Chief Executive	60-65	38	95-100	55-60	44	100-105
Bryan Monson Deputy Chief Executive	60-65	27	90-95	60-65	32	95-100
Nicola Monson Deputy Chief Executive	60-65	37	100-105	60-65	33	95-100

\* The value of pension benefits accrued during the year is calculated as (the real increase in pension multiplied by 20) plus (the real increase in any lump sum) less (the contributions made by the individual). The real increases exclude increases due to inflation and any increase or decrease due to a transfer of pension rights.

None of the senior members of HSENI received bonuses in 2019-20 (2018-19: none) and none of the senior members received benefits in kind during the years 2019-20 or 2018-19.

Board Members	2019-20	2018-19
	Salary £'000	Salary £'000
Derek Martin Chairperson	15-20	15-20
Billy Graham, John Kane, Maynard Mawhinney, Harry Sinclair, Hilary Singleton, Lindsey Smith, Tom Wright	0-5	0-5

### Salary

'Salary' includes gross salary; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation and any severance or ex gratia payments.

### Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the employer and treated by HM Revenue and Customs as a taxable emolument. No such benefits were received by HSENI staff or Board members.

## Bonuses

Bonuses are based on performance levels attained and are made as part of the appraisal process. Bonuses relate to the performance in the year in which they become payable to the individual. No bonuses were payable to senior staff in 2019-20 or 2018-19.

### Pay Multiples (audited information)

	2019-20	2018-19
Band of Highest Paid Director's Total Remuneration* (£000)	70-75	65-70
Median Total Remuneration (£)	38,096	36,812
Ratio	1.9	1.9
Range of Staff Remuneration (£)	19-71	18-70

\* Total remuneration includes salary, non-consolidated performance-related pay, and benefits-in-kind. It does not include severance payments, employer pension contributions and the cash equivalent transfer value of pensions.

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest-paid director in HSENI in the financial year 2019-20 was £70,000 - £75,000 (2018-19, £65,000 - £70,000). This was 1.9 times (2018-19, 1.9) the

median remuneration of the workforce, which was £38,096 (2018-19, £36,812).

In 2019-20, 0 (2018-19, 0) employees received remuneration in excess of the highest-paid director.

Remuneration ranged from £19,000 - £71,000 (2018-19, £18,000 to £70,000).

## Pension Entitlements (audited information)

	Accrued pension at pension age as at 31/3/20 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31/3/20	CETV at 31/3/19	Real increase in CETV
Senior Management	£'000	£'000	£'000	£'000	£'000
Robert Kidd Chief Executive	30-35 plus a lump sum of 70-75	5-7.5 plus a lump sum of 12.5-15	549	424*	103
Louis Burns Deputy Chief Executive	25-30 plus a lump sum of 55-60	0-2.5 plus a lump sum of 0-2.5	448	400*	23
Bryan Monson Deputy Chief Executive	25-30 plus a lump sum of 50-55	0-2.5 plus a lump sum of 0-2.5	472	436*	14
Nicola Monson Deputy Chief Executive	20-25 plus a lump sum of 45-50	0-2.5 plus a lump sum of 0-2.5	415	371**	24

\* These figures were reported as £1k higher in the 2018-19 Annual Report, as per CSP calculations

\*\* This figure was reported as £7k lower in the 2018-19 Annual Report, as per CSP calculations

### Board members are not included in the NICS Pension Scheme.

#### Northern Ireland Civil Service (NICS) Pension Schemes

Pension benefits are provided through the Northern Ireland Civil Service pension schemes which are administered by Civil Service Pensions (CSP).

The alpha pension scheme was introduced for new entrants from 1 April 2015. The alpha scheme and all previous scheme arrangements are unfunded with the cost of benefits met by monies voted each year. The majority of existing members of the classic, premium, classic plus and nuvos pension arrangements also moved to alpha from that date. Members who on 1 April 2012 were within 10 years of their normal pension age did not move to alpha and those who were within 13.5 years and 10 years of their normal pension age were given a choice between moving to alpha on 1 April 2015 or at a later date determined by their age. Alpha is a 'Career Average Revalued Earnings' (CARE) arrangement in which members accrue pension benefits at a percentage rate of annual pensionable earnings

throughout the period of scheme membership. The current accrual rate is 2.32%.

New entrants joining can choose between membership of alpha or joining a 'money purchase' stakeholder arrangement with a significant employer contribution (partnership pension account).

New entrants joining on or after 30 July 2007 were eligible for membership of the nuvos arrangement or they could have opted for a partnership pension account. Nuvos is also a CARE arrangement in which members accrue pension benefits at a percentage rate of annual pensionable earnings throughout the period of scheme membership. The current accrual rate is 2.3%.

Staff in post prior to 30 July 2007 may be in one of three statutory based 'final salary' defined benefit arrangements (classic, premium, and classic plus). From April 2011, pensions payable under classic, premium, and classic plus are reviewed annually in line with changes in the

cost of living. New entrants joining on or after 1 October 2002 and before 30 July 2007 could choose between membership of premium or joining the partnership pension account.

All pension benefits are reviewed annually in line with changes in the cost of living. Any applicable increases are applied from April and are determined by the Consumer Prices Index (CPI)

figure for the preceding September. The CPI in September 2019 was 1.7% and HM Treasury has announced that public service pensions will be increased accordingly from April 2020.

Employee contribution rates for all members for the period covering 1st April 2020 – 31st March 2021 are as follows:

#### Scheme Year 1st April 2020 to 31st March 2021

Annualised Rate of Pensionable Earnings (Salary Bands)		Contribution rates – All members
From	To	From 01 April 2020 to 31 March 2021
£0	£23,999.99	4.6%
£24,000.00	£55,499.99	5.45%
£55,500.00	£152,499.99	7.35%
£152,500.00 and above		8.05%

Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 8% and 14.75% (depending on the age of the member) into a stakeholder pension product chosen by the employee. The employee does not have to contribute but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.5% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill-health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach their scheme pension age, or immediately on ceasing to be an active member of the scheme if they are at or over pension age. Scheme Pension age is 60 for members of classic, premium and classic plus and 65 for members of nuvos. The normal scheme pension age in alpha is linked to the member's State Pension Age but cannot be before age 65. Further details about the NICS pension schemes can be found at the website [www.finance-ni.gov.uk/civilservicepensions-ni](http://www.finance-ni.gov.uk/civilservicepensions-ni).

#### Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension

figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures, and from 2003-04 the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the NICS pension arrangements. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost. CETVs are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations 2015 and do not take account of any actual or potential benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

#### Real increase in CETV

This reflects the increase in CETV effectively funded by the employer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the

value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period. However, the real increase calculation uses common actuarial factors at the start and end of the period so that it disregards the effect of any changes in factors and focuses only on the increase that is funded by the employer.

#### Compensation for loss of office

No amounts became payable in 2019-20 or 2018-19 in relation to loss of office.



**Robert Kidd**  
Accounting Officer  
Date: 15 October 2020

## Staff Report

### Staff Costs (audited information)

#### Staff Costs comprise:

	Permanently employed staff £'000	Others £'000	2019-20 Total £'000	2018-19 Total £'000
Wages and salaries	3,685	7	3,692	3,592
Social security costs	372	-	372	357
Other pension costs	1,102	-	1,102	791
	<b>5,159</b>	<b>7</b>	<b>5,166</b>	<b>4,740</b>

The Northern Ireland Civil Service main pension schemes are unfunded multi-employer defined benefit schemes but HSENI is unable to identify its share of the underlying assets and liabilities. The Government Actuary's Department (GAD) is responsible for carrying out scheme valuations. The Actuary reviews employer contributions every four years following the scheme valuation. The 2016 scheme valuation was completed by GAD in March 2019. The outcome of this valuation was used to set the level of contributions for employers from 1 April 2019 to 31 March 2021.

For 2019-20, employers' contributions of £1,101,591 were payable to the NICS pension arrangements (2018-19 £790,660) at one of three rates in the range 28.7% to 34.2% of pensionable pay, based on salary bands.

This change is primarily due to the reduction in the SCAPE discount rate (as announced at Budget 2018) to 2.4% per annum above CPI. The contribution rates are set to meet the cost of the benefits accruing during 2018-19 to be paid when the member retires, and not the benefits paid during this period to existing pensioners.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. No employees of HSENI have exercised this option.

No exit packages were paid during the year (2018-19 Nil). 2 persons (2018-19: no persons) retired early on ill-health grounds; the total additional accrued pension liabilities in the year was nil (2018-19: £nil).

### Average number of persons employed (audited information)

The average number of whole-time equivalent persons, including senior management, employed during the year was as follows:

	Permanent staff	Others	2019-20 Total	2018-19 Total
Directly employed	100	-	100	99
Other	-	-	-	-
Total	100	-	100	99

### Staff Composition

A breakdown at 31 March 2020 showing the number of persons of each sex who were Board Members, senior managers and employees of HSENI, is shown below. Figures for the previous year are shown in brackets. During 2019-20 HSENI employed one Senior Civil Servant, the Chief Executive (equivalent to Grade 5 in the SCS).

	Male	Female
Board Members	6 (6)	2 (2)
Senior Managers	3 (3)	1 (1)
Employees	52 (51)	53 (55)

### Sickness Absence Data

The overall HSENI managing attendance figure for 2019-20 was a total of 990 (2018-19: 1,111) staff days lost. This equates to 10.0 (2018-19: 11.4) working days lost per staff member during the year.<sup>11</sup> 79.7% of working days lost through sick absence during 2019-20 were attributable to long term absence. 62.6% of staff had no sick absence throughout the period.

<sup>11</sup>Figures from staff days lost and days' sickness absence per staff member are sourced from NISRA who have advised that the figures are provisional and should not be quoted as official absence rates. Final figures not available until September 2020. Please note that 2018-19 figures have been amended to reflect late entering of data.

### Staff Policies applied during the Financial Year

HSENI adheres to all NICS policies in ensuring full and fair consideration is given to applications for employment by disabled persons, in continuing the employment of, and arranging appropriate training for, employees who have become disabled persons during the period when they were employed, and for the training, career development and promotion of disabled persons employed.

### Human Resources

HSENI continues to manage its business and improve performance through effective staff deployment and performance management. This has been achieved through efficient people planning, active career management, and facilitation of staff transfer for the benefit of both the business and the individual concerned. HSENI maintains a skilled and motivated workforce created through a culture of development and well managed personal development plans.

HSENI's current staff in post is 109. As HSENI has Crown status, its employees are Civil Servants and enjoy Northern Ireland Civil Service terms and conditions of service. A significant number of our staff made use of the flexible working hours and work life balance policies available throughout the NICS. At 31 March 2020, there were 25 staff working on part time, partial retirement or term time arrangements.

HSENI continues to monitor and actively manage the sickness absence of its staff through the application of centrally agreed policies and procedures and the HR Connect Shared Service.

HSENI continues to:

- create an inclusive, safe and healthy working environment for all staff;
- actively pursue fairness and equality;
- encourage team working within an open and participative management culture; and
- maintain good industrial relations and liaise regularly with Trade Union representatives.

### Employment, Training and Advancement of Disabled Persons

The Northern Ireland Civil Service applies the recruitment principles as set out in the Recruitment Code of the Civil Service Commissioners for Northern Ireland, appointing candidates based on merit through fair and open competition. Recruitment and selection training, which includes raising awareness of unconscious bias, is offered to all chairs of NICS recruitment panels. The NICS also has mandatory unconscious bias training for all staff.

To maintain and promote a diverse and inclusive workforce, the NICS has policies in place to support any alterations to the working environment required by disabled persons.

The NICS has an active network of Diversity Champions and has appointed one of its' Deputy Secretaries as the NICS Diversity Lead for Disability. The NICS has an active Disability Working Group and is a lead partner with Employers for Disability Northern Ireland. Through this collaboration the NICS is working towards creating a truly inclusive workplace where all staff feel valued. The NICS promotes a number of schemes for disabled staff, including a successful Work Experience Scheme for People with Disabilities.

### Human Rights

HSENI is committed to respecting Human Rights with particular emphasis on rights and freedoms of individuals. We believe that the services we provide and the activities that we undertake have a positive impact on society. HSENI fully complies

with Section 75 statutory equality obligations. The Human Rights Act 1998 came fully into force on 2 October 2000 and provides additional focus and emphasis on the rights and freedoms of individuals guaranteed under the European Convention on Human Rights.

### Health and Safety within HSENI

HSENI is committed to ensuring the health, safety and welfare of staff, and others who may be affected by its undertakings. HSENI's Corporate Plan for 2018-2023 sets out its commitment to create an inclusive, safe and healthy working environment for all staff. To underscore this commitment, health, safety and welfare at work is a standing item at all Senior Management Team and Board meetings.

### Employee Consultation and Trade Union Relationships

DoF is responsible for the NICS Industrial Relations Policy. The centralised human resource function, NICS HR, consults on HR policy with all recognised Trade Unions and local departmental arrangements are in place to enable consultation on matters specific to a department or individual business area.

### Employee Engagement and Learning and Development

The NICS recognises the importance of having skilled and engaged employees and continues to invest in learning and development.

The NICS Centre for Applied Learning (CAL) is responsible for development and delivery of all generic staff training. It offers a variety of learning delivery channels to enable flexible access to learning, blending different learning solutions into coherent learning pathways that are aligned to both corporate need and the NICS Competency Framework.

