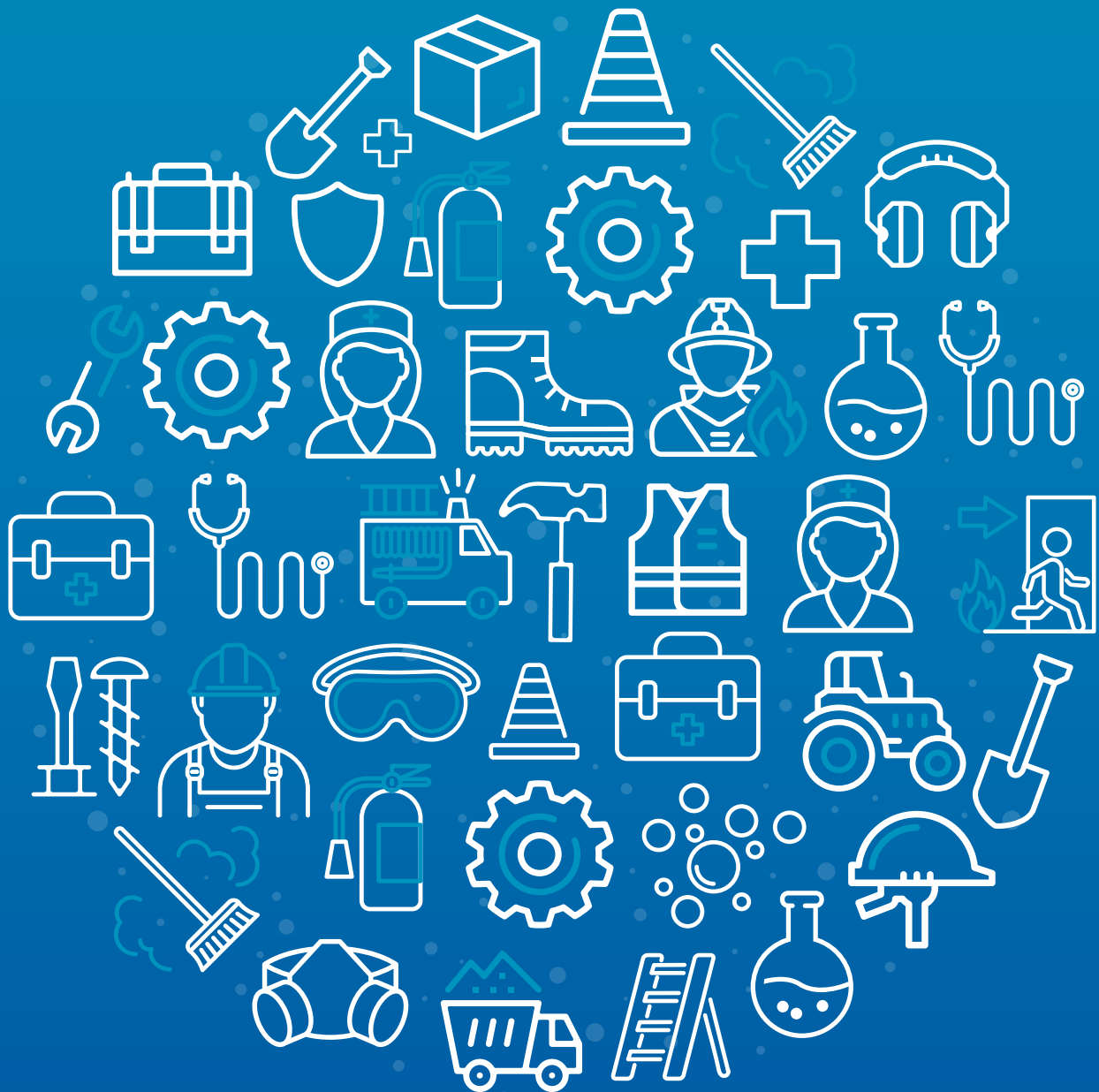


ANNUAL REPORT AND ACCOUNTS

1 April 2020 – 31 March 2021



Health and Safety
Executive for
Northern Ireland

hseni
CONTROLLING RISK TOGETHER



© Crown copyright 2015

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence v.2. To view this licence visit www.nationalarchives.gov.uk/doc/open-government-licence/version/2/ or e-mail: psi@nationalarchives.gsi.gov.uk.

Where we have identified any third party copyright information, you will need to obtain permission from the copyright holders concerned.

This publication is also available at www.hseni.gov.uk

Any enquiries regarding this document should be sent to us at Health and Safety Executive for Northern Ireland, 83 Ladas Drive, Belfast, BT6 9FR, Northern Ireland; E-mail: mail@hseni.gov.uk



Health and Safety Executive for Northern Ireland

Annual Report and Accounts

For the year ended 31 March 2021

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

on

1 February 2022

Key Facts and Figures for 2020 - 2021

Key trends in work-related injuries are as follows:

- fatalities within areas under the responsibility of HSENI remained at 11 (P)¹, as in the previous year;
- fatalities within areas under both HSENI's and Local Councils' responsibility increased by 1 from 12 in 2019-20 to 13 (P)¹ during this year;
- fatalities in the agriculture sector increased from one fatality in this sector in 2019-20 to five during the reporting period;
- fatalities in the construction sector decreased from four in 2019-20 to three during this reporting period;
- major injuries were down 46% on last year to 158; and
- all reportable injuries decreased by 16% on last year to 1,525.

During the year, HSENI:

- continued its Farm Safety Partnership (FSP) work through the third Farm Safety Action Plan;
- participated in the 'Be Aware Kids' campaign which ran in an online format between June and August 2020;
- ran an online Child Safety on Farms Poster competition and distributed 41,527 copies of the calendar produced from the winning entries to 436 rural primary schools;
- completed one successful prosecution, which saw a fine of £75,000;
- achieved UKAS Accreditation for its Scientific Services Unit;
- delivered 2,057 inspections and served 104 formal enforcement notices;
- dealt with 1,815 complaints about alleged unsatisfactory working conditions and activities;
- prepared one set of Northern Ireland EU Exit Regulations, contributed to five sets of UK-wide EU Exit Regulations and initiated a further four sets of Northern Ireland EU Exit Regulations;
- submitted an Annual Equality Report to the Equality Commission;
- delivered 10 work-related stress webinars, participated in a Mental Health Charter event and Irish Congress of Trade Unions (ICTU) Webinar and delivered presentations at three webinars run by industry;
- produced six new published materials;
- distributed over 2,810 free publications giving health and safety advice;
- dealt with 8,167 calls for information via its Freephone Helpline; and
- enabled website visitors to download over 709,000 publication files, with the 'COVID-19 example risk assessment template' having over 610,000 downloads.

¹These figures do not include fatalities where the investigation has not yet established details to make a decision on their inclusion

Contents

Key Facts and Figures for 2020-21 **1**

FOREWORD **4**

PERFORMANCE REPORT **6**

- Performance Overview 6
- Non-Executive Director's Report 9
- Management Commentary 11
 - Communications 11
 - Employment Medical Advisory Service 14
 - Agriculture and Food 15
 - Construction 20
 - Extractive Industries and Waste 22
 - Major Hazards, Gas and Transport 30
 - Manufacturing, Utilities and Docks 34
 - Major Investigation Team 37
 - Public Sector 38
 - Occupational Health and Hygiene Group 40
 - Health and Safety at Work Legislation 45
 - EU Exit 49
 - Long Term Expenditure Trends 52
 - Statistics 53

ACCOUNTABILITY REPORT **61**

- Corporate Governance Report 61
 - Directors' Report 61
 - Statement of Accounting Officer's Responsibilities 65
 - Governance Statement 66
- Remuneration Report 76
- Staff Report 82

- Accountability and Audit Report 89
 - Funding Report 89
 - Auditors Report - Certificate and Report of the Comptroller and Auditor General to the Northern Ireland Assembly 90

STATEMENT OF ACCOUNTS **94**

- Statement of Comprehensive Net Expenditure 95
- Statement of Financial Position 96
- Statement of Cash Flows 97
- Statement of Changes in Taxpayers' Equity 98
- Notes to the Executive's Accounts 99

APPENDICES

- Appendix 1: HSENI Organisation Structure 2020-21 112
- Appendix 2: Fatal Accidents 2020-21 113
- Appendix 3: Prosecutions 2020-21 114
- Appendix 4: Performance Analysis of Common Priorities and Corporate Activities 115

Foreword

We are pleased to present HSENI's twenty second Annual Report and Accounts. HSENI's front line work in 2020-21 was dominated by the COVID-19 pandemic which impacted on all aspects of HSENI's work activities throughout the period.

Physical proactive inspections were reduced in the very early phase of the pandemic as there were high infection rates and an unprecedented increase in requests for advice and complaints. The best and most productive use of inspectorate time during this period was in responding to COVID-19 related complaints and providing advice and guidance to both employers and employees via e-mail, telephone and video calls. Staff also worked alongside other bodies to address clusters and outbreaks associated with workplaces to ensure appropriate measures were being taken to reduce the risk of COVID-19 transmission. Inspectors also continued to react to reports of serious incidents and fatalities with physical inspections and site visits throughout the period. Inspectors investigated a number of significant workplace incidents which had resulted in a fatality or a serious injury.

Overall, the total number of all work-related fatalities in Northern Ireland in 2020-21, including those within areas that are the responsibility of both HSENI and local councils, was 13 compared to 12 in the previous year.² 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 2020-21 period, included the agriculture, construction and manufacturing sectors. Ten out of eleven work-related fatalities during the year within HSENI's areas of responsibility occurred in these sectors. It is clear that these work areas are high risk environments and while we cannot remove the risks, we want to ensure that everyone engaged in these industries do everything in their power to manage the risks. During the year, HSENI carried out 2,057 inspections of workplaces and served 104 formal enforcement notices.

The role of HSENI in this process is education, inspection, and enforcement. Only by ensuring that every employer has equipped employees 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 remain focused on the less well publicised figures relating to major injuries which often lead to life changing outcomes which 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 increased from one in 2019-20 to five during this reporting period. 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

² It is difficult to ascertain with certainty the origin of a COVID-19 infection. As a consequence, RIDDOR reports where COVID has been cited have been omitted from the statistics. This is consistent with previous reports and is in line with the approach in GB and Rol.

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 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 2020-21 from 290 to 158, representing a 46% 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 16% in reportable work-related injuries between 2019-20 and 2020-21.

Throughout the year, staff dealt with a significantly higher number of complaints about unhealthy and unsafe workplaces than in previous years. The majority of these related to COVID-19. Complaints and notified incidents in the manufacturing and construction sectors continued to dominate. However, 2020-21 saw an increase in complaints in almost all work sectors as the period saw complaints rise by 64%. This was a year unlike any other. As a result of the pandemic, HSENI staff found themselves dealing with a wide range of questions relating to maintaining safe working practices with respect to preventing the spread of Coronavirus through the workforce. The willingness by employers, trade unions, trade bodies and employees is recognised as a key factor in keeping essential industries and services in Northern Ireland operating through the most challenging days of lockdown. The Chief Executive and the Board would also wish to record their thanks and pay tribute to the staff who worked tirelessly to provide advice and support to those who submitted queries which in the early months saw the spike in queries increase by over 1200% for a period.