The NICS offers a wide range of career development opportunities through mentoring, secondment and interchange opportunities, elective transfers, temporary promotion, job rotation and job shadowing.

Talent Management is a key theme of the NICS People Strategy and work is underway to develop a more corporate approach to managing talent across the NICS.

HSENI Human Resource policies, strategies and plans directly and tangibly support HSENI's business by ensuring that it has a highly skilled, knowledgeable and flexible workforce. HSENI is committed to the continuous development of its staff to meet the needs of its business areas and to reflect the variety of skills and competencies required for them to operate effectively both now and in the future. HSENI managers, at all levels, in line with HR policies contained in the NICS Staff Handbook ensure performance management, absence levels and employee relations are managed effectively. HSENI is committed to providing all staff with the development and training necessary for effective performance in their jobs and for the development of their potential in accordance with the business needs of HSENI and the agreed training priorities for the NICS. HSENI utilises the DoF Centre for Applied Learning shared service which provides a wide range of programmes for all generic learning and development needs.

During 2019-20 HSENI offered 'line of business' study opportunities where budget permitted. In the last year:

- Two staff completed the Certificate of Professional Development in Radiation Protection;
- One staff member completed a NEBOSH Health & Well-being Certificate;
- One staff member completed the Level 5 Diploma in Well-being and Stress Management;
- One staff member started an MSc in Occupational Hygiene;
- One staff member started the NEBOSH General Certificate in Occupational Health & Safety which was temporarily suspended due to COVID-19 and will be completed during 2020-21; and
- One member of staff started the NEBOSH National Certificate in Construction Health and Safety which was temporarily suspended due to COVID-19 and will be completed during 2020-21

Also throughout the year:

- One staff member started a Post Graduate

Certificate in Public Administration; and

- Scientific Services completed a number of Asbestos courses in order to maintain their UKAS accreditation

HSENI also undertook a comprehensive range of learning and development activities for staff in accordance with its 2019-20 Learning and Development Plan. Training comprised of essential and desirable needs at organisational, team and individual levels. HSENI's investment in learning and development has included our existing inspectors who avail of a range of specialist training courses in HSE (GB) to ensure they receive the same professional development opportunities as their HSE (GB) counterparts in a wide range of disciplines. Much of this specialist training is organised through HSE (GB) and the Health and Safety Laboratory (HSL).

Many of our staff also attend generic training courses provided by DoF, Centre for Applied Learning. Courses attended during this reporting period include Emergency First Aid, managing sick absence, tender evaluation, performance management and negotiating and influencing skills.

The five trainee inspectors recruited by HSENI in 2017 successfully completed their NEBOSH Post Graduate Diploma in Regulatory Occupational Health & Safety during 2019-20 and are now fully qualified inspectors.

The cohort of five trainee inspectors recruited in March 2019 worked towards completion of the NEBOSH Post Graduate Diploma throughout 2019-20. Unfortunately the emergence of the COVID-19 pandemic during the final weeks of the year has led to the temporary suspension of this training. HSENI management is currently working with HSE (GB) to progress this training, and it is hoped to recommence later in 2019.

HSENI recruited a further three trainee inspectors on 1 October 2019. Again, the COVID-19 pandemic has resulted in a delay to trainees starting their regulatory training. HSENI management is currently working with HSE (GB) to progress the commencement of this training. Unfortunately it is unlikely that formal training will start until April 2021. However, HSE (GB) is scheduling additional webinars and virtual classrooms to support this cohort in completing

the e-learning, in advance of the formal sessions.

Despite the delays experienced by both sets of trainees in relation to their NEBOSH Post Graduate Diploma, they have been able to gain extensive experience in the practical element of their training since their recruitment, participating in a number of inspections and investigations throughout the 2019-20 period, and towards the end of the year played a key role in HSENI's COVID-19 related work, providing advice and guidance to both employers and employees on a number of health and safety concerns.

Staff opinions and views are sought as part of the planning processes, for example, as part of the annual operational plan, as well as at events such as staff away days. SMT also encourages consultation and exchange of information within HSENI. SMT meets with Heads of Group on a regular basis. In addition, a system of team briefing provides the framework for managers to update staff on a monthly basis on Board and SMT decisions, organisational topics and issues.

Other channels to maximise staff involvement include appraisal, SHINE newsletter, SharePoint Intranet, and working groups. HSENI recognises the importance of good industrial relations and is committed to effective employee relations and communications. Regular meetings are held with representatives of Trade Unions under the Whitley framework.

### **Equality, Diversity and Inclusion**

The NICS People Strategy 2018-21 places diversity and inclusion at its centre and includes a range of actions that will help accelerate the NICS' ambition to be a service that reflects the society we serve.

The NICS continues to carry out its statutory obligations under fair employment legislation, including the annual return to the Equality Commission for NI. The NICS publishes a wide range of NICS human resource statistics.

HSENI has outlined how it will fulfil these obligations in its Equality Scheme and it submits Annual Progress reports to the Equality Commission in relation to this.

HSENI is currently working on revising its Equality Scheme to align with the new Corporate Plan.

During 2019-20, HSENI:

- staff completed a number of equality relating training including the Just a Minute (JAM) e-learning course, which all staff undertook in December 2019;
- provided advice, guidance and support on how to control the risks associated with work-related stress by promoting and delivering awareness seminars to assist Northern Ireland employers to use HSE's Management Standards as a tool to control the risks associated with work-related stress;
- as part of the second Farm Safety Partnership Action Plan, continued with its multi-media farm safety campaign;
- continued its work on its child safety on farms campaign, reaching over 9,000 primary school children in 88 rural primary schools with its presentations delivering key messages for staying safe on the farm;
- continued with the child safety on farms poster competition with entries from 3,382 pupils from 72 primary schools. A 2020 calendar was produced from the winning entries and this was distributed to over 40,000 families of children attending rural primary schools in Northern Ireland, providing key monthly messages on how to avoid the dangers of working or playing on the farm;
- participated in six rural 'Bee Safe' events speaking to over 3,000 pupils on the three key farm safety messages, namely tractors and other machinery, safety with animals, and safe play on the farm;
- provided several publications aimed specifically at providing information on HSENI's information services for migrant workers who do not have English as their first language. HSENI has provided these publications, in hard copy and on the web, in a number of ethnic minority languages; and
- continued to provide the pictorial Universal Safety Booklet, for high risk work sectors, aimed at those who do not have English as their first language or have difficulty in reading.

### **Bribery and Corruption**

It is important that HSENI maintains high ethical

standards. HSENI does not tolerate fraud, bribery, any form of corruption or any illegal or unethical activity. The organisation has an Anti-Fraud Policy and Fraud Response Plan, as well as a Raising Concerns (Whistleblowing) Policy. All three documents were revised during 2019-20 to take account of advice provided by the newly established DfE Fraud & Raising Concerns Unit and its role in dealing with fraud allegations and concerns raised. All revised documents were approved by HSENI's ARMC and disseminated to all staff.

#### Other Employee Matters

The 2018-21 NICS People Strategy sets out the shared view of the people priorities across the NICS under the following themes:

- A well-led NICS
- High performing NICS
- Outcomes-focused NICS
- An inclusive NICS in which diversity is truly valued – a great place to work

#### Efficiency and Value for Money

In order to ensure that the public resources allocated are used to best effect, HSENI is committed to:

- regularly monitoring performance;
- conducting Internal Audits of its operating systems;
- adopting a strategic approach to risk management;
- keeping its performance measurement mechanisms under review;
- following DoF's CPD guidelines for procurement and using its services wherever possible;
- keeping administrative costs to a minimum; and
- recovering costs where appropriate.

#### Enforcement Guidelines

HSENI's Enforcement Guidelines enshrine the principles contained in the Regulators' Code produced by the Better Regulation Delivery Office of the Department for Business Innovation and Skills (now the Department for Business, Energy & Industrial Strategy) in April 2014.

HSENI believes in firm but fair enforcement of health and safety law. This should be informed by the principles of **proportionality** in applying the law and securing compliance; **targeting** of enforcement action; **consistency** of approach; **transparency** about how the regulator operates and what those regulated may expect; and **accountability** for the regulator's actions. These principles should apply both to enforcement in particular cases and to the health and safety enforcing authorities' management of enforcement activities as a whole.

#### Expenditure on Consultancy

HSENI did not incur any expenditure on consultants during the 2019-20 financial year.

#### Off-payroll Engagements

HSENI did not engage in any off-payroll arrangements during the 2019-20 financial year.

#### Exit Packages

No exit packages were paid during the 2019-20 financial year.



**Robert Kidd**  
Accounting Officer

# Accountability and Audit Report

## Funding Report

#### Regularity of Expenditure (audited information)

HSENI conducted its financial dealings throughout the year in line with relevant legislation, delegated authorities and appropriate guidance issued by HM Treasury and DoF, including Managing Public Money Northern Ireland. Expenditure in response to COVID-19 was in line with parliamentary authority (regular) and in accordance with the principles of MPMNI.

#### Fees and Charges (audited information)

HSENI had no material fees and charges income in the current financial year.

#### Losses and Special Payments (audited information)

HSENI did not make any losses, gifts or special payments requiring disclosure in the current financial year.

#### Remote Contingent Liabilities (audited information)

HSENI is not aware of any remote contingent liabilities.

# Auditor's Report

## Health and Safety Executive For Northern Ireland The Certificate and Report of the Comptroller and Auditor General to the Northern Ireland Assembly

### Opinion on financial statements

I certify that I have audited the financial statements of the Health and Safety Executive for Northern Ireland for the year ended 31 March 2020 under the Health and Safety at Work (Northern Ireland) Order 1978. The financial statements comprise: the Statements of Comprehensive Net Expenditure, Financial Position, Cash Flows, Changes in Taxpayers' Equity; and the related notes, including significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Accountability Report that is described in that report as having been audited.

In my opinion the financial statements:

- give a true and fair view of the state of the Health and Safety Executive for Northern Ireland's affairs as at 31 March 2020 and of the Health and Safety Executive for Northern Ireland's net expenditure for the year then ended; and
- have been properly prepared in accordance with the Health and Safety at Work (Northern Ireland) Order 1978 and Department for the Economy directions issued thereunder.

### Opinion on regularity

In my opinion, in all material respects the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

### Basis of opinions

I conducted my audit in accordance with International Standards on Auditing (UK) (ISAs) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the Auditor's responsibilities for the audit of the financial statements section of this certificate. My staff and I are independent of the Health and Safety Executive for Northern Ireland in accordance with the ethical requirements of the Financial Reporting Council's Revised Ethical Standard 2016, and have fulfilled our other ethical responsibilities in accordance with these requirements. I believe that the audit evidence obtained is sufficient and appropriate to provide a basis for my opinions.

### Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs(UK) require me to report to you where:

- the Health and Safety Executive for Northern Ireland's use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Health and Safety Executive for Northern Ireland has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the Health and Safety Executive for Northern Ireland's ability to continue to adopt the going concern basis.

### Other Information

The Health and Safety Executive for Northern Ireland and the Accounting Officer are responsible for the

other information included in the annual report. The other information comprises the information included in the annual report other than the financial statements, the parts of the Accountability Report described in the report as having been audited, and my audit certificate and report. My opinion on the financial statements does not cover the other information and I do not express any form of assurance conclusion thereon.

In connection with my audit of the financial statements, my responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or my knowledge obtained in the audit or otherwise appears to be materially misstated. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact. I have nothing to report in this regard.

### Opinion on other matters

In my opinion:

- the parts of the Accountability Report to be audited have been properly prepared in accordance with Department for the Economy directions made under the Health and Safety at Work (Northern Ireland) Order 1978; and
- the information given in the Performance Report and Accountability Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

### Responsibilities of the Health and Safety Executive for Northern Ireland and Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer Responsibilities, the Health and Safety Executive for Northern Ireland and the Accounting Officer are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view.

### Auditor's responsibilities for the audit of the financial statements

My responsibility is to examine, certify and report on the financial statements in accordance with the Health and Safety at Work (Northern Ireland) Order 1978.

My objectives are to obtain evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material

misstatement, whether caused by fraud or error. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

A further description of my responsibilities for the audit of the financial statements is located on the Financial Reporting Council's website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my certificate.

In addition, I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income recorded in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions recorded in the financial statements conform to the authorities which govern them.

### Matters on which I report by exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the parts of the Accountability Report to be audited are not in agreement with the accounting records; or
- I have not received all of the information and explanations I require for my audit; or
- the Governance Statement does not reflect compliance with the Department of Finance's guidance.

### Report

I have no observations to make on these financial statements.



K J Donnelly  
Comptroller and Auditor General  
Northern Ireland Audit Office  
106 University Street  
Belfast  
BT7 1EU

21 October 2020

## Health and Safety Executive for Northern Ireland

### Statement of Comprehensive Net Expenditure

for the year ended 31st March 2020

	Notes	2019-20 £'000	2018-19 £'000
Income from activities	4	18	57
<b>Total operating income</b>		<b>18</b>	<b>57</b>
Staff costs	2	5,166	4,740
Depreciation	3	6	16
Amortisation	3	71	-
Other operating expenditure	3	1,560	1,237
<b>Total operating expenditure</b>		<b>6,803</b>	<b>5,993</b>
<b>Net operating expenditure for the year</b>		<b>6,785</b>	<b>5,936</b>
<b>Other comprehensive net expenditure</b>			
Net gain on revaluation of intangible assets	6	(10)	-
<b>Comprehensive net expenditure for the year</b>		<b>6,775</b>	<b>5,936</b>

All amounts above relate to continuing operations.