Investigations by the Major Investigation Team were severely impacted by the pandemic as restrictions led to the temporary suspension of face-to-face interviews and court proceedings during the first half of the year. Investigation work proceeded as far as possible despite restrictions surrounding the COVID-19 pandemic and as the year progressed, provision was made to conduct a range of routine investigatory tasks in line with public health guidelines. One successful prosecution during the year led to a fine of £75,000.

Despite the restrictions imposed as a result of the pandemic, HSENI continued to work throughout the period to reduce occupational ill health, in partnership working with a number of organisations. During the period, HSENI's Mental Well-being at Work Advisory Service delivered 10 work-related stress webinars, participated in a Mental Health Charter event and Irish Congress of Trade Unions (ICTU) Webinar and delivered presentations at three webinars run by industry.

The UK left the European Union (EU) on 31 January 2020 and entered into the transition period. Since then, HSENI has worked to make the necessary preparations for the new challenges this brings. HSENI's work in this area dovetails and is focused on making workplaces, work equipment and workers safer in Northern Ireland.

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 2020-21, HSENI was funded by the Department for the Economy (DfE).

HSENI's organisational structure during 2020-21 is detailed on Appendix 1. The organisational structures which support the delivery of corporate governance in HSENI are outlined on the Governance Statement (page 66).

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.

HSENI's Corporate Plan for the period 2018-2023 was endorsed by both HSENI's Board and DfE's Permanent Secretary and approved by the Minister for the Economy 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 2020-21 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 General Data Protection Regulations (GDPR) or to manage, maintain and secure personal data and information leading to legal proceedings and fines from the Information Commissioner's Office (ICO);
- Disruption to service delivery;

-
- COVID-19 and its potential to disrupt service delivery;
 - Failure to maintain an up-to-date regulatory framework as a result of the UK's exit from the EU; and
 - Impact of the UK's exit from the EU on operational/enforcement activities.

There were two emerging risks on the risk register as at 31 March 2021:

- Potential cuts to future budget - DfE asked for modelling of 4% and 8% budget cuts due to a deficit in the department's budget; and
- Operational work – Building Safety Regulator - HSENI potentially being tasked to stand up new functions in respect of a Building Safety Regulator.

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 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 £7,080,000.

HSENI is committed to the prompt payment of bills for goods and services. Quarterly analysis has indicated that, during the year, HSENI paid 97.3% of its invoices within 10 working days (2019-20: 98.7%). HSENI paid 99.5% of its invoices within 30 days (2019-20: 100%). This policy on prompt payment is expected to continue in the 2021-22 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.

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 and 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.

As regards financial performance, HSENI operated during 2020-21 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 despite the significant impact of COVID-19 on all organisational activities throughout the period.

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.³

The effects of the COVID-19 pandemic throughout the reporting period had a significant impact on the organisation's performance. The majority of operational teams focused on COVID-19 related work throughout the year and dealt with an unprecedented number of complaints and requests for advice and guidance from employers, employees and members of the public. Media enquiries and requests for information from Members of the Legislative Assembly (MLAs) also increased significantly throughout the first half of the reporting period. Government restrictions throughout the year led to the cancellation of all events and to the temporary suspension of Court proceedings. Further to this, proactive inspections were significantly reduced during periods of high rates of infection and site visits were limited to those relating to serious fatal accidents. Inspectors returned to carrying out routine site visits following the development

³ 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 1,000m² of floor area or with fewer than 250 Full Time Equivalent (FTE) Staff'

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.

A detailed Performance Analysis of HSENI's 2020-21 sectoral activities is included under each of the relevant sectoral inputs and analysis of common priorities and corporate activities is on Appendix 4 of the report



Robert Kidd
Chief Executive
Date: 18 January 2022

Non-Executive Director's Report

The latest reporting period, 2020-21, has been one of the most challenging that HSENI has experienced. As a direct result of the ongoing COVID-19 pandemic, the Board has been unable to meet physically and has had to conduct meetings virtually for over a year now. This has impacted on Board members' ability to interact with each other face-to-face and with the executive team in the way in which we have been accustomed in the past.

Despite this, Board meetings have been productive and the strong open relationship between the Board and the Chief Executive and Senior Management Team, has ensured that the Board has been able to continue its roles of oversight and strategic direction effectively and thoroughly.

HSENI is currently following the Corporate Plan 2018-2023. As a result of having to focus activities on managing issues which the pandemic has raised regarding workplace health and safety, the Board was informed that several activities and targets planned for the year would have to be postponed or reduced in scale.

This enabled the organisation to focus on ensuring that economic activity, particularly in key industry sectors, was maintained whilst reducing the risk to employees in accordance with public health guidelines. This ensured that essential activity including food production, packaging and distribution has continued throughout the period.

The Board recognises the impressive performance of the organisation, in adapting extremely quickly to unprecedented and changing circumstances, whilst continuing to discharge its regulatory and advisory roles to business and industry.

From the start of the pandemic, HSENI played a vital role in the interpretation and application of COVID-19 precautions in the workplace. This involved helping industry, responding to MLAs, and working closely with policy makers in Government.

In addition, the Board was pleased to welcome the Minister for the Economy, Diane Dodds, and the Department's Permanent Secretary to Board meetings, both of whom conveyed their appreciation of the organisation's efforts to the Board.

The outworkings of EU Exit has brought an increase in the role of HSENI in implementing regulations regarding product safety and chemicals. This work will have a strong focus on ensuring that unsafe products are kept off or removed from the market. In addition the work will ensure the most dangerous chemicals are carefully controlled. This work is vital for ensuring the safety and health of workers. Some work in the area of chemicals was carried out on a UK wide basis and negotiations are at an advanced stage to ensure this continues where possible.

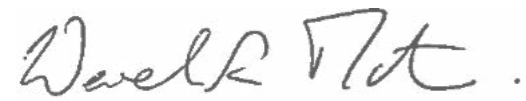
A number of factors have come about this year which have resulted in a significant and growing number of vacancies to fill within the organisation. Recruitment to fill these posts is under way. Given the time required to recruit and train professional staff, the Board has agreed the need to build capacity and resilience where budgets permit.

During the year, the Board's Audit and Risk Management Committee met on four occasions to provide support and assurance on the work of the organisation. The committee reviewed the financial statements and Corporate Risk Register at each meeting and received reports from the Internal Auditors on the robustness of HSENI's internal controls, policies, and procedures. The committee was once again able to report that an overall satisfactory assurance was achieved.

HSENI continues to enjoy excellent working relations with Health and Safety Executive (HSE (GB)) and the Health and Safety Authority (HSA) in the Republic of Ireland. The challenges of the last year have made these relationships particularly important as the three organisations have co-operated with each other to meet the challenges presented by both the pandemic and the UK's Exit from the EU. Senior management from all three bodies meet on a regular basis and the Chairs and Chief Executives meet annually to discuss matters at a strategic level.

Five of our current Board will step down at the end of April 2021, as they reach the end of their term of appointment. They are Hilary Singleton, Billy Graham, John Kane, Lindsey Smith and Maynard Mawhinney. I would like to thank them for their contribution to HSENI during the last eight years and to wish them well for the future. A recruitment process is under way to appoint six new Board members and I am looking forward to welcoming them to HSENI.

In conclusion I would like to thank our Chief Executive, Robert Kidd, the Senior Management Team and all the staff for their enthusiasm and commitment during the last year and for their dedication in ensuring that HSENI continues to fulfil its role of keeping workplaces safe in Northern Ireland despite all the current challenges.



Derek Martin

Management Commentary

Communications

Communications has never played such a vital role as it has during this year. With it being such a challenging time due to the remote working conditions created by the COVID-19 pandemic, it was important that messages were issued on social media and on the website in response to issues that were arising. Greater emphasis was placed on the use of social media platforms and loading web pages with extensive COVID-19 information for the public, highlighting key areas whereby HSENI could assist companies in coping with the pandemic.

Working in partnership has been particularly important to HSENI during this year to ensure our wider target audience has been reached. Partnerships exist in areas such as construction (BuildHealth), waste and recycling (WISHNI), farming (the Farm Safety Partnership), and mental well-being (Workplace Health Leadership Group NI). These partnerships have allowed HSENI to promote its messages to a much wider audience that it would not be able to reach on its own.

Support of COVID-19 messages

In support of the Public Health Agency's messages a substantial amount of key messages were shared through social media highlighting important advice and new social media messages were developed specifically to assist businesses by providing advice on managing legionella, enhancing cleaning regimes, self-isolation and COVID-19 risk assessments.



A total of 138 direct COVID-19 messages were issued through HSENI's social media outlets Facebook, Twitter and Instagram, along with reposting messages from partner agencies.

Media queries

Issues surrounding the pandemic also led to a substantial increase in media enquiries. During the period of this report, there were 73 media enquiries surrounding COVID-19 from media outlets such as BBC, UTV, Belfast Telegraph and numerous local weekly publications, most of which were received during the first six months of the year.

Website – COVID-19

In addition to the normal updates required for the HSENI website there was a demand to make health and safety advice clearly available relating to COVID-19 issues. Over 60 pages of advice specifically on COVID-19 issues were uploaded to the HSENI website, with 'example risk assessments' being the most visited page, with over 610,000 downloads.

Internal Falls Campaign

At the start of 2020 there was a high fatality rate due to falls from height in the construction industry. In response to this a survivor video, featuring James Gorry, was developed to promote working safely at height. The survivor video was launched on 21 May 2020 and had received over 1,400 views on YouTube and reached over 4,400 followers on social media. In support of this campaign, Robert Kidd, Chief Executive, issued a video on social media appealing for the construction industry to carry out risk assessments, in particular relating to working at height, to keep workers safe and protect the NHS. The video received over 1,750 views on social media.

Farm Safe Essentials messages campaign

To coincide with Farm Safety Week 2020, HSENI launched the first of four Farm Safe Essentials campaign messages which addressed the main causes of major incidents and deaths on our farms and provided simple calls to action by the farming community.

The four key call to action messages were 'Check your Brakes', 'Plan Safe Spaces', 'Give Slurry Space', and 'Stay Off Roofs'. The campaign ran from July 2020 through to February 2021 across farming press and social media.

International Farm Safety Week 20–24 July 2020

HSENI backed the ninth International Farm Safety Week, led by award-winning charity, the Farm Safety Foundation. HSENI wanted 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 including highlighting the importance of Rural Support, the child safety poster competition, praising technology in the farming industry and highlighting the dangers on rural roads.

In promoting International Farm Safety Week in July 2020, there was a positive response as a result of HSENI PR activity. 68 news articles were published in the local press and one radio interview took place with Farmgate, Radio Ulster. This represented a total combined circulation of 2,440,337 and an advertising value equivalent of more than £67,700.

Between April 2020 and March 2021, HSENI Inspectors conducted 12 other radio interviews with local radio stations on issues including the Farm Safe Essentials campaign messages, child farm safety calendar competition, slurry opening season and silage.

Child Safety Poster Competition and Calendar Launch 2020

In previous years, HSENI Inspectors would have visited primary schools during the last term encouraging pupils to enter the annual 'Avoid Harm on the Farm' child safety poster competition. Due to the school closures in response to the pandemic, HSENI ran the competition successfully online to ensure that children were still able to submit their entries and contribute to the 2021 calendar.

HSENI received 572 entries from children across Northern Ireland. The 2021 calendar was produced and Chief Executive, Robert Kidd, attended the launch, whilst adhering to social distancing guidelines, on 14 December 2020 at Carr Primary School, Lisburn.