The notes on pages 83-92 form part of these accounts.

Health and Safety Executive  
for Northern Ireland

Financial Statements for the year  
ended 31 March 2020




## Health and Safety Executive for Northern Ireland

### Statement of Financial Position

as at 31st March 2020

		31st March 2020	31st March 2019
	Notes	£'000	£'000
<b>Non-current assets</b>			
Property, plant and equipment	5	18	10
Intangible assets	6	662	630
<b>Total non-current assets</b>		<b>680</b>	<b>640</b>
<b>Current assets</b>			
Trade and other receivables	8	337	309
Cash and cash equivalents	9	440	701
<b>Total current assets</b>		<b>777</b>	<b>1,010</b>
<b>Total assets</b>		<b>1,457</b>	<b>1,650</b>
<b>Current liabilities</b>			
Trade and other payables	10	643	913
<b>Total current liabilities</b>		<b>643</b>	<b>913</b>
<b>Total assets less total liabilities</b>		<b>814</b>	<b>737</b>
<b>Taxpayers' equity</b>			
General reserve		804	737
Revaluation reserve		10	-
		<b>814</b>	<b>737</b>

The financial statements on pages 126 to 138 were approved by the Board on 15 October 2020 and were signed on its behalf by;

(signed)   
(D Martin, Chairman)  
15 October 2020

(signed)   
(Robert Kidd, Chief Executive)  
15 October 2020

The notes on pages 83-92 form part of these accounts.

## Health and Safety Executive for Northern Ireland

### Statement of Cash Flows

for the year ended 31st March 2020

		2019-20	2018-19
	Notes	£'000	£'000
<b>Cash flows from operating activities</b>			
Net operating expenditure		(6,785)	(5,936)
Adjustment for depreciation charge on non-current assets	3	6	16
Adjustment for amortisation charge on intangibles	3	71	-
Adjustment for notional costs	3	359	376
Increase in trade and other receivables	8	(28)	(11)
(Decrease)/Increase in trade and other payables	10	(271)	54
Less movements in payables relating to items not passing through the Net Expenditure account		(19)	(364)
<b>Net cash outflow from operating activities</b>		<b>(6,667)</b>	<b>(5,865)</b>
<b>Cash flows from investing activities</b>			
Purchase of property, plant and equipment	5	(14)	-
Purchase of intangible assets	6	(73)	(167)
<b>Net cash outflow from investing activities</b>		<b>(87)</b>	<b>(167)</b>
<b>Cash flows from financing activities</b>			
Grants from sponsoring department			
Capital Grant-in-Aid Financing		109	531
Funding of Staff and Operating Expenditure*		5,733	5,181
Funding of Programme Expenditure		651	381
<b>Net financing</b>		<b>6,493</b>	<b>6,093</b>
<b>Net increase/(decrease) in cash and cash equivalents in the period</b>	<b>9</b>	<b>(261)</b>	<b>61</b>
<b>Cash and cash equivalents at the beginning of the period</b>	<b>9</b>	<b>701</b>	<b>640</b>
<b>Cash and cash equivalents at the end of the period</b>	<b>9</b>	<b>440</b>	<b>701</b>

\* Staff and Operating Expenditure is paid by DfE on HSENI's behalf

The notes on pages 83-92 form part of these accounts.

**Statement of Changes in Taxpayers' Equity**

for the year ended 31st March 2020

Notes	General Reserve	Revaluation Reserve	Taxpayers' Equity
	£'000	£'000	£'000
<b>Balance at 31st March 2018</b>	204	-	204
<b>Changes in taxpayers' equity for 2018-19</b>			
Capital Grant-in-Aid Financing – DfE	531	-	531
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	5,181	-	5,181
Funding of Programme Expenditure – Request for Resource B – DfE	381	-	381
<b>Grants from Sponsoring department for 2018-19</b>	<b>6,093</b>	<b>-</b>	<b>6,093</b>
Non-cash charges	376	-	376
Comprehensive net expenditure for the year	(5,927)	-	(5,927)
Auditor's remuneration	(9)	-	(9)
<b>Total recognised income and expense for 2018-19</b>	<b>(5,560)</b>	<b>-</b>	<b>(5,560)</b>
<b>Balance at 31st March 2019</b>	<b>737</b>	<b>-</b>	<b>737</b>
<b>Changes in taxpayers' equity for 2019-20</b>			
Capital Grant-in-Aid Financing – DfE	109	-	109
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	5,733	-	5,733
Funding of Programme Expenditure – Request for Resource B – DfE	651	-	651
<b>Grants from Sponsoring department for 2019-20</b>	<b>6,493</b>	<b>-</b>	<b>6,493</b>
Non-cash charges	359	-	359
Comprehensive net expenditure for the year	(6,761)	-	(6,761)
Auditor's remuneration	(14)	-	(14)
Net gain on revaluation of intangible assets	(10)	10	-
<b>Total recognised income and expense for 2019-20</b>	<b>(6,426)</b>	<b>10</b>	<b>(6,416)</b>
<b>Balance at 31st March 2020</b>	<b>804</b>	<b>10</b>	<b>814</b>

The General Reserve serves as the chief operating fund. The General Reserve is used to account for all financial resources except those required to be accounted for in another fund.

The Revaluation Reserve records the unrealised gain or loss on the revaluation of intangible assets.

The notes on pages 83-92 form part of these accounts.

# Notes to the Executive's Accounts

## 1. Statement of Accounting Policies

These financial statements have been prepared in accordance with the 2019-20 Government Financial Reporting Manual (FRoM) issued by the Department of Finance (DoF). The accounting policies contained in the FRoM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FRoM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Health and Safety Executive for Northern Ireland (HSENI) for the purpose of giving a true and fair view has been selected. The particular policies adopted by HSENI are described below. They have been applied consistently in dealing with items that are considered material to the accounts.

Management has reviewed new accounting standards that have been issued but are not yet effective, nor adopted early, for these accounts. Management consider that these are unlikely to have any significant impact on the accounts in the period of initial application. IFRS 16 is not considered relevant to the financial reporting of HSENI.

### 1.1. Accounting Convention

These accounts have been prepared under the historical cost convention modified to account for the revaluation of intangible assets.

### 1.2. Property, Plant and Equipment

The assets of the Health and Safety Executive for Northern Ireland are carried at fair value. Depreciated historical cost is used as a proxy for fair value for all of the organisation's tangible assets given their low values and short useful lives. The minimum level of capitalisation of property, plant and equipment is £1,000.

### 1.3. Depreciation

Depreciation is provided at rates calculated to write off the cost or valuation less estimated residual value of each asset over its expected useful life, as follows:

Transport equipment - 25% straight line

Furniture & fittings - 25% straight line.

### 1.4. Intangible Assets

#### Computer Software

The Department of Enterprise, Trade and Investment acquired a Case Management System (CMS) in 2005-06 for use by HSENI. This CMS system was retrospectively capitalised in the 08-09 year under IAS 38 Intangible Assets. The useful economic life of the asset was estimated at 6 years to March 2012. This system was decommissioned by the organisation in the current financial year.

A replacement CMS system was brought into operation at the beginning of the current financial year. The useful economic life of this new system has been estimated at 10 years from April 2019.

HSENI acquired the accounting software, Microsoft Dynamics NAV in 2009-10. The useful economic life of the asset was estimated at 4 years to March 2014. The system is still in use within HSENI. An upgrade is currently being worked on and will be brought into use in the 2020-21 financial year.

These assets are recorded at fair value, as calculated using the Depreciated Replacement Cost method (DRC). Amortisation is calculated on a straight-line basis. Intangible assets are reviewed annually for impairment and are carried at fair value.

## 1.5. Operating Income

Operating income represents fees charged to businesses for licences and attendance at conferences and is recognised in the period in which performance is satisfied.

### Fees and Charges

HSENI obtains income from the following services in parity with Great Britain (GB):

COMAH income is obtained on a full cost recovery basis.

All these relate to services costing less than £1,000,000.

This information is provided for Fees and Charges purposes, not for IFRS 8 purposes.

## 1.6. Financial Instruments

### Cash and cash equivalents

Cash and cash equivalents comprise cash at bank and in hand.

### Trade and other receivables

Trade receivables do not carry any interest and are recognised and carried at the lower of their original invoiced value and recoverable amount. A bad debt provision is made when there is objective evidence that the recoverable amount is less than the original invoiced value. Balances are written off when the probability of recovery is assessed as being remote.

### Trade and other payables

Trade payables are not interest bearing and are stated at their nominal value.

## 1.7. Grant-in-Aid

Grant-in-Aid financing is credited to the general reserve in the year that it is received.

HSENI is funded in two distinct ways, both of which are considered to be Programme expenditure within the NI Block grant and are treated as Grant-in-Aid as defined above.

Budget for Staff and Operating Expenditure within HSENI is retained by DfE on behalf of HSENI and used to administer this type of expenditure through HSENI's existence as a separate cost centre within DfE's finance system. Payments

are approved by HSENI budget holders but the payment is made from DfE's bank account. HSENI is accountable for the level and propriety of spend but does not physically receive the cash funding. Due to the nature of this arrangement, the Grant-in-Aid associated with this budget matches the level of expenditure.

Budget for Programme Expenditure, being HSENI spend on health & safety programmes, campaigns and events, is obtained from DfE as a cash drawdown and is administered from within HSENI on the organisation's own finance system.

## 1.8. Value Added Tax

HSENI does not charge output VAT on income and is ineligible to reclaim input VAT on programme expenditure. Therefore all programme expenditure is inclusive of VAT.

Staff and Operating expenditure is exclusive of VAT as it is administered by DfE on HSENI's behalf.

## 1.9. Pensions

Past and present employees are covered by the provisions of the NICS pension arrangements. The rate for the employer's contribution is set by the Government Actuary and for 2019-20 was dependent on salary range. All contributions are charged to the Statement of Comprehensive Net Expenditure as incurred.

## 1.10. Operating Segments

The Chief Operating Decision Maker considers HSENI as one operating unit in making decisions. Management information is generated on a holistic basis for the organisation.

## 1.11. Staff Costs

Under IAS19 Employee Benefits, all staff costs must be recorded as an expense as soon as the organisation is obligated to pay them. This includes the cost of any untaken leave as at the year end. The cost of untaken leave has been determined with reference to cost and leave balance information held by HRConnect at the year end.

## 2. Staff numbers and related costs

### 2 (a) Staff costs comprise:

	Permanently employed staff	Others	2019-20 Total	2018-19 Total
	£'000	£'000	£'000	£'000
Wages and salaries	3,685	7	3,692	3,592
Social security costs	372	-	372	357
Other Pension costs	1,102	-	1,102	791
<b>Total</b>	<b>5,159</b>	<b>7</b>	<b>5,166</b>	<b>4,740</b>

### 2 (b) Pension arrangements:

The Northern Ireland Civil Service main pension schemes are unfunded multi-employer defined benefit schemes but HSENI is unable to identify its share of the underlying assets and liabilities. The Government Actuary's Department (GAD) is responsible for carrying out scheme valuations. The Actuary reviews employer contributions every four years following the scheme valuation. The 2016 scheme valuation was completed by GAD in March 2019. The outcome of this valuation was used to set the level of contributions for employers from 1 April 2019 to 31 March 2021.

For 2019-20, employers' contributions of £1,101,591 were payable to the NICS pension arrangements (2018-19 £790,660) at one of three rates in the range 28.7% to 34.2% of pensionable pay, based on salary bands.

This change is primarily due to the reduction in the SCAPE discount rate (as announced at

Budget 2018) to 2.4% per annum above CPI. The contribution rates are set to meet the cost of the benefits accruing during 2018-19 to be paid when the member retires, and not the benefits paid during this period to existing pensioners.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. No employees of HSENI have exercised this option.

No exit packages were paid during the year (2018-19 Nil).

2 persons (2018-19: no persons) retired early on ill-health grounds; the total additional accrued pension liabilities in the year was nil (2018-19: £nil).

### 2 (c) Average number of persons employed:

The average number of whole-time equivalent persons, including senior management, employed during the year was as follows:

	Permanent staff	Others	2019-20 Total	2018-19 Total
Directly employed	100	-	100	99
Other	-	-	-	-
<b>Total</b>	<b>100</b>	<b>-</b>	<b>100</b>	<b>99</b>

### 3. Other Expenditure

		2019-20	2018-19 Restated
	Notes	£'000	£'000
Advertising and publicity		343	349
Motor and travel expenses		160	159
Staff training		151	130
Inspection and enforcement		96	(65)
IT costs		96	39
Other Staff Related Costs		89	84
Telephone		60	50
Scientific services*		35	28
Printing, postage and stationery		29	34
Contract cleaning		26	26
Premises costs		24	16
Staff equipment		17	20
Heat and light		17	14
Internal audit and accountancy		14	14
Auditor's remuneration		14	9
Legal and professional fees		12	(70)
Staff development		9	3
Recruitment costs		3	18
Catering and hospitality		2	1
Car parking		2	-
Office maintenance*		2	2
Non-cash items			
Depreciation	5	6	16
Amortisation	6	71	-
Notional accommodation charge		331	329
Notional Departmental Solicitors Office charge		24	47
Notional welfare charge		4	-
		<b>1,637</b>	<b>1,253</b>

\*An adjustment of £8k has been made in the previous year comparative to move the cost of maintenance of lab equipment from Office maintenance to Scientific services

### 4. Income

	2019-20	2018-19
	£'000	£'000
Licence, subscription and conference fees	10	52
Other income	8	5
	<b>18</b>	<b>57</b>

Other income relates to fees and charges, recovery of legal costs and income from events and workshops.

### 5. Property, plant and equipment

2019-20	Transport equipment £'000	Furniture & fittings £'000	Total £'000
<b>Cost or valuation</b>			
At 1 April 2019	24	317	341
Additions	-	14	14
Disposals	-	(47)	(47)
<b>At 31 March 2020</b>	<b>24</b>	<b>284</b>	<b>308</b>
<b>Depreciation</b>			
At 1 April 2019	24	307	331
Charged in year	-	6	6
Disposals	-	(47)	(47)
<b>At 31 March 2020</b>	<b>24</b>	<b>266</b>	<b>290</b>
<b>Carrying value at 31 March 2020</b>	<b>-</b>	<b>18</b>	<b>18</b>
<b>Carrying value at 31 March 2019</b>	<b>-</b>	<b>10</b>	<b>10</b>
<b>Asset financing:</b>			
Owned	-	18	18
<b>Carrying value at 31 March 2020</b>	<b>-</b>	<b>18</b>	<b>18</b>

Given that the assets of the Health and Safety Executive for Northern Ireland have short useful lives and are of low values, depreciated historical cost has been used as a proxy for fair value. HSENI owns all its assets.

2018-19	Transport equipment £'000	Furniture & fittings £'000	Total £'000
<b>Cost or valuation</b>			
At 1 April 2018	24	338	362
Additions	-	(21)	(21)
<b>At 31 March 2019</b>	<b>24</b>	<b>317</b>	<b>341</b>
<b>Depreciation</b>			
At 1 April 2018	18	318	336
Charged in year	6	10	16
Disposals	-	(21)	(21)
<b>At 31 March 2019</b>	<b>24</b>	<b>307</b>	<b>331</b>
<b>Carrying value at 31 March 2019</b>	<b>-</b>	<b>10</b>	<b>10</b>
<b>Carrying value at 31 March 2018</b>	<b>6</b>	<b>20</b>	<b>26</b>
<b>Asset financing:</b>			
Owned	-	10	10
<b>Carrying value at 31 March 2019</b>	<b>-</b>	<b>10</b>	<b>10</b>

## 6. Intangible assets

Intangible assets comprise a Case Management System (CMS) to store relevant data on Health & Safety investigations and the accounting software, Microsoft Dynamics NAV, which is used to administer HSENI's programme expenditure. The additions in the current year relate to the completion of the development of a new Case Management System and also initial payments towards the implementation of an upgrade to the accounting system. The old CMS system was decommissioned in the current financial year.

<b>Information Technology</b>		<b>Total</b>
<b>2019-20</b>		<b>£'000</b>
<b>Valuation</b>		
At 1 April 2019		<b>840</b>
Additions		<b>93</b>
Disposals		<b>(197)</b>
Revaluations		<b>11</b>
<b>At 31 March 2020</b>		<b>747</b>
<b>Amortisation</b>		
At 1 April 2019		<b>210</b>
Charged in year		<b>71</b>
Disposals		<b>(197)</b>
Revaluations		<b>1</b>
<b>At 31 March 2020</b>		<b>85</b>
<b>Carrying value at 31 March 2020</b>		<b>662</b>
<b>Carrying value at 31 March 2019</b>		<b>630</b>
<b>Asset financing:</b>		
Owned		<b>662</b>
<b>Carrying value at 31st March 2020</b>		<b>662</b>

HSENI values its intangible assets at 31st March using the Depreciated Replacement Cost method. It is estimated by restating the value annually by reference to indices compiled by the Office of National Statistics.

2018-19	Total
	£'000
<b>Valuation</b>	
At 1 April 2018	309
Additions	531
<b>At 31 March 2019</b>	<b>840</b>
<b>Amortisation</b>	
At 1 April 2018	210
Charged in year	-
<b>At 31 March 2019</b>	<b>210</b>
<b>Carrying value at 31 March 2019</b>	<b>630</b>
<b>Carrying value at 31 March 2018</b>	<b>99</b>
<b>Asset financing:</b>	
Owned	630
<b>Carrying value at 31st March 2019</b>	<b>630</b>

## 7. Financial Instruments

As the cash requirements of the Health and Safety Executive for Northern Ireland (HSENI) are met through Grant-in-Aid provided by the Department for the Economy, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with HSENI's expected purchase and usage requirements and HSENI is therefore exposed to little credit, liquidity or market risk.

## 8. Trade receivables and other current assets

	2019-20	2018-19
	£'000	£'000
<b>Amounts falling due within one year:</b>		
Trade receivables	3	1
Other receivables*	311	283
<b>Prepayments</b>	<b>23</b>	<b>25</b>
<b>Total</b>	<b>337</b>	<b>309</b>

\*Other receivables relates to an Intergovernmental debtor with DfE in relation to the Department's agreement to honour HSENI Staff & Operating Expenditure accruals and prepayments.

## 9. Cash and cash equivalents

	2019-20	2018-19
	£'000	£'000
Balance at 1 April	701	640
Net change in cash and cash equivalent balances	(261)	61
<b>Balance at 31 March</b>	<b>440</b>	<b>701</b>

The following balances at 31 March were held at:

Commercial banks and cash in hand	440	701
<b>Balance at 31 March</b>	<b>440</b>	<b>701</b>

## 10. Trade payables and other current liabilities

	2019-20	2018-19
	£'000	£'000
<b>Amounts falling due within one year:</b>		
Trade payables	2	1
Accruals	641	912
<b>Total</b>	<b>643</b>	<b>913</b>

### 11. Provisions for liabilities and charges

HSENI is not aware of any circumstances that would give rise to provisions or contingent liabilities in the current year.

### 12. Commitments under leases

#### 12.1. Operating leases

HSENI does not hold any operating leases.

#### 12.2. Finance leases

HSENI does not hold any finance leases.

### 13. Related Party Transactions

The Health and Safety Executive for Northern Ireland is a Non-Departmental Public Body (NDPB) sponsored by the Department for the Economy. The Department for the Economy is regarded as a related party. During the year, the Health and Safety Executive for Northern Ireland has had various material transactions with the Department and with other entities for which the Department is regarded as the parent Department, viz:

Non-Departmental Public Bodies:

- Invest Northern Ireland (Invest NI);
- Tourism Northern Ireland (Tourism NI);
- Consumer Council for Northern Ireland (GCCNI);
- Northern Ireland Screen;
- CITB-NI;
- Labour Relations Agency;
- Stranmillis University College;
- the six Further Education colleges;
- InterTradelreland (Trade and Business Development Body); and
- Tourism Ireland Company Limited by Guarantee (TICLG).

### Independent Autonomous Bodies:

- Ulster University (Higher Education Institution);
- Queens University (Higher Education Institution);
- Open University; and
- St Mary's University College (Non Profit Institution Serving Households Body).

In addition, the Health and Safety Executive for Northern Ireland has had a small number of transactions with other government departments and other central government bodies. Most of these transactions have been with the Department of Finance.

No board member, key manager or other related parties has undertaken any material transactions with the Health and Safety Executive for Northern Ireland during the year.

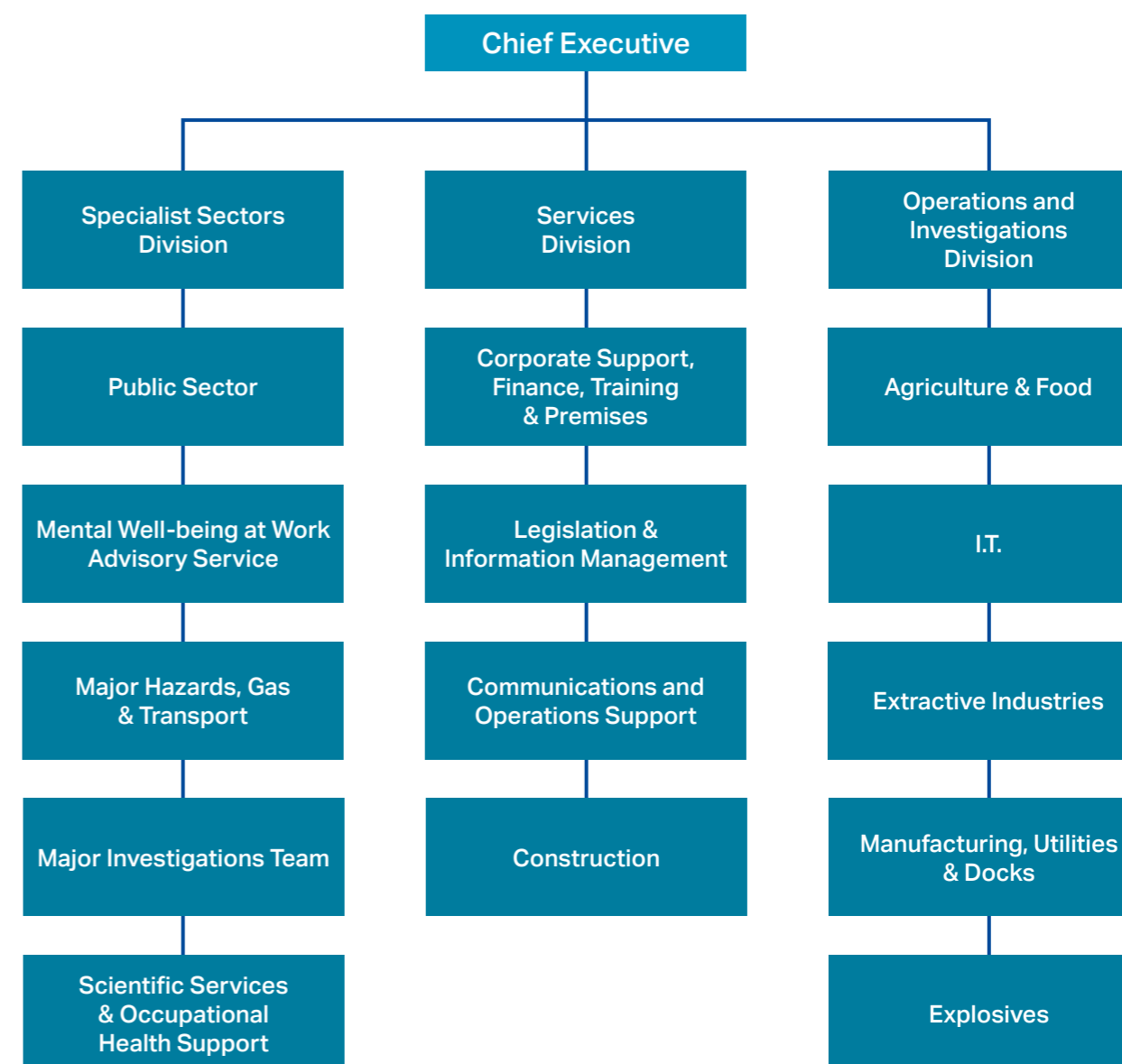
### 14. Events after the reporting period

#### Date of authorisation for issue

The Accounting Officer authorised the issue of these financial statements on 21 October 2020.

# Appendix 1

## HSENI Organisation Structure 2019-20



# Appendix 2

## Fatal Injuries 2019-20 (Total = 11; HSENI enforcement responsibility only)

These figures do not include fatalities where the investigation has not yet established details to make a decision on their inclusion.

### Construction

Occupation (Age)	Employment Category	Description	Date
Rofer (58)	Unknown	Fall from height	09.01.2020
Construction worker (42)	Employed	Fall from height	17.01.2020
Plumber (59)	Employed	Fall from height	27.01.2020
Builder (72)	Contractor	Fall from height	20.02.2020

### Manufacturing

Occupation (Age)	Employment Category	Description	Date
Harbour worker (59)	Employed	The exact details of the incident have not yet been established.	18.07.2019
Labourer (43)	Employed	Died following collapse of three ton trailer.	04.09.2019
Delivery driver (70)	Employed	Died following fall associated with fallen pallet from tailgate of lorry	13.12.2019

### Agriculture

Occupation (Age)	Employment Category	Description	Date
Child (14)	N/A	Died as result of accident with telehandler	30.11.2019

### Transport

Occupation (Age)	Employment Category	Description	Date
Delivery driver (48)	Self Employed	Died when hydraulic system of vehicle failed	06.07.2019

### Public Sector

Occupation (Age)	Employment Category	Description	Date
Patient (83)	N/A	Died following serious burns sustained in plant room	06.07.2019

### Waste

Occupation (Age)	Employment Category	Description	Date
Engineer (24)	Employed	Died following machinery accident	19.11.2019

### Utilities

Occupation (Age)	Employment Category	Description	Date
*Private contractor (24)	Employed	Died after being hit by a falling tree	19.09.2018

\* This fatality relates to the 2018-19 period



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# Appendix 3

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## Prosecutions 2019-20

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### **F.P. McCann Ltd**

On 31 May 2019 F.P. McCann Limited pleaded guilty to two breaches of health and safety legislation and was fined £150,000 at Laganside Crown Court, after an employee was found fatally injured beside a dumper truck at its Knockloughrim Quarry premises. An examination of the Aveling Barford truck highlighted a number of faults including low brake efficiencies, no parking brake, no emergency steering and no working seatbelt. Edge protection in the stockpile area was also found to be below the recommended height of 1.5m, although it was sufficient to stop the truck on this occasion.