Pictured at the launch of the 'Avoid Harm on the Farm' Child Safety 2021 Calendar is (L-R) Joanne Bryans, Principal, Carr PS, Daniel Glenn, Carr PS, and Robert Kidd, Chief Executive HSENI.

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.

Due to the COVID-19 pandemic, the majority of events, campaigns, seminars and exhibitions had to be cancelled throughout the 2020-21 period, however, throughout the year, HSENI:

- produced six new published materials;
- distributed over 2,810 free publications giving health and safety advice;
- dealt with 8,167 calls for information via its Freephone Helpline;

- enabled website visitors to download over 709,000 publication files, with the 'COVID-19 example risk assessment template' having over 610,000 downloads.

Social Media

HSENI Twitter followers now exceed 3,100 and we have attracted more than 4,800 followers on our Facebook account which shows a further increase from last year for both with Facebook seeing an increase of almost 14%. During 2020-21 views to HSENI's YouTube channel have reached more than 495,480.

HSENI uploaded two new videos on to its YouTube channel during the year, 'Internal Falls are Preventable', a survivor story which currently has received more than 1,400 views, and one providing an overview on HSENI's Mental Well-being at Work Advisory Service, which has received more than 1,100 views.

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 an HSENI representative who can give advice on health and safety in the workplace, on a confidential basis if necessary. This service responded to 8,167 requests. This service is accessed through HSENI's Freephone Helpline on 0800 0320 121.



Internal Falls are Preventable, survivor story by James Gorry.

Performance Analysis of Communications Team Target Outputs

COMMUNICATIONS

Action/Intervention	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.	Target Achieved HSENI website updated on a daily basis. Close contact has been maintained with HSE (GB) to ensure that web material on HSENI mirrors it.
Maintain HSENI's website as a main channel of health and safety information and advice.	Start development of a web-based information service to give essential workplace safety, workplace health and mental health at work information.	Target Achieved Maintenance of the HSENI website takes place on a daily basis with input from Inspectors and other groups to ensure that the correct information is displayed.
Maintain HSENI's website as a main channel of health and safety information and advice.	Develop and maintains links with HSE (GB) communications branch to ensure consistency of messaging.	Target Achieved Links have been developed with HSE (GB). Sharing of messaging in relation to EU Exit issues is taking place to ensure consistency.

Employment Medical Advisory Service

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

HSENI also investigates complaints and concerns that have been made in regards to ill-health and reports of diseases that have been 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 (ADs). 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.

On the 31 March 2021, there were a total of seven NI based ADs, two of which held dual regulation appointments (and four further based in GB carrying out medical surveillance under HSENI Regulations). In this reporting period, ADs based in Northern Ireland carried out approximately 111 statutory medical examinations. (Two ADs indicated all their examinations were carried out remotely).

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 HSE (GB) as its standard. In 2020-21, HSENI's five AMEDs conducted 106 'fitness to dive' assessments.

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (NI) 1997 (RIDDOR) - Reported Diseases 2020-21

Under the RIDDOR Regulations, HSENI received 11 reports of diseases, all of which were reportable. There were two cases of carpal tunnel syndrome, two cases of hand-arm vibration syndrome, two cases of occupational dermatitis, two cases of poisoning by any substance and three cases of traumatic inflammation of tendons of the hand or forearm. These notifications came from 11 different employers.

Agriculture and Food

The Agriculture and Food Group within HSENI has enforcement responsibility for work in agriculture and the food and drink processing sector across Northern Ireland. There are eight members of staff who make up the team including a Principal Inspector, three Inspectors, a Business Advisor, two trainee Inspectors and a Compliance Officer. The work of the Agriculture and Food Group is normally varied including general inspection and investigation work and promotional activities including attending Balmoral show, undertaking presentations, producing guidance, writing articles for the press, running the 'Be Aware Kids' poster competition, attendance at freshers' fairs in Colleges of Agriculture, Food and Rural Enterprise (CAFREs), running initiatives and taking part in the farm safety partnership and subgroups.

This year has been considerably different to any other for the Agriculture and Food Group, mainly due to the impact of the COVID-19 pandemic. Since March 2020 the majority of the work done by the group has been focused on the food sector to ensure adequate controls were put in place to prevent transmission of the coronavirus between staff in food processing plants. Due to the nature of the processes in the meat and poultry sectors and the volume of staff working in such businesses, this industry is one of the higher risk sectors in relation to the spread of coronavirus. The agriculture and food group dealt with in excess of 250 complaints relating solely to coronavirus since the start of the pandemic in mid-March 2020 to the end of March 2021 whilst in the previous year the team received approximately 50 general health and safety complaints for a similar period.

The Agriculture and Food Group performed focused COVID-19 inspections mainly in food processing plants and livestock sales premises across Northern Ireland of which over 100 inspections were undertaken. In order to ensure consistency with HSENI's approach to the new controls companies were required to implement, the Agriculture and Food Group engaged with industry bodies such as the Northern Ireland Meat Exporters Association (NIMEA), the Northern Ireland Livestock Auctioneers Association (NILAA) and the Northern Ireland Food and Drink Association (NIFDA). The group has dealt with over 60 reports of COVID-19 clusters, mainly in the food processing sector, with four of these classed by the Public Health Agency as significant outbreaks which resulted in three factory closures. The group has also been involved in dealing with over 300 advisory contacts between March 2020 and March 2021, again mainly in relation to COVID-19 across various business sectors.

Work has been ongoing in the agriculture sector with complaints, fatalities and serious injuries being investigated. Business advisory visits were conducted remotely either online or by phone. An agricultural contractors' initiative undertaken involved over 30 contractors and during social farms interactions, over 20 farms were contacted to discuss health and safety management on their farms. The 'Be Aware Kids' campaign ran between June and August 2020 in an online format and a farm safety calendar was produced at the end of 2020. 41,527 farm safety calendars were subsequently distributed to 436 primary schools across Northern Ireland. The Agriculture and Food Group also developed new farm safety guidance during the period including the launch of the 'Farm Safe Essentials' campaign, the aim of which is to highlight the root cause of incidents in the industry in order to better educate farmers on the key risks. A new Farm Safety Partnership Action Plan was also produced for the period 2020-2023.

The development of the online stress indicator tool for the farming community is ongoing and nearing completion. The Agriculture and Food Group has worked closely with HSENI's Communications Team and Mental Well-being at Work Advisory Service (MWAWAS), as well as Rural Support, in order to develop this crucial aid for the industry.

Performance Analysis of Agri-Food Group's Target Outputs

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.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.
Make mental health a standing item on all inspections/advisory visits (where relevant).	Raise awareness of mental health in the agriculture industry.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.
Raise awareness of potential mental health issues within the farming community.	Raise awareness of mental health in the agriculture industry.	Target Achieved Work is ongoing with relevant stakeholders in the farm safety partnership to raise awareness of mental well-being in the farming community.
Aid in development of Mental Health website for agriculture community.	Help the agriculture community identify if they have mental health conditions and provide signposts for support services.	Target Achieved The development of the website is nearing completion and it is hoped it will be completed by summer 2021.

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.	Target Achieved Any incidents or complaints made in relation to unguarded machinery were adequately investigated.
Machinery guarding issues will be addressed during all pro-active inspections and business advisory visits (where appropriate).	Improve the standard of machinery guarding on farms and reduce number of incidents related to unguarded machinery. 100% of situations of unguarded machinery found during inspections will be closed out to secure compliance.	Target Achieved Due to the coronavirus pandemic there have been limited inspections in the sector, however, business advisory interactions continued with the agricultural contractor's initiative and social farms where machinery guarding issues were always addressed.
In conjunction with partners promote the subject of safe machinery guarding on farms.	Raise awareness of safe machinery guarding in the agriculture industry.	Target Achieved Through the HSENI website and using social media, safe machinery guarding on farms was promoted with Farm Safety Partners sharing relevant posts on social media.
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.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.

SAFE ANIMAL HANDLING (SAH)

Action/Intervention	Target Output/s	Progress
Advice will be given on, and safe livestock handling issues will be addressed during all pro-active inspections (where appropriate).	Improve standard of cattle handling facilities in the industry. Reduction in the number of incidents during animal handling operations.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.
In conjunction with partners promote the subject of safe animal handling in the industry.	Raise awareness of safe animal handling in the agriculture industry.	Target Achieved Through the "Farm Safe Essentials" campaign, the HSENI website and using social media, safe animal handling on farms was promoted with the Farm Safety Partners sharing relevant posts on social media.

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: 1) Unsafe WAH practices will be stopped; and 2) Advice given on essential measures to carry out WAH safely.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.
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.	Target Achieved Any incidents or complaints made in relation to unsafe work at height were adequately investigated either by the Agriculture and Food team or the Construction team.
In conjunction with partners promote the subject of safe work at height.	Raise awareness of safe work at height in the agriculture industry.	Target Achieved Through the "Farm Safe Essentials" campaign, the HSENI website and using social media, safe work at height on farms was promoted with the Farm Safety Partners sharing relevant posts on social media.

VEHICLE MAINTENANCE (VM)

Action/Intervention	Target Output/s	Progress
Vehicle maintenance issues will be addressed during pro-active inspections.	Raise the standards of machinery maintenance on farms.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.

SLURRY OPERATIONS

Action/Intervention	Target Output/s	Progress
Slurry safety issues will be addressed during inspections.	Raise awareness during inspections on the importance of slurry safety.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the sector.
In conjunction with partners promote the subject of working safely with slurry.	Raise awareness of safe slurry operations in the agriculture industry.	Target Achieved Through the "Farm Safe Essentials" campaign, the HSENI website and using social media, safe slurry operations on farms was promoted with the Farm Safety Partners sharing relevant posts on social media.

CHILD SAFETY ON FARMS (CSOF)

Action/Intervention	Target Output/s	Progress
Deliver farm safety presentations to a total of 210 primary schools by the end of the period 1 April 2020 and 31 March 2023 i.e. 70 per year.	Improved awareness of the dangers of farms amongst primary school aged children.	*Target Not Achieved Due to the coronavirus pandemic and with the schools closing in March 2020 HSENI was unable to deliver farm safety presentations to primary schools. All resources were put online and e-mails were sent out to all rural primary schools across Northern Ireland just before they closed to advise the schools the resources were available and asked them to share this information with parents for home schooling.
Organise and run a farm safety poster colouring competition.	Improved awareness of the dangers of farms amongst primary school aged children.	Target Achieved The farm safety poster competition was run in an online format with parents invited to e-mail in the pictures from primary school aged children.
Design, print and distribute a 2021 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.	Target Achieved 41,527 calendars were produced and distributed to 436 rural primary schools.
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.	*Target Not Achieved Due to the COVID-19 pandemic and with the CAFRE Colleges closing in March 2020 HSENI were unable to deliver farm safety presentations to students.
Provide information and advice to students attending CAFRE colleges at careers conventions.	Improved awareness of the dangers of farms amongst young adults who currently work or are likely to work in the agricultural industry in NI.	*Target Not Achieved Due to the coronavirus pandemic and with the CAFRE Colleges closing in March 2020 HSENI did not attend careers conventions.
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.	*Target Not Achieved Due to the coronavirus pandemic HSENI did not deliver presentations to GCSE students.