### **Amalgamated Environmental Services (AES) Ltd trading as AES Marconi**

On 18 June 2019 AES Ltd was fined £15,000 following the death of a man at an excavation site in Rathfriland. The company pleaded guilty to one breach of health and safety legislation at Newry Crown Court, after the deceased was found dead within an excavation site at the rear of his house. The site was being remediated following contamination with oil.

An investigation by HSENI found that the work was not appropriately planned. An incomplete generic risk assessment had been conducted without visiting the site, security arrangements were not suitable to prevent access to the area, arrangements to assist tenants with necessary access to the area were not clear, and the risks associated with the work were not effectively communicated.

### **Terex GB Ltd**

On 27 June 2019 a Co. Tyrone company was fined £150,000 for failings which resulted in the death of one of its employees at their premises on Killyclogher Road, Omagh.

Terex GB Ltd pleaded guilty after an employee sustained fatal injuries as a result of being crushed between two mobile stone crushing machines which were stored along with others in a stockyard area.

### **Briquetter Enva Toomebridge Ltd (formerly known as Clearcircle Environmental (NI) Ltd) and sub-contractor Declan Quinn**

On 28 August 2019 a Co. Antrim firm was fined £1,500 and a sub-contractor was fined £500 after an electrical contractor had his foot trapped in a hydraulic powered compactor known as a Briquetter.

### **ISL Waste Management Ltd**

On 28 August 2019 a Co. Antrim recycling company was fined £25,000 after an employee was crushed between a Refuse Collection Vehicle (RCV) and a mini digger.

### **McAuley Precision Limited**

On 24 September 2019 a Co. Antrim firm was fined £30,000 after two people, one of whom was an employee, suffered serious injuries when an overloaded racking system fell on them.

### **Brian McGuckian T/A McGuckian Milling Company**

On 7 October 2019 this Co. Antrim man was fined £20,000 after an employee had his left arm amputated by a screw auger conveyor.

### **Richard McClure T/A McClure Farms and S Higgins Construction Ltd**

On 12 December 2019 Richard McClure, a farmer trading as McClure Farms from Coleraine was fined £10,000 after pleading guilty to one breach of health and safety legislation, while S Higgins Construction Ltd, based at Knockloughrim, Magherafelt was fined £10,000 after pleading guilty to two breaches of health and safety legislation.

### **Briggs Equipment UK Ltd**

On 20 December 2019 this firm was fined £150,000 after an employee suffered serious injuries when a heavy piece of equipment weighing approximately one tonne landed on him when it was being unloaded.

### **Ace Recycling (NI) Limited and its sole director, James McCoubrey**

On 13 February 2020 Ace Recycling (NI) Limited and its sole director were fined a total of £28,000 for health and safety breaches, including failing to ensure a suitable and sufficient assessment was completed to identify the presence of asbestos at a former factory site at Shaerf Drive, Lurgan.

James McCoubrey, director of Ace Recycling (NI) Limited, was also fined for failing to comply with a prohibition notice. The prohibition notice was served by a HSENI inspector to prevent any further work involving asbestos from continuing at the site.

### **Clogher Valley Livestock Producers**

On 13 March 2020 this firm was fined £12,500 following the death of a man at a livestock mart in Clogher.

Clogher Valley Livestock Producers pleaded guilty to one breach of health and safety legislation at Dungannon Court, following an incident where a farmer died after being struck by a gate at the livestock mart in June 2018.

# Appendix 4: Performance Analysis

This section details HSENI's performance against operating plan targets during 2019-20.

## COMMON PRIORITIES

INSPECTIONS	
At least 5,000 inspections will be conducted across all work sectors aimed at improving levels of compliance with health and safety standards.	<b>Target Achieved</b> 5,399 visits conducted 1.4.19 – 1.3.20.
RIDDOR incidents will be selected for investigation using HSENI's Incident Selection Procedure.	<b>Target Achieved</b> 351 RIDDOR incidents selected for investigation using HSENI's Incident Selection Procedure.
All employers found to have an unsatisfactory level of compliance will be considered for enforcement action in accordance with HSENI's Enforcement Guidelines.	<b>Target Achieved</b> 59 Improvement Notices and 188 Prohibition Notices were issued during the period.
Raise workplace health as a priority issue during all inspections in sectors where known health risks exist.	<b>Target Achieved</b> Workplace health was raised at all inspections in sectors where known health risks exist.

PROMOTIONAL ACTIVITIES	
Run or participate in up to 6 high priority local events per annum to highlight health and safety in high risk sectors.	<b>Target Achieved</b> HSENI participated in various events throughout the year such as: Open farm weekend, Build Health Workshop, Balmoral Show May 2019, Build Health Annual Conference, Asbestos Surveys Seminar, Dust Workshop, WHLGNI Conference, and Explosives Seminar along with MWAWAS Workshops, Health and Safety Reps award, School Bee Safe visits.
Provide 160 advisory contacts / promotional events etc. per annum (800 over lifetime of Corporate Plan) to increase awareness of workplace safety, health and mental well-being at work.	<b>Target Achieved</b> <b>MUD</b> – 10 Inspector Advisory contacts & 51 Business Advisory contacts to 31.3.2020. 41 presentations delivered to school groups during the period 1.4.19 – 31.3.20 (this figure does not include the number of school presentations as part of the Child Safety on Farms campaign). <b>AG</b> – 18 Mental Health Events. 82 Primary Schools – Farm Safety Presentations. 4 Farm Safety Presentations to CAFRE Students. 12 Presentations to GCSE Agriculture Students.

## CONSTRUCTION SECTOR (INCLUDING ASBESTOS)

ASBESTOS REMOVAL		
Action / Intervention and potential partners	Target Output/s	Progress
Run a seminar focusing on clients duties covering the commission of adequate management and refurbishment/ demolition surveys.	Seminar run and attended by 50 companies / representatives. (Contributes to CP Output 4)	<b>Target Achieved</b> Seminar took place on 16 October 2019 at Ladas Drive.
Carry out at least 60 site inspections of notified licensable asbestos removal projects.	60 inspections of licensed asbestos work – measured using a free text code on CMS. (Contributes to CP Output 1)	<b>Target Achieved</b> 61 inspections achieved across the group.
Respond to 100% incidents of reported unsafe asbestos removal using a risk based approach and within the confines of available resource.	100% of unsafe asbestos incidents in the construction sector will be stopped until compliance has been secured using the most appropriate action. (measured using a free text code on CMS). (Contributes to CP Output 1)	<b>Target Achieved</b> Responded to all reported incidents of unsafe asbestos removal.

RESPIRABLE CRYSTALLINE SILICA (RCS)		
Action / Intervention and potential partners	Target Output/s	Progress
Distribute the existing RCS information pack to 200 construction sites.	Raise awareness of silica within the construction industry. (Contributes to CP Outputs 2 and 4)	<b>Target Achieved</b> Approximately 225 packs distributed across the industry in this operational year.
Make RCS a standing item on all inspections where relevant.	100% of instances where potential silica exposure exists will be subject to appropriate enforcement and/or educational activity. (Contributes to CP Outputs 1 and 4)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

HAND ARM VIBRATION (HAV)		
Action / Intervention and potential partners	Target Output/s	Progress
Raise awareness of HAVS by discussing with site management and leaving an information pack on site where appropriate.	Measured using a free text code on CMS. (Contributes to CP Output 1)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

WORK AT HEIGHT		
Action / Intervention and potential partners	Target Output/s	Progress
Respond to incidents of unsafe WAH using a risk based approach and within the confines of available resource.	100% of unsafe work at height incidents in the construction sector will be stopped until compliance has been secured using the most appropriate action. (measured using a free text code on CMS) (Contributes to CP Output 1).	<b>Target Achieved</b> Responded to all incidents of unsafe WAH.

VEHICLE PEDESTRIAN SEGREGATION (VPS)		
Action / Intervention and potential partners	Target Output/s	Progress
Make VPS a standing item on all inspections where relevant.	100% of instances where potential vehicle contact exists will be subject to appropriate enforcement and/or educational activity. (Contributes to CP Outputs 1 and 4)	<b>Target Achieved</b> An inspection initiative was completed by the compliance officers to highlight this across the house building industry.

SLIPS, TRIPS AND FALLS (STF)		
Action / Intervention and potential partners	Target Output/s	Progress
Raise STFs during site visits where appropriate, particularly in regard to site tidiness.	Focus on site tidiness during inspections and secure compliance using the most appropriate action. (measured using a free text code on CMS). (Contributes to CP Output 1)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

CONSTRUCTION, DESIGN AND MANAGEMENT REGULATIONS (CDM)		
Action / Intervention	Target Output/s	Progress
Follow up design issues identified during site visits with Principal Designers.	Measured using a free text code on CMS. (Contributes to CP Output 1)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.
Discuss duties under CDM with clients, principal contractors and sub-contractors during site visits and as follow-ups as appropriate.	Measured using a free text code on CMS. (Contributes to CP Output 1)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

## AGRI-FOOD GROUP

MENTAL WELL-BEING – WORK-RELATED STRESS		
Action / Intervention	Target Output/s	Progress
Distribute mental health advisory guide to all farmers during inspections.	Raise awareness of mental health in the agriculture industry. (Contributes to CP Outputs 2 and 5)	<b>Target Achieved</b> Since 01.04.19 there have been 18 events which have taken place across NI where members of the AG team gave presentations to farmers groups, influencers in the farming community e.g. DAERA staff and attended events such as open farm weekend where “coping with the pressures of farming booklet” was distributed.
Make mental health a standing item on all inspections (where relevant).	Raise awareness of mental health in the agriculture industry. (Contributes to CP Outputs 2 and 5)	<b>Target Achieved</b> The AG team undertook 468 site visits between 1.4.19 & 31.3.20. The vast majority of these visits were in the agriculture sector. Where inspectors deemed it necessary mental health was raised during general inspections and investigations. Farmers were given guidance and the booklet “coping with the pressures of farming” was distributed.
Raise awareness of potential mental health issues within the farming community.	HSENI and Rural Support have co-developed a book and web resource tackling the pressures of farming and mental health which was completed in March 2019 and will be launched at the Balmoral Show in May 2019. (Contributes to CP Outputs 2, 4 and 5)	<b>Target Not Achieved</b> HSENI Stress Team along with Communications Team and members of AG are in process of working with Genesis in developing web based resource for Stress in Agriculture. This is an ongoing venture and the actual content of the website is still in development stages. The target should be completed during 2020/21.

GUARDING OF DANGEROUS MOVING PARTS		
Action / Intervention	Target Output/s	Progress
Respond to complaints about unguarded machinery using a risk based approach within the constraints of available resources.	Improve the standard of machinery guarding on farms and reduce number of incidents related to unguarded machinery. 100% of reported situations of unguarded machinery will be closed out to secure compliance. (Contributes to CP Output 4)	<b>Target Achieved</b> 13 prohibition notices issued from 1/4/19 to 31/3/20 dealing specifically with machinery guarding issues in agriculture.
Provide advice to farmers in relation to machinery guarding.	Improve the standard of machinery guarding on farms and reduce number of incidents related to unguarded machinery. (Contributes to CP Output 1)	<b>Target Achieved</b> Inspectors referred to safe machinery guarding during every farm inspection. Inspectors will discuss cleaning and maintenance also.

SAFE ANIMAL HANDLING (SAH)		
Action / Intervention	Target Output/s	Progress
Develop guidance for the farming industry in relation to safe calving facilities.	A single guide of practical advice for the agriculture industry on safe calving facilities (Contributes to CP Output 1)	<b>Target Achieved</b> Calving leaflet has been completed and is available online. The hard copy leaflet will also be available when required.

WORK AT HEIGHT (WAH)		
Action / Intervention	Target Output/s	Progress
Address work at height issues during all pro-active inspections.	Where repair, alteration or new build work found during inspections: i) Unsafe WAH practices will be stopped; and ii) Advice given on essential measures to carry out WAH safely. (Contributes to CP Outputs 1 and 4)	<b>Target Achieved</b> HSENI inspectors discuss work at height during every farm inspection. Any unsafe practise has been stopped where necessary and advice is given daily on safe methods of working at height.
Respond to complaints of unsafe work at height using a risk based approach within the confines of available resources.	Where unsafe WAH practices are reported they will be stopped until compliance with necessary standards achieved. (Contributes to CP Outputs 1 and 4)	<b>Target Achieved</b> Most unsafe work at height will be referred to the construction team but any work that is ongoing during inspection that is deemed unsafe will be stopped immediately.

VEHICLE MAINTENANCE (VM)		
Action / Intervention	Target Output/s	Progress
Develop a guide for farmers about safe workshop facilities.	Raise the standards of workshop facilities on farms. (Contributes to CP Outputs 1 & 5)	<b>Target Achieved</b> This leaflet is complete and is available online hard copy leaflets will also be available when required.

VEHICLE PEDESTRIAN SEGREGATION (VPS)		
Action / Intervention and potential partners	Target Output/s	Progress
Provide advice to farmers on vehicle-pedestrian safety.	Measured using a free text code on CMS. (Contributes to CP Output 1)	<b>Target Achieved</b> Staff discuss vehicles and pedestrian safety during all general farm inspections.