OTHER

Action/Intervention	Target Output/s	Progress
610 site visits/interactions (this figure includes both Agriculture and Food Sectors). A minimum of 500 new farms to be inspected and 90 site visits /interactions to be completed within food sector).	Measured using Case Management System (CMS) visits.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in both the agriculture and food sectors. COVID-19 focused inspections took up a lot of resource to complete, over 100 COVID-19 focused inspections were completed.
Develop an initiative in 3rd quarter focusing on Safety Essentials in the Agriculture Industry.	Raise awareness in the Agriculture sector of the key causes of death and major injury on the farm.	Target Achieved Four 'Farm Safe Essential' messages were developed in the 3rd quarter i.e. 'No brakes no chance', 'Plan safe spaces', 'Give slurry space' and 'Stay off roofs'.
Organise and deliver a health and safety event at the 2020 Balmoral Show.	Raise awareness in the Agriculture sector of the major causes of death and major injury on the farm.	*Target Not Achieved Due to the COVID-19 pandemic, the Balmoral Show did not take place in 2020.
Organise and deliver a health and safety event at the 2020 Winter Fair.	Raise awareness in the Agriculture sector of the major causes of death and major injury on the farm.	*Target Not Achieved Due to the COVID-19 pandemic, the Winter Fair did not take place in 2020.
Conduct an initiative of inspections for agricultural contractors following on from advisory visits.	Increase health and safety awareness amongst agricultural contractors.	*Target Not Achieved Due to the coronavirus pandemic there have been limited inspections in the Agriculture sector. The business advisory initiative was continued on in the period and over 30 contractors had a remote interaction with a HSENI business advisor in the period.
Deliver farm safety presentations to groups of farmers upon request (resources permitting).	Raise awareness in the Agriculture sector of the major causes of death and major injury on the farm.	*Target Not Achieved Due to the coronavirus pandemic there were no requests for presentations in the period.
Investigation of selected incidents in Agriculture.	Incidents will be selected for investigation in line with the seriousness of the outcome and the available resources.	Target Achieved All relevant incidents were investigated in the period.
Investigation of selected incidents at Food Processing companies.	Incidents will be selected for investigation in line with the seriousness of the outcome and the available resources.	Target Achieved All relevant incidents were investigated in the period.
Provide advice on health and safety to Food Processing companies.	Advise on health and safety standards at food processing companies.	Target Achieved The majority of inspections in the period were conducted in food processing companies. Although most inspections were COVID-19 focused Inspectors did refer to general health and safety matters at times during inspection when required.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

Construction

The Construction Group covers all construction based activities across Northern Ireland and manages HSENI's statutory function as an Asbestos licensing authority. There are around 35,000 people employed in the construction sector in Northern Ireland and 24 companies licensed for asbestos removal.

At the beginning of the reporting year Northern Ireland entered a lockdown phase as a result of the global pandemic COVID-19. We worked closely with construction partners including the Construction Employers Federation (CEF) as part of a COVID taskforce to provide advice for the industry as construction activities were not a restricted activity. Throughout the year the team also continued to work closely with BuildHealth and the Institute of Civil Engineers (ICE). HSENI Construction Inspectors dealt with 500 complaints and performed over 750 site inspections. There were 53 notices issued during the year, and six asbestos licence reviews undertaken. The key topics considered on inspections were work at height, COVID-19, asbestos exposure and Respirable Crystalline Silica.

Performance Analysis of Construction Group Target Outputs

ASBESTOS REMOVAL

Action/Intervention	Target Output/s	Progress
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.	*Target Not Achieved Visits restricted due to COVID-19.
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).	Target Achieved Even during restricted operations due to COVID-19 we have been able to achieve this.

RESPIRABLE CRYSTALLINE SILICA (RCS)

Action/Intervention	Target Output/s	Progress
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.	Target Achieved The group have continued to raise this as a standing item on inspections.

WORK AT HEIGHT

Action/Intervention	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).	Target Achieved All complaints/investigations in relation to WAH were responded to and appropriate action taken.

VEHICLE PEDESTRIAN SEGREGATION (VPS)

Action/Intervention	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.	Target Achieved The group has continued to raise this as a standing item on inspections.

SLIPS, TRIPS AND FALLS (STF)

Action/Intervention	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).	Target Achieved The group has continued to raise this as a standing item on inspections.

CONSTRUCTION, DESIGN AND MANAGEMENT REGULATIONS (CDM)

Action/Intervention	Target Output/s	Progress
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.	Target Achieved The group has continued to raise this as a standing item on inspections.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

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 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.

Quarry and Concrete Industry

HSENI supported by the Mineral Products Association Northern Ireland (MPANI) and the Institute of Quarrying (IoQ) delivered a series of online workshops to provide practical advice and guidance to Quarry Line Managers in managing work-related stress. These workshops demonstrated the use of HSE's Management Standards as a tool to control the risks associated with work-related stress in their individual businesses.

HSENI continued to proactively work 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.

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.

Explosives

HSENI launched an initiative on the use of explosives within the Northern Ireland Quarry Industry to examine the standard of blasting specifications produced by the Explosives Contractors employed by the Quarry Industry and the level of competence within the quarry management teams. The initial work revealed improvements were required in the blasting specifications. The Explosive Contractors were asked to provide Action Plans to address the areas of concern. The Action Plans were submitted and work was started to correct the short comings identified. The Institute of Quarrying (Northern Ireland Branch); Mineral Products Association Northern Ireland and HSENI worked together with the Mineral Products Qualifications Council to develop a four day training course, at reasonable cost, for Quarry Managers to improve their competency in the use of explosives. The Quarry Industry also submitted Action Plans to address areas of concern within their control. This initiative was well received by industry and will continue to roll out during the next year.

Abandoned Mines

The Department for the Economy (DfE) has legislative responsibility for abandoned mine workings in Northern Ireland. There are approximately 2,400 abandoned mine workings in Northern Ireland associated with the historic extraction of coal, iron, bauxite, salt, lead, copper and feldspar. The management of abandoned mines is conducted through the Northern Ireland Mines Oversight Committee (NIMOC). HSENI provides technical support to this working committee.

Mining Industry

The COVID pandemic resulted in the scheduled major hazard topic inspections at mine workings in Northern Ireland for 2020-21 being postponed. HM Inspectors of Mines in Great Britain continue to provide technical support to HSENI on mining activities.

Waste Industry

The waste and recycling sector in Northern Ireland has approximately 5,700 employees involved in the recycling of paper, cardboard, plastic, glass, metals, green waste etc. in order to greatly reduce the demand for landfill.

It is a rapidly growing industry made up of approximately 500 waste premises such as waste management sites, permitted sites, authorised treatment facilities and licence exempt sites.

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 months and consists of a partnership of private industry, regulators and local councils. Due to the COVID-19 pandemic the eighth annual Ambassadors Awards presentation was postponed and will now be held virtually during 2021-22.

Performance Analysis of Extractive Industries and Waste Group (EIWG) Target Outputs

EXTRACTIVE INDUSTRIES

OCCUPATIONAL LUNG DISEASE – RESPIRABLE CRYSTALLINE SILICA (RCS)

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Raise awareness of silica within the extractive industry sector.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries visited will either have a Dust Strategy in place and work will have started to implement the Strategy. Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.
Arrange and facilitate monitoring at three sand and gravel quarries for total inhalable dust and respirable crystalline silica dust.	Analyse the results and share this information with the quarry industry to assist in development of dust action planning.	*Target Not Achieved Rescheduled to occur during spring/summer 2021. Unable to complete monitoring due to COVID-19 restrictions. (Note: Monitoring activities by Scientific Services recommenced in autumn 2020 however decision taken that monitoring best complete spring/summer).

MENTAL HEALTH AND WELL-BEING

Action/Intervention	Target Output/s	Progress
Run three workshops online for the industry to provide information and support to line managers within the quarry industry to assist them in dealing with work-related stress in the workplace.	Raise awareness of work-related stress in the workplace.	Target Achieved Three online workshops delivered – December 2020, January 2021 and February 2021.
To provide a guidance document to quarry companies to assist in the preparation of the company to deliver the stress management standard and compliment the Line Manager training.	EIWG will work alongside MWAWAS to develop this document.	Target Achieved Guidance documentation provided to workshop attendees.

STABILITY OF QUARRY FACES, TIPS AND EXCAVATIONS

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries visited will either have Geotechnical Assessment or a Geotechnical Appraisal in place. Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	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 .	*Target Not Achieved Visits restricted due to COVID-19.

COMPETENT QUARRY MANAGEMENT

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries visited will be able to demonstrate they have competent management in place or will have identified training needs with respect to the management team and have plans in place to address any short-comings identified .	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	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 .	*Target Not Achieved Visits restricted due to COVID-19.

MACHINERY GUARDING

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries/concrete premises visited will have safe maintenance procedures in place and all the machinery will be guarded to the required standard.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.

EXPLORATION DRILLING FOR GAS AND OIL AND MINING RESOURCES

Action/Intervention	Target Output/s	Progress
Undertake at least ten inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	The visits will focus on machinery guarding; site security and emergency arrangements for well control.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least ten inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved No exploration drilling for gas/oil/mining resource completed this current year.

VEHICLE/PEDESTRIAN SAFETY (VPS)

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries visited will have a brake testing area established and results available for examination.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Quarries premises visited will have addressed the issues set out in the publication "Quarry Vehicle Safety" produced by HSENI examination.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.

MINING AND ABANDONED MINES

Action/Intervention	Target Output/s	Progress
Undertake at least ten inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	The visits will focus on major hazard topics such as machinery guarding; ground control, in-rush prevention, transport, major hazards and electrical safety.	*Target Not Achieved No major hazard topic inspections completed due to COVID restrictions. HSE Mines Inspectors unable to travel to NI. Five reactive inspections completed.
Undertake at least ten inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved No major hazard topic inspections completed due to COVID restrictions.
Providing support to the NIMOC.	Attend committee meetings and assisting with Emergency Planning and testing of same. Carrying out site visits as and when appropriate.	*Target Not Achieved No committee meetings held during 2020-21. However support provided regarding emergency planning.

CONCRETE INDUSTRY

Action/Intervention	Target Output/s	Progress
Undertake at least 70 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 35 inspections/advisory visits.</i>	The visits will focus on: machinery guarding, block making machines, safe maintenance procedures and workplace transport.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 70 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 35 inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least ten inspections/advisory visits in the Pre-stress Concrete products factories. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	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.	*Target Not Achieved No inspections completed in Pre-stress concrete factories due to COVID restrictions.
Undertake at least ten inspections/advisory visits in the Pre-stress Concrete products factories. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to five inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved No inspections completed in Pre-stress concrete factories due to COVID restrictions.

OTHER

Action/Intervention	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.	Target Achieved Meetings held in December 2020 and February 2021.

WASTE

OCCUPATIONAL LUNG DISEASE – (E.G. ASBESTOS AND WOOD DUST)

Action/Intervention	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.	*Target Not Achieved Only six inspections completed due to COVID-19 restrictions.
Undertake inspections at 15 sites – ‘Asbestos Spotter’.	The presence of an Asbestos Spotter will be recorded on the Site Inspection Report along with where necessary any enforcement action taken.	*Target Not Achieved Only six inspections completed due to COVID-19 restrictions.
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.	Target Achieved 15 inspections completed.
Undertake inspections at 15 sites – Dust including wood dust and total respirable dust.	Where necessary any enforcement action taken to secure compliance.	Target Achieved Necessary enforcement action was taken.