CHILD SAFETY ON FARMS (CSOF)		
Action / Intervention	Target Output/s	Progress
Deliver farm safety presentations to a total of 240 primary schools by the end of the period 1 April 2019 and 31 March 2020.	Improved awareness of the dangers of farms amongst primary school aged children. (Contributes to CP Outputs 1 & 4)	<b>Target Achieved</b> HSENI staff delivered talks to primary school children at 82 schools across Northern Ireland to both KS1 & KS2 children.
Organise and run a farm safety poster colouring competition.	Improved awareness of the dangers of farms amongst primary school aged children. (Contributes to CP Output 4)	<b>Target Achieved</b> Complete – details of winners etc. on HSENI website. 3382 entries received in year 2019.
Design, print and distribute a 2020 Child Safety On Farms Calendar to pupils attending rural primary schools.	Improved awareness of the dangers of farms amongst primary school aged children and their families. (Contributes to CP Output 4)	<b>Target Achieved</b> 2020 Calendar launched 5th December 2020 and over 40,000 calendars distributed to farming families across Northern Ireland.
Deliver farm safety presentations to students attending CAFRE colleges.	Improved awareness of the dangers of farms amongst young adults who currently work or are likely to work in the agricultural industry in NI. (Contributes to CP Outputs 1 & 4)	<b>Target Achieved</b> 4 presentations given to CAFRE students throughout the year and Business Advisors attended students fair at the start of the school year.
Deliver farm safety presentations to GCSE pupils (upon request – where resources permit).	Improved awareness of the dangers of farms amongst young adults who currently work or are likely to work in the agricultural industry in NI. (Contributes to CP Outputs 1 & 4)	<b>Target Achieved</b> 12 presentations have been given to GCSE Agriculture students in the period.

OTHER		
Action / Intervention	Target Output/s	Progress
Organise and deliver a major health and safety event at the 2019 Balmoral Show.	Promote a range of good health and safety practice and advice at the show. (Contributes to CP Output 1)	<b>Target Achieved</b> HSENI participated in the Balmoral Show 15 – 18 May 2019.
Organise a safe machinery handling event for the Young Farmers Clubs of Ulster, YFCU at the Balmoral Show 2019.	Use the Balmoral Show as a vehicle to reach a large audience with key messages on safe machinery (animal) handling. (Contributes to CP Output 1)	<b>Target Achieved</b> HSENI organised a safe machinery handling event for YFCU at the Balmoral Show 15 – 18 May 2019.

## MANUFACTURING

MACHINERY GUARDING		
Action / Intervention	Target Output/s	Progress
Machinery guarding.	Respond to reports of unsafe guarding of moving parts using a risk based approach and within the confines of available resource and take appropriate enforcement action where necessary. (Contributes to CP Output 1)	<b>Target Achieved</b> MUD have responded to all reports of unsafe guarding to date.
	Any guarding defects identified will be the subject of enforcement action. (Contributes to CP Output 1)	<b>Target Achieved</b> Machinery guarding is checked at every site visit.
	Improve compliance with the legislation and contribute to a reduction in the number of incidents/injuries from inadequately guarded machinery and equipment. (Contributes to CP Output 1)	<b>Target Achieved</b> Machinery guarding is checked at every site visit.

NEW TECHNOLOGIES (NEWTECH)		
Action / Intervention	Target Output/s	Progress
Plant safety.	Initiative within the plant manufacturing industry focussing on the design and standard of guarding on new plant. This initiative will be run in conjunction with the Extractives Industry and Waste Group and the Product Safety Group. (Contributes to CP Output 1)	<b>Target Achieved</b> The Product Safety Team organised and spoke at an Extractive Industries workshop in January 2020 with the leading extractive industries within Northern Ireland. The outfall of this workshop continues, as HSENI raises the awareness and necessity of compliance with European Directives and BS EN standards, primarily concerning guarding. The Product Safety Team was not part of the New Tech Delivery Teams. See above.
	Guidance to be developed by MUD group. (Contributes to CP Output 1)	<b>Target Not Achieved</b> This work is no longer being carried out by the MUD Group.

	Workshop to be run for inspectors within Extractive Industries & Waste Group, Manufacturing group and Agri-food Group on agreed standards for industry. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Workshop completed on 10 December 2019.
	Guidance to be put on website and circulated via NISG and Manufacturing NI. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Not Achieved</b> The Product Safety Team was not part of the New Tech Delivery Teams. See above.
	Planned visits to conveyor manufacturing companies by MUD group. <a href="#">(Contributes to CP Output 1)</a>	This work is no longer solely being carried out by the MUD Group but will fall to the sector that identifies the non-compliant equipment.

#### SAFE PLANT AND SAFE MAINTENANCE

Action / Intervention and potential partners	Target Output/s	Progress
Welding equipment maintenance <b>(Partners - NISG &amp; MNI &amp; BCGA &amp; UKLPG).</b>	Raise awareness and the standards within the welding industry with regard to the maintenance of welding equipment. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Ongoing</b> Latter part of an initiative being run over 2019–20 & 2020-21.

#### OTHER

Action / Intervention and potential partners	Target Output/s	Progress
Health and safety mentoring to businesses.	50 visits to organisations which will provide advice and guidance which will increase compliance and contribute to a reduction in the number of dangerous occurrences and incidents. <a href="#">(Contributes to CP Outputs 1 &amp; 4)</a>	<b>Target Achieved</b> 51 business Advisory visits carried out during the period 1.4.2019–31.3.2020.

## UTILITIES

#### INFRASTRUCTURE, PLANT & FLEET SAFETY (IPFS)

Action / Intervention and potential partners	Target Output/s	Progress
Electricity Safety, Quality and Continuity Regulations (ESQCR).	Three engagement meetings with NIE to review their health and safety management and their compliance with the ESQCR legislation. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Not Achieved</b> First meeting with NIE conducted on 21 August 2019, second meeting on 8 January 2020, third meeting postponed due to COVID-19 pandemic.

## PUBLIC SECTOR

SLIPS, TRIPS AND FALLS (STF)		
Action / Intervention and potential partners	Target Output/s	Progress
Raise awareness of the workplace conditions associated with STF <b>(Partners – Health Trusts, NICS).</b>	Raise /discuss STF during all visits/interactions as appropriate. (Contributes to CP Output 1 and 4)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

INSPECTION ACTIVITY		
Action / Intervention and potential partners	Target Output/s	Progress
Inspection work.	Undertake inspections and investigations across the public sector in line with priority or emerging issues and incident selection procedures. (Contributes to CP Output 1)	<b>Target Achieved</b> Public Sector carried out 200 visits 1 April 2019 – 31 March 2020.

PHYSICAL AND VERBAL ABUSE (PVA)		
Action / Intervention and potential partners	Target Output/s	Progress
Raise awareness of physical and verbal abuse in the workplace <b>(Partners – Health Trusts, NICS, EA).</b>	Organisational strategies for preventing/reducing both physical and verbal abuse on Front Line Staff will be raised/discussed during all visits/interactions as appropriate. (Contributes to CP Output 1 and 4)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

## FAIRGROUNDS

MUSCULOSKELETAL DISORDERS (MSDs)		
Action / Intervention and potential partners	Target Output/s	Progress
Musculoskeletal disorders (MSDs) <b>(Partners - PSG, SG, Fairground Operators).</b>	Participate in a seminar for fairground operators in partnership with the Showmen's Guild to raise awareness of good Health and Safety Practices appropriate to fairground industry which will include the principles of good handling (MSDs). (Contributes to CP Output 3)	<b>Target Not Achieved</b> Unfortunately, despite several contacts with the Showman's Guild it has not been possible to arrange a meeting.
	In all inspections/interactions discuss the 'principles of good handling (MSDs)' as appropriate, in particular during the assembly and dismantling of the Rides. (Contributes to CP Outputs 2 & 4)	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.

## EXTRACTIVE INDUSTRIES

OCCUPATIONAL LUNG DISEASE – RESPIRABLE CRYSTALLINE SILICA (RCS)		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 80 inspections/ advisory visits <b>(Partner - Industry).</b>	Raise awareness of silica within the extractive industry sector. <a href="#">(Contributes to CP Outputs 1 and 2)</a>	<b>Target Achieved</b> Raised during all site visits when appropriate and during specific complaint investigations.
	80 quarries visited will either have a Dust Strategy in place and work will have started to implement the Strategy or the company will be subject to enforcement action. <a href="#">(Contributes to CP Outputs 1 and 2)</a>	<b>Target Achieved</b> Dust Strategy raised during all site visits when appropriate and during specific complaint investigations.
Run 5 quarry Workshops for the Industry to raise awareness of the danger of total inhalable dust and respirable crystalline silica dust and also to give examples of how to make improvements <b>(Partners - MPANI &amp; IOQ).</b>	HSENI will identify suitable quarry companies to host these workshops. HSENI will arrange to invite the neighbouring quarries to send delegates. <a href="#">(Contributes to CP Outputs 1 and 2)</a>	<b>Target Achieved</b> 12 dust workshops completed. (79 quarry operators represented – 147 attendees)
	HSENI will develop the materials for the workshops and deliver same. Workshops to last 1 hour. <a href="#">(Contributes to CP Outputs 1 and 2)</a>	<b>Target Achieved</b> Materials for workshops have been developed and workshops have taken place.

STABILITY OF QUARRY FACES, TIPS AND EXCAVATIONS		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 80 inspections/ advisory visits <b>(Partner - LSS).</b>	80 quarries visited will either have Geotechnical Assessment or a Geotechnical Appraisal in place or the company will be subject to enforcement action. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Geotechnical Assessment or Appraisal raised during all site visits when appropriate and during specific complaint investigations.
	Stability of quarry faces, tips and excavations will be a standing item on all quarry inspections. This will include examining face inspection reports and the company's Tipping Rules. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Stability of quarry faces, tips and excavation will be raised during all site visits when appropriate and during specific complaint investigations.

COMPETENT QUARRY MANAGEMENT		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 80 inspections/ advisory visits <b>(Partners - MPANI &amp; IOQ).</b>	80 quarries visited will either be able to demonstrate they have competent management in place or have identified training needs with respect to the management team and have plans in place to address any short-comings identified. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Management team and/ or training needs will be addressed during all site visits when appropriate and during specific complaint investigations.
	Liaise with the industry bodies such as IOQ and MPANI to raise awareness of the need for a competent management team in support of this objective. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> HSENI liaised regularly with industry bodies. Attended quarterly MPANI Health & Safety Committee meetings.

MACHINERY GUARDING		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 80 inspections/ advisory visits.	80 quarries visited will have a safe maintenance procedures in place and all the machinery will be guarded to the legal standard. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Safe Maintenance raised during all site visits when appropriate and during specific complaint investigations.
	Any guarding defects identified will be the subject of enforcement action. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Guarding defects will be checked during all site visits when appropriate and during specific complaint investigations.

EXPLORATION DRILLING FOR GAS & OIL AND MINING RESOURCES		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 10 inspections/ advisory visits.	The visits will focus on machinery guarding; site security and emergency arrangements for well control. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Not Achieved</b> Target dependent on activity by industry. No drilling operations for gas and oil were commissioned during this period.



VEHICLE / PEDESTRIAN SAFETY (VPS)		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 80 inspections/ advisory visits.	80 quarries visited will have a brake testing area established and results available for examination. (Contributes to CP Output 1)	<b>Target Achieved</b> Brake testing area was checked during all site visits when appropriate and during specific complaint investigations.
	80 quarries visited will have addressed the issues set out in the publication "Quarry Vehicle Safety" produced by HSENI examination. (Contributes to CP Output 1)	<b>Target Achieved</b> Issues set out in the publication were raised during all site visits when appropriate and during specific complaint investigations.
	Failure to address workplace transport issues will result where appropriate in enforcement action. (Contributes to CP Output 1)	<b>Target Achieved</b> Failure to address workplace transport issues was raised during all site visits when appropriate and during specific complaint investigations.

MINING AND ABANDONED MINES		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 10 inspections/ advisory visits <b>(Partners - HSEMIN &amp; DFE &amp; NIMOC).</b>	The visits will focus on major hazard topics such as machinery guarding; ground control, in-rush prevention, transport, major hazards and electrical safety. (Contributes to CP Output 1)	<b>Target Achieved</b> Major hazard topic inspections completed on electrical safety, fires on mobile plant and ground control.
Providing support to the NIMOC <b>(Partners - HSEMIN &amp; NIMOC).</b>	Attend committee meetings and assisting with Emergency Planning and testing of same. Carrying out site visits as and when appropriate. (Contributes to CP Output 1)	<b>Target Achieved</b> HSENI representative attended NIMOC meetings.

CONCRETE INDUSTRY		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 10 inspections/ advisory visits in the Pre-stress Concrete products factories.	The visits will focus on: concrete saw machines being fully enclosed to address machinery guarding issues, noise reduction; and reduction of dust in the concrete premises visited. (Contributes to CP Output 1)	<b>Target Not Achieved</b> A planned workshop and follow up visits postponed due to technical issues with the redesign of the saw guarding. Workshop rescheduled for 2020-21.
	Enforcement action will also be used as a means of ensuring compliance. (Contributes to CP Output 1)	<b>Target Not Achieved</b> Please see above.