MUSCULOSKELETAL DISORDERS (MSD) – GOOD LIFTING AND HANDLING

Action/Intervention	Target Output/s	Progress
Undertake at least 20 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 would be carried out.	Target Achieved 20 inspections completed.
Undertake at least 20 inspections/advisory visits.	The presence of an adequate risk assessment will be recorded and where necessary enforcement action taken to secure compliance.	Target Achieved Risk assessments recorded and enforcement action taken where necessary.

VEHICLE PEDESTRIAN SAFETY (VPS)

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Ensure compliance with the provision of all-round visibility and safe vehicle /pedestrian interfaces in the premises visited.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.

SLIPS TRIPS FALLS (STF)

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Ensure 100% compliance with the provision of STF prevention strategies in the premises visited.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary enforcement action taken to secure compliance.	*Target Not Achieved Visits restricted due to COVID-19.

SAFE PLANT AND SAFE MAINTENANCE

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Ensure 100% compliance with the provision of safe systems of work for maintenance in the premises visited.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Site inspections will be carried out to identify any issues with 'Lock Out, Tag Out, Try Out' safe system of work for maintenance.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/ advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary take enforcement action to ensure a safe system of work is in place.	*Target Not Achieved Visits restricted due to COVID-19.

COMPETENT MANAGEMENT

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Ensure 100% of organisations visited have a suitably qualified and competent person in respect of health and safety management.	*Target Not Achieved Visits restricted due to COVID-19.
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/advisory visits.</i>	Where necessary take enforcement action to ensure a compliance.	*Target Not Achieved Visits restricted due to COVID-19.

FIRE PREVENTION

Action/Intervention	Target Output/s	Progress
Undertake at least 100 inspections/advisory visits. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to 50 inspections/ advisory visits.</i>	Ensure that any poor practice with regard to fire prevention will be drawn to the attention of the duty holder and referred to NIFRS.	*Target Not Achieved Visits restricted due to COVID-19.

OTHER

Action/Intervention	Target Output/s	Progress
Attend three WISHNI committee meetings and support the work of this trade body.	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.	Target Achieved Three online meetings carried out.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

Major Hazards, Gas and Transport

HSENI's Major Hazards, Gas and Transport (MHGT) Group is involved in ensuring public and employee health and safety from risks associated with transportation, the use of natural gas and sites containing large quantities of dangerous substances such as chemicals and fuels. The total numbers employed within this diverse sector is estimated to be over 30,000.

Major hazards comprise of high-pressure gas transmission pipelines and the 26 establishments within scope of the Control of Major Accident Hazards (COMAH) Regulations.

COMAH aims to prevent major accidents involving dangerous substances and limit the consequences to people and the environment if accidents occur.

HSENI and the Northern Ireland Environment Agency (NIEA) operate jointly to enforce the COMAH Regulations by conducting inspections and reviewing the operational and emergency arrangements.

HSENI works closely with emergency services and local government agencies to arrange the preparation, test, and review of emergency plans for COMAH establishments and gas transmission pipelines.

HSENI provides advice as a statutory consultee on planning developments near major hazard sites. The Major Hazards, Gas and Transport Group advised on 113 consultations during this period.

The group's responsibility with natural gas continues from the transmission to the distribution network and use in the private, industrial and commercial sectors. HSENI, in partnership with the Gas Safe Register, maintains the official register of gas engineers and responds to reports and complaints involving gas work. HSENI conducts visits and inspections, taking enforcement action when required to ensure the safety of the public and employees from unsafe gas work.

Transportation covers employees and passengers involved in bus and coach services, railways, airports and the road haulage industry.

The Major Hazards, Gas and Transport Group advised and responded to the impact of the COVID-19 pandemic on public transport, airports and essential gas repairs and maintenance.

The group adapted working practices to accomplish statutory responsibilities and continue its investigation and enforcement role.

Performance Analysis of MHGT Group Target Outputs

MAJOR ACCIDENT PREVENTION

Action/Intervention	Target Output/s	Progress
Upper Tier COMAH Safety Reports.	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 by 31 st March 2021.	Target Achieved The review of safety reports for new sites and significant updates to existing safety reports was prioritised.

MAJOR INCIDENT PREPARATION

Action/Intervention	Target Output/s	Progress
Emergency plans for COMAH sites.	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 st March 2021 (50 Inspector days).	Target Achieved External emergency exercises for all upper tier COMAH sites completed before the end of 2020. Some emergency tests and collaboration work on plans took place virtually via MS Teams due to COVID-19 restrictions. The emergency plans completed in 2020 are going through an additional update based on improvements identified in recent exercises. Emergency plans are continually updated.
Emergency plans for COMAH sites.	Ensure Upper Tier 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 st March 2021 (25 Inspector days).	*Target Not Achieved HSENI organised and completed inspections at relevant sites with NIFRS in 2020. Changes required to plans identified for each location, to be completed in 2021. HSENI and NIFRS will produce a new template for grab packs used by emergency services in incidents.

GENERAL GAS SAFETY

Action/Intervention	Target Output/s	Progress
Gas complaints and RIDDORs.	To respond to all complaints and a proportion of incidents reported through RIDDOR notifications using a risk based approach, considering severity and within the confines of available resources by 31 st March 2021.	Target Achieved The group continued working with Gas Safe Register Inspectors to respond to complaints and investigate unsafe gas works. Inspectors dealt with some cases remotely due to the restrictions associated with the pandemic, with the more severe cases requiring site inspections. Some of these cases related to CO (carbon monoxide) from other fuels besides natural gas.

LIAISON WITH GAS SAFETY REGULATORS

Action/Intervention	Target Output/s	Progress
Liaison with other Regulators who are involved in gas safety and attendance at Gas Safe Regulators Group (GSRG).	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. Dependent on availability of resource.	Target Achieved HSENI promoted Gas Safety Week on its social media platforms. HSENI updated its website to provide advice and guidance to Gas Engineers, Landlords and tenants in relation to concerns regarding Gas safety check and working safely during this pandemic. HSENI met virtually with other regulators during the pandemic and organised technical assistance for councils.

SLIPS TRIPS FALLS (STF)

Action/Intervention	Target Output/s	Progress
STF inspections.	Respond to reports of unsafe STF using a risk based approach and within the confines of available resources. the confines of available resources.	Target Achieved All cases involving STF responded to as required. Incidents dealt with remotely when possible, but on site inspection took place when required.

VEHICLE PEDESTRIAN SAFETY (VPS)

Action /Intervention	Target Output/s	Progress
VPS inspections.	Respond to reports of unsafe VPS using a risk based approach and within the confines of available resources.	Target Achieved Inspections performed when required in response to complaints and RIDDORs involving vehicle pedestrian safety. Some incidents investigated remotely due to COVID-19 related constraints.

VEHICLE LOADING/UNLOADING

Action/Intervention	Target Output/s	Progress
Vehicle loading/unloading inspections.	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.	Target Achieved Relevant cases investigated when required and in line with the operating model in place due to COVID-19.

RAILWAYS

Action/Intervention	Target Output/s	Progress
Railway safety.	Respond to associated RIDDOR reports using a risk based approach and within the confines of available resources.	Target Achieved All railway-related complaints and RIDDORs responded to as required, including several cases involving COVID-19.
Railway safety.	Annual level crossing inspections also to be carried out as required.	Target Achieved HSENI attended all level crossing inspections during the reporting period.
Railway safety.	Review of recommendations in Railway Accident Investigation Branch Reports and verification of actions taken, where required.	Target Achieved No reports received during reporting period.

Manufacturing, Utilities and Docks (MUD)

The Northern Ireland Manufacturing Sector employs in the region of 64,000 employees excluding those involved in food and drinks manufacture^{4 5}. The sector accounts for 11% of employment making it a key sector in the Northern Ireland economy⁶. The Manufacturing Sector includes businesses which are involved in the manufacture of a wide range of products which support a number of industries such as the aerospace, quarrying, waste, healthcare and construction sectors within the Northern Ireland, UK and worldwide markets.

The focus of the MUD team throughout the year was primarily related to the COVID-19 pandemic, specifically responding to complaints around lack of suitable COVID-19 control measures and reported COVID-19 clusters in the workplace. Information, advice and guidance was provided via telephone and e-mail communication. This was followed up with site visits and subsequent enforcement action where required.

Whilst proactive inspections were cancelled due to the pandemic, the team continued to investigate complaints and incidents across the Manufacturing, Utilities and Docks sectors where there were concerns of serious health and safety failings. Recurring areas of concern included workplace transport, machinery guarding, work at height and exposure to hazardous substances.

In addition to investigation of complaints and incidents, the team also responded to fatal accidents of which there were three. One incident relating to work at height occurred in the electricity generation and distribution sector and a further two occurred in the light engineering and horticultural products sectors. Lifting operations and workplace transport were a factor in each respectively.

Despite the pressures of the pandemic, members of the team, with expertise in ionising radiation, were actively involved in delivering the HSENI submission in response to the Integrated Regulatory Review Service (IRRS) mission. This was completed in July 2020.

In addition, workplace inspections for 2020-21 were to include a combination of proactive and reactive visits of businesses that have approval for consent, typically industrial radiographers, universities and health trusts. This planned piece of work was suspended as a result of COVID-19 restrictions.

A welding initiative planned for the 2019-20 operational year was also postponed due to the pandemic. Welding is carried out in many engineering premises within the manufacturing sector. Scientific evidence from the International Agency for Research on Cancer has indicated that exposure to all welding fume, including mild steel welding fume, can cause lung cancer. There is also limited evidence linking welding fume to kidney cancer.

The manufacturing team has engaged with duty holders through the HSENI website, social media and inspections to highlight the requirement for businesses to ensure effective engineering controls are provided and correctly used to control fume arising from welding activities.

⁴www.nisra.gov.uk/system/files/statistics/publication-document-december-2020.pdf
⁵Key Facts on Northern Ireland's Food and Drink Industry (nifda.co.uk)
⁶www.investni.com/invest-in-northern-ireland/advanced-manufacturing-and-engineering

Work will continue working with The Workplace Health Leadership Group NI and various stakeholders in relation to holding the Initiative in 2021-22 COVID-19 permitting. The aim is to ensure that occupational health receives the same recognition as occupational safety in the working environment and to encourage employers to have a 'healthy' as well as a 'safe' working environment.

Farm safety talks to primary schools and safety talks to regional college students were cancelled due to the pandemic however one school safety talk was completed via zoom. Advisory visits to business premises were suspended due to the pandemic however advice to businesses continued via telephone and through e-mail communications. Contact was also made with businesses where HSENI received notification of insurance defects. Duty holders were contacted via telephone and e-mail to obtain confirmation that any defects were rectified before equipment was returned to use in the workplace.

Performance Analysis of Manufacturing, Utilities and Docks Target Outputs

MANUFACTURING

OCCUPATIONAL CANCERS AND LUNG DISEASE/ Control of Substances Hazardous to Health (COSHH)

Action/Intervention	Target Output/s	Progress
Initiative in the engineering industry focusing on welding fume as a risk to health. (Will run across years one and two).	Year 1 of initiative is to educate dutyholders, Local Exhaust Ventilation (LEV) engineering companies and LEV engineers on HSG258 and good engineering practices. Potentially five workshops to be held in partnership with the Northern Ireland Safety Group.	*Target Not Achieved This target was not achieved due to the ongoing pandemic. Advice was provided to companies during site visits and also through the HSENI website. We hope to run the initiative including two Safety, Health and Awareness Days (SHAD)'s in the 21/22 operational year.

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.	Target Achieved All reports of unsafe guarding were investigated and enforcement action taken where appropriate.
Machinery guarding.	Any guarding defects identified will be subject to appropriate enforcement action.	Target Achieved Guarding defects identified during inspections were subject to the appropriate enforcement action.
Machinery guarding.	Improve compliance with the legislation and contribute to a reduction in the number of incidents/injuries from inadequately guarded machinery and equipment.	Target Achieved Inadequate guarding identified during inspections were subject to the appropriate enforcement action.

OTHER

Action/Intervention	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.	*Target Not Achieved This target was not achieved due to the pandemic however there have been 192 interactions with businesses via presentations, phone, e-mail, letters and joint visits to site.

UTILITIES

INFRASTRUCTURE, PLANT AND FLEET SAFETY (IPFS)

Action/Intervention	Target Output/s	Progress
Electricity Safety, Quality and Continuity Regulations (ESQCR).	Three engagement meetings with Northern Ireland Electricity (NIE) to review their health and safety management and their compliance with the ESQCR legislation.	Target Achieved Three meetings held with NIE to review their health and safety management and their compliance with the ESQCR legislation.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

Major Investigation Team

During 2020-21, the Major Investigation Team (MIT) commenced investigations into 11 new incidents, nine of which involved work-related deaths. Of the nine work-related deaths, six were associated with falls from height across several industry sectors. A further 12 investigations, all at various stages, were carried forward from the previous operational year.

Investigation work proceeded as far as possible despite restrictions surrounding the COVID-19 pandemic. Provision was made to conduct a range of routine investigatory tasks in line with public health guidelines. These tasks included interviews after caution and recording of witness statements.

During the operational year a total of five investigation files recommending prosecution were completed and submitted to the Public Prosecution Service Northern Ireland (PPSNI).

Restrictions impacted court proceedings particularly during 2020. During the latter half of the operational year, several health and safety cases within the court system were able to make progress following the introduction of video conferencing facilities within Northern Ireland courts.

One successful prosecution completed in March 2021 and followed an investigation into the circumstances surrounding an employee falling through an unsecured roof panel during roof work at an industrial premises. In this case the employer had failed to properly plan the work and no measures had been put in place to prevent falls from occurring. The company pleaded guilty to five health and safety offences and a separate offence of corporate manslaughter. Fines amounted to £75,000. Further details relating to the prosecution can be found within Appendix 2 to this report.

As part of any successful prosecution, HSENI issues a press release to highlight the failings that led to the incident occurring. This method of communication, alongside the HSENI website and social media platforms, has served as a valuable method of highlighting hazards and signposting employers and others to good practice guidance.

Performance Analysis of Major Investigations Team Target Outputs

MAJOR INVESTIGATIONS

Action/Intervention	Target Output/s	Progress
Investigate serious and fatal injuries recommending prosecution where there has been a serious breach of the law.	Investigation files completed in accordance with the Memorandum of Understanding (MoU) with the PPSNI leading to successful prosecutions.	Target Achieved Five investigation files forwarded to PPSNI recommending prosecution and One successful prosecution (April 2020 - March 2021). As of 31 st March 2021, a total of 21 cases under investigation by MIT.

Public Sector

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

Employment figures published in March 2021 by the Northern Ireland Statistics and Research Agency (NISRA), indicate that during the reporting period the Public Sector employed just under one third (28%) of the working population in Northern Ireland (212,210 out of a total of 770,900 employees).

COVID-19 Pandemic

The majority of the Inspectors' work activity, during this period, has involved responding to issues around the COVID-19 pandemic. The Group processed 2,591 cases of COVID-19 diseases reported to HSENI with the assistance, towards the end of this reporting period, of the Operational Support Unit.

Inspectors reviewed 28 Public Health Agency (PHA) Cluster Reports, mostly related to the Community Care Sector.

Inspectors dealt with 301 complaints (17% of all complaints received during the reporting period), the majority of which reported alleged contraventions of COVID-19 secure procedures in relation to social distancing, self-isolation issues and the provision of Personal Protective Equipment (PPE) across all sectors within the group's remit.

While most organisations had COVID-19 secure procedures in place, it was found during these enquiries that there was often poor communication, a failure to monitor adherence with and a poor understanding of these procedures.

Inspectors have liaised with the Health and Social Care Sector, the Education Sector and Government Departments in respect of the criteria for the reporting of COVID-19 cases to HSENI as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR).

During the pandemic some local businesses diversified into the production of hand sanitisers. Inspectors within the group were involved in responding to requests for advice and guidance to those businesses in relation to the manufacture and distribution of this product.

Throughout the year the group liaised with all the Health and Social Care Trusts to discuss the provision of appropriate PPE across the health and social care sector.

The group worked alongside HSENI's Product Safety Team to ensure all PPE entering the supply chain was compliant with the regulations and the European Easement for PPE during the pandemic.

The group also responded to many complaints and requests for advice in relation to the Health Protection (Coronavirus Restrictions) Regulations 2020, which fell outside our remit, because the service user was unable to get an answer from the appropriate organisation.

General Activities

As well as the activities in relation to the COVID-19 pandemic, Public Sector colleagues continue to provide general advice and guidance across all sectors within its area of responsibility including, Health and Social Care, Education, Local Authorities, Disciplined Services, Government Departments/Agencies, Biological Agents and Fairgrounds.

These have included, amongst other topics, advice on the management of legionella in care homes as well as discussions with several Local Authorities on the activities involved in waste collection.

Colleagues within the Public Sector team continue to assist in other sectors within HSENI such as Chemicals, Ionising Radiation, Major Investigation Team prosecutions and liaison with HSE (GB) in relation to Genetically Modified Organisms (GMO) and the Control of Substances Hazardous to Health (COSHH) notifications.

The Public Sector team continues to liaise with and provide advice to Trade Union representatives and those involved in the management of health and safety in the organisations for which we have a responsibility, as well as making enquiries into selected reported incidents or accidents.

Performance Analysis of Public Sector Group Target Outputs

SLIPS, TRIPS AND FALLS (STF)

Action/Intervention	Target Output/s	Progress
Raise awareness of the workplace conditions associated with STF.	Raise/discuss STF during all visits/interactions as appropriate.	Target Achieved On-site inspections have been curtailed due to current pandemic. Enquiries have been made by phone or 'Zoom'.

INSPECTION ACTIVITY

Action/Intervention	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.	Target Achieved On-site inspections have been curtailed due to current pandemic. Enquiries have been made by phone or 'Zoom'.

Occupational Health and Hygiene Group

The Occupational Health and Hygiene Group (OHHG) comprises 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.

Recent statistics relating to occupational ill-health in Northern Ireland suggest an approximate cost of £238 million to the local economy and an estimated 355 deaths each year due to work-related disease. This demonstrates the continued need for HSENI to have a dedicated Occupational Health and Hygiene Group to support and champion the occupational health priority areas identified within HSENI's Corporate Plan 2018-2023.

These priority areas are:

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

The team will also ensure that other occupational health issues such as Noise Induced Hearing Loss (NIHL) and Hand Arm Vibration (HAV) are considered.

As the control of viruses, such as the Coronavirus (COVID -19) within the workplace falls under the expertise of occupational health and occupational hygiene group, they continue to work reactively and proactively to respond to many work-related queries and concerns from stakeholders, taking cognizance of the public health guidelines.

The OHHG continued to scrutinise all available information and data being generated to ensure that the organisation's direction of advice offered would align with the public health guidelines and credible evidence based research.

The OHHG continues to participate on the Regional Skin Cancer Prevention Strategy Group lead jointly by the Public Health Agency (PHA) and Cancer Focus NI. The group also consists of membership drawn from the local councils, consultant dermatologist, the Northern Ireland Cancer Registry and health economists.

Due to the continued concerns regarding working outdoor and sun exposure increasing the risk of skin cancer, the OHHG continued to promote awareness focusing on various sectors with increased awareness planned in the forthcoming year.

The Health and Safety (First Aid) Regulations (Northern Ireland) 1982 (as amended) aligned with the HSE's guidance in 2017, giving clear advice on the recommended practical actions needed and standards to be achieved to ensure compliance by Northern Ireland duty holders. The OHHG continued to respond to any queries relating to workplace first aid from HSENI field staff, duty holder and members of the public, however, as the Coronavirus (COVID -19) pandemic unfolded, they liaised with HSE in Great Britain, to ensure that

we are continuing to align with renewed guidance to take cognizance of the public health guidelines. These temporary measures included offering extended timeframes for training recertification.

Due to the COVID-19 pandemic, the pilot of the Condition Management Programme (CMP), in association with the Department for Communities (DfC), which was due to be offered to those in the construction sector who are self-employed or have fewer than ten employees, had to be postponed. However, it is intended that this will be reinvigorated, as the public health restrictions are gradually lifted.

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 the pandemic the team restructured all of its seminars to enable advisors to continue delivering key information in the form of webinars to assist Northern Ireland employers to use HSE's Management Standards as a tool to control the risks associated with work-related stress.

The MWAWAS supported a range of organisations in implementing the Management Standards and delivered a total of 15 webinars across Northern Ireland, including tailored workshops for separate organisations and industry bodies such as the Institute of Quarrying (IoQ), the Waste Industry Safety and Health (WISH) Forum for Northern Ireland and the Irish Congress of Trade Unions (ICTU).

Advisors actively participated in seminars in conjunction with other stakeholders such as the Equality Commission and made further presentations at events organised by the Mental Health Charter.

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

The Advisory Service also promoted the Management Standards within private industry working alongside key stakeholders, including organisations from within the voluntary sector. Work has continued on the development of an online resource for farmers.

Two new publications were designed and published, one to assist line managers with the process of engaging in conversation with staff around the issue of stress and one for employees and employers on things to consider in the management of work-related stress whilst working from home.

The website pages of MWAWAS were reviewed and are now in the process of being updated to provide a more comprehensive, yet easier to navigate, body of information on work-related stress and the effective management of it using the HSE Management Standards.

A new webinar was developed on fatigue and burnout to provide practical information to employers on the causes of, risks from and management of these serious health issues that can occur through prolonged exposure to work-related stress. The advisors also produced a video presentation outlining what the HSE Management Standards are, how to risk assess using them and what services and resources MWAWAS provides.