OTHER		
Action / Intervention and potential partners	Target Output/s	Progress
Cross Border liaison with Health and Safety Authority.	Hold two meetings with Health and Safety Authority inspectors responsible for the Extractive industries. (Contributes to CP Output 1)	<b>Target Achieved</b> Two meetings held with Health and Safety Authority 12th December 2019 and 21st January 2020.
Develop a workshop in conjunction with MUD Group.	Provide support MUD Group in the preparation of a Workshop. Carry out five joint inspections with MUD Group to assist in the development of the workshop. (Contributes to CP Output 1 & 3 see page 14)	<b>Target Achieved</b> Provided support to the Product Safety Group in the development of a workshop delivered to manufacturers of mobile crushing and screening equipment. Workshop occurred on the 28th January 2020. (MUD no longer involved)

## WASTE AND RECYCLING SECTOR

OCCUPATIONAL LUNG DISEASE – (E.G. ASBESTOS AND WOOD DUST)		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake inspections at 15 sites – ‘Asbestos Spotter’.	Determine has a trained/ competent person been appointed to identify asbestos located in waste deliveries and skips entering the recycling centre. (Contributes to CP Outputs 1 and 2)	<b>Target Achieved</b> 15 sites have been inspected.
	The presence of an Asbestos Spotter will be recorded on the Site Inspection Report along with where necessary any enforcement action taken. (Contributes to CP Outputs 1)	<b>Target Achieved</b> 15 sites have been inspected.
Undertake inspections at 15 sites – Dust including wood dust and total respirable dust.	Determine if suitable and sufficient risk assessments are available in the waste and recycling industry to eliminate or reduce exposure to dusts. (Contributes to CP Outputs 1)	<b>Target Achieved</b> 15 sites have been inspected.
	Where necessary any enforcement action taken. (Contributes to CP Outputs 1)	<b>Target Achieved</b> 15 sites have been inspected.

MUSCULOSKELETAL DISORDERS – GOOD LIFTING AND HANDLING		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 25 inspections/ advisory visits.	Identify MSD issues associated with hand sorting of waste to seek application of the hierarchy of controls such as, for example the possibility of eliminating hand sorting by replacing with a mechanised system. (Contributes to CP Output 1)	<b>Target Achieved</b> 25 sites have been inspected.
	The presence of an adequate risk assessment will be recorded and where necessary enforcement action taken to secure compliance. (Contributes to CP Output 1)	<b>Target Achieved</b> 15 sites have been inspected.

VEHICLE PEDESTRIAN SAFETY (VPS)		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 90 inspections/ advisory visits.	Ensure 100% compliance with the provision of all-round visibility and safe vehicle / pedestrian interfaces in the 90 premises visited. (Contributes to CP Output 1)	<b>Target Achieved</b> All-round visibility and safe vehicle / pedestrian interfaces was raised during all site visits when appropriate and during specific complaint investigations.
	Where necessary enforcement action taken to secure compliance. (Contributes to CP Output 1)	<b>Target Achieved</b> All-round visibility and safe vehicle / pedestrian interfaces was raised during all site visits when appropriate and during specific complaint investigations.

SLIPS TRIPS FALLS (STF)		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 90 inspections/ advisory visits.	Ensure 100% compliance with the provision of STF prevention strategies in the 90 premises visited. (Contributes to CP Output 1)	<b>Target Achieved</b> Provision of STF prevention strategies was raised during all site visits when appropriate and during specific complaint investigations.
	Where necessary enforcement action taken to secure compliance. (Contributes to CP Output 1)	<b>Target Achieved</b> Provision of STF prevention strategies was raised during all site visits when appropriate and during specific complaint investigations.

SAFE PLANT AND SAFE MAINTENANCE		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 90 inspections/ advisory visits.	Ensure 100% compliance with the provision of safe systems of work for maintenance in the 90 premises visited. (Contributes to CP Output 1)	<b>Target Achieved</b> Provision of safe systems of work was raised during all site visits when appropriate and during specific complaint investigations.
	Site inspections will be carried out to identify any issues with 'Lock Out, Tag Out, Try Out' safe system of work for maintenance. (Contributes to CP Output 1)	<b>Target Achieved</b> Provision of safe systems of work was raised during all site visits when appropriate and during specific complaint investigations.
	Where necessary take enforcement action to ensure a safe system of work is in place. (Contributes to CP Output 1)	<b>Target Achieved</b> Provision of safe systems of work was raised during all site visits when appropriate and during specific complaint investigations.

COMPETENT MANAGEMENT		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 90 inspections/ advisory visits.	Ensure 100% of organisations visited have a suitably qualified and competent person in respect of health and safety management. (Contributes to CP Output 1)	<b>Target Achieved</b> Health and Safety Management was discussed during all site visits when appropriate and during specific complaint investigations.
	Where necessary take enforcement action to ensure a compliance. (Contributes to CP Output 1)	<b>Target Achieved</b> Health and Safety Management was discussed during all site visits when appropriate and during specific complaint investigations.

FIRE PREVENTION		
Action / Intervention and potential partners	Target Output/s	Progress
Undertake at least 90 inspections/ advisory visits.	Ensure that any poor practice with regard to fire prevention will be drawn to the attention of the duty holder and referred to NIFRS. (Contributes to CP Output 1)	<b>Target Achieved</b> Poor practice with regard to fire prevention was discussed during all site visits when appropriate and during specific complaint investigations.

OTHER		
Action / Intervention and potential partners	Target Output/s	Progress
Attend three WISHNI committee meetings and support the work of this trade body (Partners - W&RT & WISHNI).	Provide support, encouragement and give some direction to the Waste Industry to support HSENI's priority areas as set out in this plan. This can be measured during inspections where WISHNI has influenced a duty holder to make improvements in the priority areas in advance of the inspector's visit. (Contributes to CP Output 1)	<b>Target Achieved</b> WISHNI Committee meetings attended on 25/06/19, 11/09/19 and 13/11/19.  Assisted in the delivery of the WISHNI Ambassador Awards on 11 March 2020.

## MAJOR HAZARDS

MAJOR ACCIDENT PREVENTION		
Action / Intervention and potential partners	Target Output/s	Progress
Upper tier COMAH site safety / emergency plans <b>(Partners - NIEA &amp; HSE).</b>	Work in partnership with NIEA to scrutinise and review safety reports for relevant upper tier COMAH sites in Northern Ireland and arrange for the provision of any associated updates to external emergency plans. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Completed review of safety reports that were due during the operational year. New Emergency Plan template agreed. Ensured preparation and delivery of emergency plan exercises including Old Bushmills Distillery and the 4 x Upper Tier COMAH sites within Belfast Harbour (Feb/ Mar 2020).

MAJOR INCIDENT PREPARATION		
Action / Intervention and potential partners	Target Output/s	Progress
Emergency plans for COMAH sites <b>(Partners - MHT &amp; NIEA &amp; ESA &amp; ES &amp; PHA &amp; LA &amp; LEPA).</b>	Ensure the continuity of preparation, provision, maintenance and testing of external emergency plans for COMAH sites, and major accident hazard pipeline operators as required by 31 March 2020 (50 inspector days). <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Ensured preparation and delivery of emergency plan exercises including Old Bushmills Distillery and the 4 x Upper Tier COMAH sites within Belfast Harbour (Feb/ Mar 2020).
	Ensure UT COMAH sites produce internal emergency plans that meet the needs of stakeholders, i.e. emergency services, etc. to facilitate adequate liaison with emergency services to produce practical plans and test the plans if required, by 31 March 2021 (25 inspector days). <a href="#">(Contributes to CP Output 1)</a>	<b>Target Not Achieved</b> However, internal plans are considered as part of the testing of external emergency plans. Work has been carried out on internal plans and further work is required including further engagement from emergency services. This has been impacted by resource constraints on other stakeholders.

## GAS

GAS		
Action / Intervention and potential partners	Target Output/s	Progress
Gas Safe Register (CGRAS) <b>(Partners - HSE &amp; GSR &amp; PES &amp; FE &amp; LPG &amp; stakeholders).</b>	Manage the transition period and ongoing operation of the new Gas Installer Registration Scheme contract with HSE (GB) / Capita Gas Registration and Ancillary Services (CGRAS) (which starts 1/4/2019) to ensure continuity and the registration of gas engineers. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> GSR are working on the delivery of a new database, the delivery date for this has been put back to November 2020. This does not affect the operation of the register.

OTHER		
Action / Intervention and potential partners	Target Output/s	Progress
Awareness of gas safety with other regulators. Safety cases <b>(Partners - HSA &amp; CER).</b>	Promote awareness of gas safety and share knowledge with other Regulators by providing advice to local councils and other groups as required to share statistics, best practice and examine areas of working together. Dependant on availability of resource. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Completed via Gas Safety Group meetings with local council colleagues throughout the year (3 in 2019/2020 – 11/04/2019, 16/10/2019, 12/12/2019). Also through ongoing liaison with HSE (GB) and GSR.
Carbon Monoxide (CO) – Fossil Fuel Burning Appliances.	Respond to reports of CO from fossil burning appliances where the incident is related to a work activity. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> HSENI has responded to several CO incidents from oil / solid fuel burning appliances (Apr 2019 and Jan 2020).

## TRANSPORT

SLIPS TRIPS FALLS (STF)		
Action / Intervention and potential partners	Target Output/s	Progress
STF inspections <b>(Partner - LSS).</b>	Respond to reports of unsafe STF using a risk based approach and within the confines of available resources. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> STFs have been addressed in response to complaints, investigations and during inspections.

VEHICLE PEDESTRIAN SAFETY (VPS)		
Action / Intervention and potential partners	Target Output/s	Progress
VPS inspections <b>(Partner - LSS).</b>	Respond to reports of unsafe VPS using a risk based approach and within the confines of available resources. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> VPS has been addressed in response to complaints, investigations and during inspections.

VEHICLE LOADING / UNLOADING		
Action / Intervention and potential partners	Target Output/s	Progress
Vehicle loading / unloading inspections <b>(Partner - LSS).</b>	Respond to reports of unsafe loading / unloading associated RIDDOR reports using a risk based approach and within the confines of available resources to ensure unsafe practices cease. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Loading / unloading safety issues have been addressed in response to complaints, investigations and during inspections.

CARRIAGE OF DANGEROUS GOODS		
Action / Intervention and potential partners	Target Output/s	Progress
Carriage of dangerous goods <b>(Partners - HSE &amp; HSA &amp; DfT).</b>	Respond to associated RIDDOR reports and complaints using a risk based approach and within the confines of available resources. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Liaised with PSNI colleagues and conducted roadside CDG inspections with PSNI (Feb 2020) and conducted duty-holder premise visits separately (in 2019 and 2020).
	Objective 2: To maintain relationships with other regulators in this arena. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Maintained relationships with PSNI, DfT and HSA.

RAILWAYS		
Action / Intervention and potential partners	Target Output/s	Progress
Railway safety <b>(Partners - ORR &amp; RAIB &amp; DfI).</b>	Respond to associated RIDDOR reports using a risk based approach and within the confines of available resources. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Investigated RIDDORs including those that related to contractors working on the railway. DfI are also developing a programme of inspections with ORR for 2020-21.
	Annual level crossing inspections also to be carried out as required. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> Completed annual level crossing inspections with PSNI, Translink and Transport NI.
	Review of recommendations in Railway Accident Investigation Branch Reports and verification of actions taken, where required. <a href="#">(Contributes to CP Output 1)</a>	N/A

## MENTAL WELL-BEING AT WORK

Management Standards		
Action / Intervention and potential partners	Target Output/s	Progress
Deliver 'work-related stress' workshops.	Deliver 10 workshops from the existing suite of 'Managing Work-Related Stress' courses. (Contributes to CP Output 4)	<b>Target Achieved</b> 10 'work-related stress' workshops delivered by 05.11.19.

## PRODUCT SAFETY

NON CE COMPLIANT PLANT BEING PUT INTO SERVICE		
Action / Intervention and potential partners	Target Output/s	Progress
Identification and prevention of non-compliant plant <b>(partners - HSE &amp; EEA &amp; MSAs &amp; LAs).</b>	Investigate all reports of non-compliant products reported to HSENI. (Contributes to CP Output 1 & 4)	<b>Target Achieved</b> The Product Safety team continues to investigate cases of non-compliant and unsafe machinery involving local and EU manufacturers and importers, arising from complaints, inspections at Trade Shows and notifications from other European Market Surveillance Authorities. These have included lifts, machinery, quarry washing and screening products, industrial kitchen equipment and a host of large earth moving plant from within the EEA and from the middle and Far East.
	Carry out advisory visits to manufacturers, importers, and product suppliers to improve the knowledge base of Product Safety regulation. (Contributes to CP Output 1)	<b>Target Achieved</b> The Product Safety Team continues to provide advice and guidance to importers and manufacturers to improve their Product Safety knowledge and awareness. The Product Safety Team organised and spoke at an Extractive Industries workshop in January 2020 with the leading extractive industries within Northern Ireland. The outfall of this workshop continues, as HSENI raises the awareness and necessity of compliance with European Directives and BS EN standards, primarily concerning guarding.

OTHER		
Action / Intervention and potential partners	Target Output/s	Progress
Identification and prevention of non-compliant plant <b>(Partners - HSE &amp; EEA &amp; MSAs &amp; LAs).</b>	Work proactively with other MSAs in Northern Ireland, and DFE, on the impact of BREXIT in relation to Market surveillance and product safety. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> The Product Safety Team has continued to work closely with DfE and Local Authorities in NI to look at the implications of the Northern Ireland Protocol, if a no Free Trade Agreement with the European Union and its potential effect on Market Surveillance, and the potential for future possible regulatory divergence from Great Britain. In addition, the Product Safety Team represents HSENI on several committees and working groups including the United Kingdom Market Surveillance Network (MSN) which leads on the strategic direction of Market Surveillance throughout the United Kingdom, the BEIS' Intel group that works on Intel sharing across United Kingdom MSAs, and to share best practice across various United Kingdom MSAs, the BEIS' Northern Ireland Protocol Task and Finish Group, working with other MSAs who carry a MSA function solely in Northern Ireland or Nationally, to assess the implications for Market Surveillance post Transition period if no Free Trade Agreement is reached between Great Britain and the Union.