Performance Analysis of OHHG Target Outputs

Management Standards

Action/Intervention	Target Output/s	Progress
Partnership.	Develop and launch Stress Talking Toolkit for education sector in partnership with Department of Education (DE).	*Target Not Achieved Current challenges with education have resulted in delays to achieving this target although significant preparatory work already completed in terms of content of the resource. Awaiting input from DE.
Coaching and mentoring.	Provide telephone/e-mail advice to employers.	Target Achieved Throughout the year the team have continued to offer support service via e-mail and telephone. The main source of contact was via the dedicated stress e-mail address.
Coaching and mentoring.	As appropriate attend a meeting of employers' steering group committee in an advisory capacity.	Target Achieved Attendance at several virtual events including the Institute of Quarrying technical meeting on 02/11/20 and WISHNI steering group meeting on 10/11/20 to discuss the management of work-related stress.
Coaching and mentoring.	Assist one employer on the full implementation of the Management Standard's process and develop an associated case study.	*Target Not Achieved Not completed due to COVID-19 pandemic. Next stage of the process requires face-to-face interaction with employees which is not permitted under government restrictions.
Deliver 'work-related stress' workshops.	Deliver 12 workshops from the existing suite of 'Managing Work-related Stress' courses. <i>This figure is unlikely to be met and depending on Government guidelines may be revised to eight workshops.</i>	Target Achieved MWAWAS supported a range of organisations in implementing the Management of work-related stress and delivered a total of 15 webinars across Northern Ireland, including tailored workshops for separate organisations and industry bodies.
Delivery of NI based Talking Toolkit for line managers.	Launch a NI specific work-related stress talking toolkit aimed at assisting line managers.	Target Achieved Due to the pandemic the launch of the Talking Toolkit could not take place at a public event. It was therefore launched by way of several press releases, social media and added to HSENI website.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

Scientific Services

Scientific Services currently consists of three members of staff, one Senior Scientific Officer and two Higher Scientific Officers each 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 and accurate 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 2021 the laboratory successfully maintained its ISO17025 accreditation.

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, welding fume and Local Exhaust Ventilation.

During 2020-21 the Asbestos Advisory Service provided asbestos related advice on 28 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 and accident investigations. This new process was recently audited by CavanaghKelly. The outcome of this audit was that Scientific Services were compliant with all necessary requirements.

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 site inspections have been limited due to the COVID-19 pandemic however HSENI has continued to carry out inspections on industrial radiography companies, waste management organisations and a number of manufacturing facilities. HSENI has also provided specialist advice to a number of food production companies and new dentists.

Performance Analysis of Scientific Services' Target Outputs

PROMOTION AND PARTNERSHIP

Action/Intervention	Target Output/s	Progress
Health and hygiene focused initiatives.	Undertake in three separate areas, occupational hygiene and other field work to inform the inspectorate and industry as to the risks associated with occupational health hazards and associated control strategies: <ul style="list-style-type: none"> Silica exposure in sand and gravel quarries – Identifying similar dusty processes and controls. Stability of quarry faces using drone for aerial footage. Assessment of dust levels in a waste and recycling premises. 	<p>*Target Not Achieved</p> <p>Silica exposure in sand and Gravel quarries postponed due to COVID-19 pandemic.</p> <p>Stability of quarry faces using drone footage is ongoing as and when required.</p> <p>Assessment of dust levels and suppression systems within waste and recycling premises has been delayed due to the COVID-19 pandemic.</p>
UKAS – quality management system.	Maintain UKAS accreditation for all relevant Scientific Services functions .	<p>Target Achieved</p> <p>Successfully transitioned to 2017 ISO standard and maintained accreditation during 2021 audit, which took place virtually in January and February 2021 due to current restrictions.</p> <p>Quality manual and associated procedures revised and updated to comply with new standard. Significant work completed to maintain accreditation.</p>

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

Health and Safety at Work Legislation

One of the key outputs as detailed in 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 2020-21 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 and to ensure that Northern Ireland legislative provisions comply with the Northern Ireland Protocol. There has also been inevitable disruption due to the COVID-19 crisis.

Activity during the year

During the year, a Northern Ireland Statutory Rule entitled the Health and Safety (Amendments and Revocation) (EU Exit) Regulations (Northern Ireland) 2020 was brought into operation. It made amendments to 11 existing sets of Northern Ireland Regulations to correct deficiencies arising from the UK's withdrawal from the EU and maintain the protections afforded by Northern Ireland health and safety legislation.

A further four Northern Ireland Statutory Rules are under preparation. The draft Biocidal Products (Fees and Charges) (Amendment) (EU Exit) Regulations (Northern Ireland) 2021 will amend the Biocidal Products (Fees and Charges) Regulations (Northern Ireland) 2015 to update the list of fees chargeable by HSENI to recover costs from applicants for services that it provides with respect to procedures under the Biocidal Products Regulation (EU No. 528/2012). Under the Protocol, Northern Ireland is required to maintain alignment with the Biocidal Products Regulation. The Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2017 (Amendment) (EU Exit) Regulations (Northern Ireland) 2021 will amend the Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres Regulations (Northern Ireland) 2017 ("the ATEX Regulations") to make sure that the ATEX Directive (2014/34/EU) and the NI Protocol are implemented in respect of Northern Ireland. The Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment) (EU Exit) Regulations (Northern Ireland) 2021 will amend the Biocidal Products and Chemicals (Appointment of Authorities and Enforcement) Regulations (Northern Ireland) 2013 and Genetically Modified Organisms (Contained Use) Regulations (Northern Ireland) 2015. This will help ensure that obligations under the Protocol are met and the amended Regulations continue to properly implement EU law in Northern Ireland. The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment (Amendment) (EU Exit) Regulations (Northern Ireland) 2021 will amend the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations (Northern Ireland) 2010 to address legislative deficiencies and inoperabilities in relation to the carriage of dangerous goods as a result of the UK's exit from the EU. They also maintain Northern Ireland's alignment with the Transportable Pressure Equipment Directive as required by the Northern Ireland Protocol.

HSENI also contributed to amendments to Northern Ireland Statutory Rules and Northern Ireland provisions contained in a number of UK-wide EU Exit Statutory Instruments made at Westminster. The Product Safety and Metrology etc. (Amendment to Extent and Meaning of Market) (EU Exit) Regulations 2020 ensure that the NI Protocol is implemented by amending the extent of the Product Safety and

Metrology etc. (Amendments etc.) (EU Exit) Regulations 2019 so that the majority of the amendments made in those Regulations only extend to Great Britain. They also revoke amendments to Northern Ireland legislation (including the ATEX Regulations). The Pressure Vessels (Amendment) (Northern Ireland) (EU Exit) Regulations 2020 amend the Simple Pressure Vessels (Safety) Regulations 2016 and the Pressure Equipment (Safety) Regulations 2016 in respect of Northern Ireland only to make sure that the related EU Directives and the NI Protocol are implemented in respect of Northern Ireland. The Product Safety and Metrology etc. (Amendment) (Northern Ireland) (EU Exit) Regulations 2020 amended a raft of UK-wide Regulations, seven of which involve HSENI as a market surveillance/enforcement authority for Northern Ireland. The provisions include reflection that the relevant EU legislation will continue to apply to Northern Ireland by virtue of the NI Protocol. The Product Safety and Metrology etc. (Amendment etc.) (UK(NI) Indication) (EU Exit) Regulations 2020 amend legislation that implements some of the EU legislation listed in Annex 2 to the NI Protocol to make clear when the UK(NI) indication must be affixed and how and where it must be affixed. The Regulations also provide for the penalty when the UK(NI) indication is not affixed or incorrectly affixed. The Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment etc.) (EU Exit) Regulations 2020 amend earlier EU Exit Regulations to implement the Protocol to maintain Northern Ireland's alignment to the Biocides Regulation (EU) 528/2012, the Classification, Labelling and Packaging (CLP) Regulation (EC) 1272/2008 and the Export and Import of Hazardous Chemicals (PIC) Regulation (EU) 649/2012. They revoke amendments to Northern Ireland health and safety subordinate legislation and also amend the three direct acting EU Regulations in respect of biocides, CLP and PIC to bring them into line with the NI Protocol.

Details of work completed during 2020-21 include:

Northern Ireland EU Exit Regulations prepared

The Health and Safety (Amendments and Revocation) (EU Exit) Regulations (Northern Ireland) 2020 (S.R. 2020 No. 330)

Contributions to UK-wide EU Exit Regulations

The Product Safety and Metrology etc. (Amendment to Extent and Meaning of Market) (EU Exit) Regulations 2020 (S.I. 2020 No. 676)

The Pressure Vessels (Amendment) (Northern Ireland) (EU Exit) Regulations 2020 (S.I. 2020 No. 678)

The Product Safety and Metrology etc. (Amendment) (Northern Ireland) (EU Exit) Regulations 2020 (S.I. 2020 No. 1112)

The Product Safety and Metrology etc. (Amendment etc.) (UK(NI) Indication) (EU Exit) Regulations 2020 (S.I. 2020 No. 1460)

The Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment etc.) (EU Exit) Regulations 2020 (S.I. 2020 No. 1567)

Northern Ireland EU Exit Regulations under preparation

The Biocidal Products (Fees and Charges) (Amendment) (EU Exit) Regulations (Northern Ireland) 2021

The Equipment and Protective Systems Intended for Use in Potentially Explosive Atmospheres (Amendment) (EU Exit) Regulations (Northern Ireland) 2021

The Chemicals (Health and Safety) and Genetically Modified Organisms (Contained Use) (Amendment) (EU Exit) Regulations (Northern Ireland) 2021

The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment (Amendment) (EU Exit) Regulations (Northern Ireland) 2021

Performance Analysis of Legislation Unit's Target Outputs

Action/Intervention	Target Output/s	Progress
EU Exit 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'.	Operable Health and Safety regulatory framework regardless of EU exit outcome (partly dependent on progress made by GB counterparts).	Target Achieved 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. The UK's exit was then followed by a transition period, which lasted until 11.00 p.m. on 31.12.20. By that date a number of Westminster EU Exit Statutory Instruments (SIs) and a NI Statutory Rules (SR) were in place to ensure an operable Health and Safety regulatory framework.
EU Exit 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'.	Conclusion of operability amendments to domestic retained EU legislation.	Target Achieved The Health and Safety (Amendments and Revocation) (EU Exit) Regulations (Northern Ireland) 2020 were made on 16.12.20 and came into operation on IP (Implementation Period) completion day. They amended 11 sets of NI health and safety Regulations.
EU Exit 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'.	Legislative alignment obligations from any withdrawal agreement met.	Target Not Achieved Non-devolved and part-devolved Product Safety alignment legislation has been made by BEIS. However, NI legislation to provide for NI's continued alignment with EU legislation specified at Annex 2 of the NI Protocol remains under preparation with four NI EU Exit SRs at various stages of development.
EU Exit 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'.	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).	Legislation Unit no longer involved and any resultant work is being taken forward by DfE and the HSENI EU Exit Team.
EU Exit 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'.	(Contribution to) development of updated Agency Agreements and MoUs.	Legislation Unit no longer involved and any resultant work is being taken forward by the HSENI EU Exit Team.