## MAJOR INVESTIGATION TEAM

Action / Intervention and potential partners	Target Output/s	Progress
Investigate serious and fatal injuries recommending prosecution where there has been a serious breach of the law <b>(Partners - EEs &amp; PSNI &amp; FSNI &amp; OST).</b>	Investigation files completed in accordance with the MOU with the PPSNI leading to successful prosecutions. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> All serious and fatal injuries investigated recommended to PPSNI where there had been a serious breach of the law.

## LEGISLATION

Action / Intervention and potential partners	Target Output/s	Progress
<p>EU Exit</p> <p>Conclude outstanding work relating to EU exit. This work will be dependent on whether or not there is ratification of a withdrawal agreement, including the final shape of a protocol on the Irish border, or an exit with 'No deal'</p> <p><b>(Partners - HSE &amp; UKGOV).</b></p>	<p>Operable H&amp;S regulatory framework regardless of EU exit outcome (partly dependent on progress made by GB counterparts). <a href="#">(Contributes to CP Output 6)</a></p>	<p><b>Target Achieved</b></p> <p>A number of Westminster EU Exit SIs are in place and as a result the NI H&amp;S regulatory framework will be operable in the event of a 'no-deal' exit. The European Union (Withdrawal Agreement) Act 2020 received Royal Assent on 23.01.20 and the UK formally left the EU on 31.01.20. It has been agreed that the UK's exit will be followed by a time-limited implementation period, which will last until 11.00 p.m. on 31.12.20. The SIs will come into force at the end of that period. Action is ongoing to consider legislative amendments that may be required as a consequence of the Withdrawal Agreement.</p>

	<p>Conclusion of operability amendments to domestic retained EU legislation. <a href="#">(Contributes to CP Output 6)</a></p>	<p><b>Target Achieved</b></p> <p>The EU Exit SI dealing with the "Carriage of Dangerous Goods" (which was to include Northern Ireland provisions) is being reviewed and redrafted by DfT to allow it to be debated in Parliament before it is made (recommendation by the Westminster Sifting Committee) and to include provisions on derogations. In view of this development and in line with current Guidance, the NI CDG provisions will now be taken forward separately in a new N.I. Statutory Rule. The Product Safety, Metrology and Mutual Recognition Agreement (Amendment) (EU Exit) Regulations 2019 were made on 9 September 2019 and include a further EU Exit-related amendment to the NI ATEX regulations (the Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2017).</p>
	<p>Legislative alignment obligations from any withdrawal agreement met. <a href="#">(Contributes to CP Output 6)</a></p>	<p><b>Target Achieved</b></p> <p>On 13.03.20 HSENI completed a scoping exercise on EU exit amendments in light of Withdrawal Agreement &amp; NI Protocol. Monitoring returns on legislative activity in the implementation period are being completed on a regular basis.</p>
	<p>Identification of new departmental and operational requirements that have emerged from EU exit work, and the operation of common UK frameworks (to include helping operational and sponsor department colleagues understand these requirements). <a href="#">(Contributes to CP Output 6)</a></p>	<p><b>Target Achieved</b></p> <p>Legislation Unit continues to provide updates to operational colleagues on the consequences of legislative proposals relating to EU Exit.</p>



	(Contribution to) development of updated Agency Agreements and MoUs. (Contributes to CP Output 6)	<b>Target Achieved</b> Work is ongoing. HSENI has been liaising with HSE and other GB colleagues on draft agreements for PIC, CLP and Biocides. REACH and GMO also under consideration. Agency Agreements for Biocides and CLP were both signed off by Northern Ireland signatories during November 2019. However, HSE now wishes to review the agreements and further drafts are anticipated.
Consultative & discussion documents Publish Consultative Document in relation to → (Partners - HSE & UKGOV).	Proposals for the implementation of Directive (EU) 2017/2398 amending Directive 2004/37/EC on the protection of workers from the risks related to exposure to carcinogens and mutagens at work. (Contributes to CP Output 6)	<b>Target Achieved</b> A consultative document was published on 5 November 2019 and closed on 3 December 2019.
	The Dangerous Goods in Harbour Areas Regulations (Northern Ireland) 2019 and approval for use in Northern Ireland of GB ACoP. (Contributes to CP Output 6)	<b>Target Not Achieved</b> Documentation being reviewed and updated now that the NI Assembly has been restored. Liaison taking place with DoJ on their development of the related Explosives in the Harbours Area Regulations (Northern Ireland). Progress delayed due to higher priorities.
Health & safety regulations NI SRs → (Partners - HSE & UKGOV).	The Radiation (Emergency Preparedness and Public Information) Regulations (Northern Ireland) 2019 – proposal for NI Regulations. (Contributes to CP Output 6)	<b>Target Achieved</b> Regulations made on 26th September 2019 to come into operation on 1st November 2019.
	The Freight Containers (Safety Convention) Regulations (Northern Ireland) 2019. (Contributes to CP Output 6)	<b>Target Not Achieved</b> Progress delayed due to other priorities.
Approved codes of practice (ACoPs) → (Partners - HSE & UKGOV).	Amendment of the EH40/2005 Workplace Exposure Limits Document. (Contributes to CP Output 6)	<b>Target Achieved</b> Revised EH40/2005 Workplace Exposure Limits Document was formally approved for use in Northern Ireland and came into effect on 17 January 2020.

## OCCUPATIONAL HEALTH & HYGIENE GROUP

PROMOTION AND PARTNERSHIP		
Action / Intervention and potential partners	Target Output/s	Progress
Workplace Health Leadership Group Northern Ireland (WHLGNI) (Partners - NISG & IOSH & PHA & BH & WISHNI).	Provide up-to-date, competent occupational health advice to WHLGNI and signpost as required. (Contributes to CP Outputs 2, 3, 4 and 5)	<b>Target Achieved</b> Health advice provided during attendance at meetings on 03.04.19, 05.06.19, 26.06.19 and 11.12.19.
	Develop an online toolkit providing a 'one stop shop' advice resource to employers relating to occupational health and hygiene. This work would essentially be an extension of the WHLGNI website. (Contributes to CP Outputs 2, 3, 4 and 5)	<b>Target Achieved</b> Toolkit completed as of 31 March 2020. Due to be launched 2020-21.
	In partnership with WHLGNI deliver a conference on occupational ill-health. (Contributes to CP Outputs 2, 3, 4 and 5)	<b>Target Achieved</b> Conference took place on 20 and 21 November 2019.

## LABORATORY – SCIENTIFIC SERVICES

PROMOTION AND PARTNERSHIP		
Action / Intervention and potential partners	Target Output/s	Progress
UKAS – quality management system <b>(Partners - HSE &amp; HSL).</b>	Maintain UKAS accreditation for all relevant Scientific Services functions. <a href="#">(Contributes to CP Outputs 1)</a>	<b>Target Achieved</b> UKAS accreditation maintained following Feb 2020 audit.

## COMPLAINTS

COMPLAINTS		
Action / Intervention and potential partners	Target Output/s	Progress
Implement HSENI's complaints handling policy as agreed by SMT in Jan 2019.	Complaints policy implemented and quality assured. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> New complaints policy has been developed and implemented. Heads of operational groups provided high, medium and low risk groupings for operational activities in their sector. Quality assurance carried out by active on-going monitoring, by head of OST.
	All complaints triaged in accordance with policy. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> This is monitored by the DP of the group and overseen by the Grade 7. Weekly verbal discussion between the team members verifies this.
	All complaints responded to in accordance with policy. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Achieved</b> This is monitored by the DP of the group and overseen by the Grade 7. Weekly verbal discussion between the team members verifies this. Grade 7 carries out regular checks via CMS to ensure that complaints are not waiting on the homepage longer than 5 days and also that there are no complaints in an individual's CMS page which are outside the policy time limits.
	Develop and maintains links with HSE (GB) complaints handling team to ensure consistency of approach. <a href="#">(Contributes to CP Output 1)</a>	<b>Target Not Achieved</b> Due to staffing pressures this objective will be followed up during 2020-21.

## COMMUNICATIONS

COMMUNICATIONS		
Action / Intervention and potential partners	Target Output/s	Progress
Maintain HSENI's website as a main channel of health and safety information and advice.	Ensure links to necessary health and safety information on HSE website maintained. (Contributes to CP Output 5)	<b>Target Achieved</b> A broken links report was requested from IT Assist to identify links that required updating. Comms team continually review and update links on the website to ensure they are up-to-date based on this and the Drupal report.
	Start development of a web-based information service to give essential workplace safety, workplace health and mental health at work information. (Contributes to CP Output 5)	<b>Target Achieved</b> The website has been updated regularly with workplace safety, health and mental health at work information during the year.
	Develop and maintains links with HSE (GB) communications branch to ensure consistency of messaging. (Contributes to CP Output 5)	<b>Target Achieved</b> During the year HSE (GB) were contacted regarding sharing of artwork for Asbestos campaign and advice sought on HSE (GB)'s policy on using images with prosecution press releases.

## NOTIFICATIONS

NOTIFICATIONS		
Action / Intervention and potential partners	Target Output/s	Progress
Process all notifications within guidelines and timescales (subject to resource availability) (Partners - Comp & DI) .	90% of RIDDOR notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Not Achieved</b> This objective was not achieved due to leave and a reduction in staff – the figures provided by supplier below indicate that 83+% were processed within 5 days.
	90% of NI10 notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Achieved</b> While the figures provided by supplier is 88.17%, this figure should be treated as 90+% as supplier used case closure date as date when case was fully processed, this method does not allow any leeway for example delays caused by queries as a result of incorrectly completed forms.
	90% of L9 notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Not Achieved</b> This objective was not achieved due to leave and a reduction in staff – the processing of L9 notifications was not regarded as priority during this quarter, however the backlog is now being addressed and should be up to date by end of Q1 2020-21.
	90% of IR17 notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Achieved</b> Supplier figure for Q4 is 89.47%, applying similar principle as that for NI10s above, probably reasonable to state that 90% of such notifications were processed within 5 days of receipt.
	90% of R32 notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target achieved</b> All R32 notifications received have been processed within 5 working days of receipt.

	90% of planning notifications processed within 21 days of receipt. (Contributes to CP Output 7)	<b>Target has been partially but substantially achieved</b> Due to carrying vacancies the team processing these have been involved in other areas of work and one team member who was trained in this area left HSENI during the operating year. However around 90% of these applications were processed within the 21 days of receipt.
	90% of asbestos notifications processed within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Not Achieved</b> This objective was not achieved due to leave and staff vacancies – the supplier figure of 58.57% of such applications is significantly below target, however a new AO joined the team in February 2020 and it is anticipated that the target of 90% will be achievable by end of Q1 2020-21.
	90% of asbestos licence applications started within 5 days of receipt. (Contributes to CP Output 7)	<b>Target Achieved</b> All applications for asbestos licences are now started within 5 working days of receipt.

## CORPORATE SUPPORT

CORPORATE SUPPORT		
Action / Intervention and potential partners	Target Output/s	Progress
Access to information - Board minutes.	Publish minutes of all board meetings on SharePoint and HSENI's website. (Contributes to CP Output 9)	<b>Target Achieved</b> All final minutes from 2019-20 Board meetings have been published on HSENI's website & Sharepoint.
Access to information - SMT minutes (Partner – CEO).	Publish minutes of all SMT on SharePoint and HSENI's website. (Contributes to CP Output 9)	<b>Target Achieved</b> All final minutes from SMT meetings held throughout 2019-20 have been published on HSENI's website & Sharepoint.
Access to information - Annual Report (Partner – HOG).	Prepare (and lay before NI Assembly before the summer recess 2019) HSENI's annual report and accounts. (Contributes to CP Output 9)	<b>Target Achieved</b> HSENI's 2018-19 Annual Report and Accounts were laid before the NI Assembly on 9 July 2019.
Customer Care - Monitoring exercise (Partner – HOG).	Carry out a Customer Care Monitoring Exercise by December 2019. (Contributes to CP Output 9)	<b>Target Achieved</b> Customer Care Monitoring Exercise carried out December 2019.
Equality - Annual Equality Report (Partner – EC).	Complete and submit Annual Report to the Equality Commission by 31 August 2019. (Contributes to CP Output 9)	<b>Target Achieved</b> Annual Report was submitted to the Equality Commission.

## FINANCE TEAM

BUDGET MANAGEMENT		
Action / Intervention and potential partners	Target Output/s	Progress
Prepare HSENI's Statement of Accounts for 2018-19 and liaise with representatives of NIAO to ensure these are audited and finalised before the summer recess 2019 <b>(partner – NIAO).</b>	Annual HSENI accounts completed, audited and published. <a href="#">(Contributes to CP Outputs 8 and 9)</a>	<b>Target Achieved</b> HSENI's Annual Report and Accounts were laid before the NI Assembly on 9 July 2019.
Administer Programme payments within the prompt payment targets set by Treasury (30 days) and where possible within Better Payment Practice (10 days).	Prompt payment target achieved. <a href="#">(Contributes to CP Outputs 8 and 9)</a>	<b>Target Achieved</b> HSENI paid 98.7% of its invoices within 10 working days and 100% of its invoices within 30 days.



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