Action/Intervention	Target Output/s	Progress
Consultative and discussion documents Publish Consultative Document in relation to:	Proposals for amendments to the Gas Safety (Installation and Use) Regulations (Northern Ireland) 2004.	Target Not Achieved Progress delayed due to EU Exit priorities.
Consultative and discussion documents Publish Consultative Document in relation to:	The Dangerous Goods in Harbour Areas Regulations (Northern Ireland) 2019 and approval for use in Northern Ireland of GB Approval Code of Practice (ACoP).	Target Not Achieved Consultation document drafted but progress delayed due to EU Exit priorities.
Consultative and discussion documents Publish Consultative Document in relation to:	Proposals for implementation of Directive (EU) 2019/130 amending Directive 2004/37/EC on the protection of workers from the risks related to exposure to carcinogens or mutagens at work.	Unable to proceed and awaiting developments in GB. The UK is no longer legally obliged to implement this Directive and HSE is considering a replacement regime/process for reviewing priority substances that cause the greatest concern where the greatest reduction in occupational ill-health can be achieved.
Health and safety regulations NI SRs:	The Dangerous Goods in Harbour Areas Regulations (Northern Ireland) 2019.	Target Not Achieved Consultation document drafted but progress delayed due to EU Exit priorities.
Health and safety regulations NI SRs:	The Freight Containers (Safety Convention) Regulations (Northern Ireland) 2020.	Target Not Achieved Progress delayed due to EU Exit priorities.
Health and safety regulations NI SRs:	The Gas Safety (Installation and Use) (Amendment) Regulations (Northern Ireland) 2020.	Target Not Achieved Progress delayed due to EU Exit priorities.
Approved codes of practice (ACoPs):	Amendment of the EH40/2005 Workplace Exposure Limits Document.	Unable to proceed and awaiting developments in GB. This is linked to entry above on Proposals for implementation of Directive (EU) 2019/130.
Approved codes of practice (ACoPs):	Dangerous Goods in Harbour Areas Regulations 2016.	Target Not Achieved Consultation drafted but progress delayed due to EU Exit priorities.
Approved codes of practice (ACoPs):	Revision of the Approved List of Biological Agents.	Target Not Achieved Unable to proceed and awaiting developments in GB. Original proposals have been delayed but work underway to update List as regards the inclusion of SARS-CoV-2.

EU Exit

HSENI has two operational sectors, chemicals and product safety, which have been influenced by the UK decision to leave the EU and the outworkings of the Northern Ireland Protocol (NIP). In both the focus is to promote compliance with the market standards. As NI remains aligned with the EU the work of the teams will focus on EU standards. If this was to change in the future the work would continue by implementing the relevant standards etc.

In the summer of 2020 two small teams were set up to plan and deliver two fully staffed and operational teams in both sectors and to handle the current workload. In both sectors the old operational models which were mainly reactive will change to becoming increasingly proactive and moving into the area of market surveillance. This creates challenges for HSENI but it brings many benefits for workplace health and safety in Northern Ireland.

Chemicals Team

The team will be responsible for discharging HSENI's statutory functions in respect of four sets of regulations [Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH); Classification, Labelling and Packaging (CLP); Prior Informed Consent (PIC); and Biocidal Product Regulations (BPR)]. Whilst these regulations are in force in GB, NI will maintain alignment with the EU. Given the overlap the team will also have significant coverage in the Control of Substances Hazardous to Health Regulations (COSHH). Market surveillance work across the regimes is new work for HSENI. It will be 'in-market' as opposed to 'port-based' market surveillance and it will result in the elimination or control of the most hazardous chemicals and substances of very high concern.

The REACH and CLP regimes will bring new challenges to chemical users in NI. Sourcing chemicals directly from GB may bring new responsibilities. Divergence could have an effect on all parts of the supply chain from manufacturing through to end use. This year HSENI has handled a range of queries across the regimes from companies based in Northern Ireland, Great Britain and the European Union (EU). In addition we hosted two webinars which provided advice to NI chemical users on REACH, CLP, biocides and PIC. HSENI has also assisted at other webinars with answering questions etc. We have also worked directly with a number of companies to help them navigate regulatory issues. The Chemicals Team has dealt with a number of complaints including the registration of chemicals, notifications to the Poisons Centre in Birmingham as well as concerns raised regarding the labelling of sanitisers etc.

HSENI has actively engaged throughout the year with a number of partners who are essential to delivering the NI chemicals work. These include HSE (GB) which, by way of agency agreements, will deliver the NI Helpdesk functions in REACH and CLP as well as provide the scientific support for biocidal product authorisations. These agreements, which also engage DfE, are at an advanced stage of development. We have also started to build relationships with the European Chemicals Agency (ECHA) which has seen the recent signing of an agreement which will allow the sharing of chemicals information necessary for the discharging of HSENI's statutory functions especially in the field of biocides. Other partnerships developed this year include close working with the Department for the Economy (DfE), the Department of the Environment, Agriculture and Rural Affairs (DAERA) and the Northern Ireland Environment Agency (NIEA).

More recently our focus has been on the development and recruitment of a new chemicals team which will consist of a Principal Professional Technical Officer (PPTO), a Senior Professional Technical Officer (SPTO) and three Professional Technical Officers (PTO) all of which will have a strong professional chemicals background. This is part of a significant recruitment campaign and will see the team operational in 2022. In the meantime the current team members will continue to operate on a largely reactive basis.

Product Safety Team (PST)

Market surveillance in the field of product safety covers a diverse range of topic areas from pressure vessels, lifts through to equipment for use in explosive atmospheres. Historically HSENI's work in this area has been concentrated in the area of machinery safety. The focus has been on assisting Northern Ireland manufacturers involved in designing equipment and machinery in compliance with EU requirements. In addition HSENI has been involved in dealing with the importation of unsafe and non-compliant products and products which are unsafe for workers onto the NI market. Throughout this year the PST's main focus has been to ensure that personal protective equipment (PPE) entering Northern Ireland's Health and Social Care, has been fit for purpose, and this is a continuing workload through 2021.

The COVID-19 pandemic brought pressures on the supply of personal protective equipment (PPE) which in turn resulted in a massive upturn in quantities entering NI. The PST was centrally involved in an easement (EC recommendation 2020/403) of 13.3.20 which ensured the safety of UK healthcare workers by speeding up supply of essential COVID-19 PPE. This allowed PPE to be placed on the NI market before a full conformity assessment was complete but which met the essential health and safety requirements and which had been approved by HSENI.

Over the last year the PST has worked closely with the Health and Social Care Board (HSCNI) and their Business Support Organisation (BSO) in ensuring that all PPE entering the HSCNI supply chain from outside of the Cabinet Office's four Nation supply chain has either met full conformity assessment, or HSENI has approved its use as the Market Surveillance Authority (MSA). This has been a very challenging process as in essence HSENI, as the MSA, granted permission for non-conformity assessed PPE to enter the supply chain of the Northern Ireland Health Care setting as part of the COVID-19 PPE ensemble as laid down by NHS England's Infection Prevention and Control (IPC). HSENI continues to work with Northern Ireland based PPE manufacturers, to guide them on how they can bring their product to market through the easement recommendation 2020/403.

This year has also seen a considerable body of work in partnership with HSE (GB)'s Safety Unit, and the Office of Product Safety and Standards (OPSS) within the Department of Business, Energy and Industrial Strategy (BEIS) et al. This work focused largely on the complexities of how HSENI will continue to fulfil its obligations, as a MSA, post the transition period and HSENI's continued requirement to fulfil its obligation under EU Regulation (EC) No. 765/2008 – Regulation and Market Surveillance (RAMS). The work also turned to the preparations for the replacement for RAMS, the Regulation on Market Surveillance and Compliance of Products (MSC), which will be implemented on 16 July 2021. The close collaboration between HSENI, OPSS and BEIS has been essential in mapping out a way forward in what has been a very complex and challenging Statutory Instrument (SI) which will be laid by the UK Government in Parliament in June 2021.

The PST both held and spoke at events and webinars on a regular basis in 2020. These included The Northern Ireland Safety group (NISG) Webinar on the Supply of PPE and the changes to CE compliance under the Northern Ireland Protocol. The webinar was to inform companies and manufacturers of the various new conformity markings accepted in Northern Ireland and Great Britain, and the change of conformity assessment process, relating to Conformity Assessment Bodies (CABs)/Notified Bodies (NBs) and the conformity markings of UKCA, UKCA+CE, UKNI+CE, CE etc.

The PST worked with stakeholders and other MSAs across Great Britain and European member states to ensure that HSENI statutory obligations as a MSA are fulfilled.

In November 2020, HSENI worked with colleagues in OPSS intelligence team to draw up a Memorandum of Understanding (MoU) on the sharing of intelligence between OPSS, HMRC, Border Force and HSENI. Going forward this will help with the challenges HSENI faces as a MSA, and obligations under MSC.

HSENI continues to investigate cases of non-compliant and unsafe products 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, PPE, 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.

The latter part of the year has seen a focus on preparing for a recruitment drive to properly staff the PST. The structure of the PST will mirror that of the Chemicals Team and it will have the capability and competence to take the work forward which will result in safer workplaces for NI employees and the removal of unsafe and compliant products from the NI market. This is and will continue to be a major challenge for HSENI, especially as divergence starts to emerge, and we will continue to work in partnership with stakeholders, co-regulators and other parts of Government to ensure the work adds value and creates safer workplaces in Northern Ireland.

Performance Analysis of Product Safety Team Target Outputs

NON CE COMPLIANT PLANT BEING PUT INTO SERVICE

Action/Intervention	Target Output/s	Progress
Identification and prevention of non-compliant products.	Investigate all reports of non-compliant products reported to HSENI.	Target Achieved The main focus over the year has been Personal Protective Equipment (PPE), due to the COVID-19 pandemic. HSENI are part of the four nations approach to PPE supply and the implementation of the EU COVID-19 deregulation easement.
Identification and prevention of non-compliant products.	Work closely with BEIS on the implications of RAMS 2 (2021) with Northern Ireland being aligned, and how HSENI satisfy RAMS 2 requirements.	Target Achieved HSENI have been and will continue to be in intense discussions with BEIS, OPSS, HSE (GB), and DfE on the implications of the Northern Ireland Protocol and the outworking's of MSC for HSENI.

Long-term Expenditure Trends

HSENI is currently funded on a year by year basis. The budget allocation for 2021-22 has been set at a similar level to 2020-21 for revenue expenditure. During the 2020-21 financial year, net expenditure increased with the filling of some key staff vacancies. 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 and continues to prepare in-year bids for funding to cover a baseline shortfall brought about by historic events.

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 2020-21 are provisional.

Figure 1: Reported Fatal Injuries Analysis by work sector 2016/17 - 2020/21

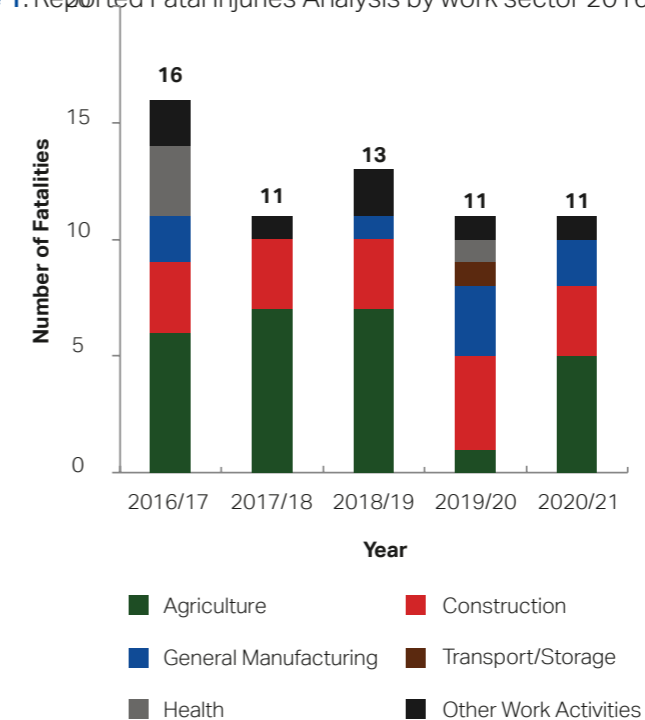
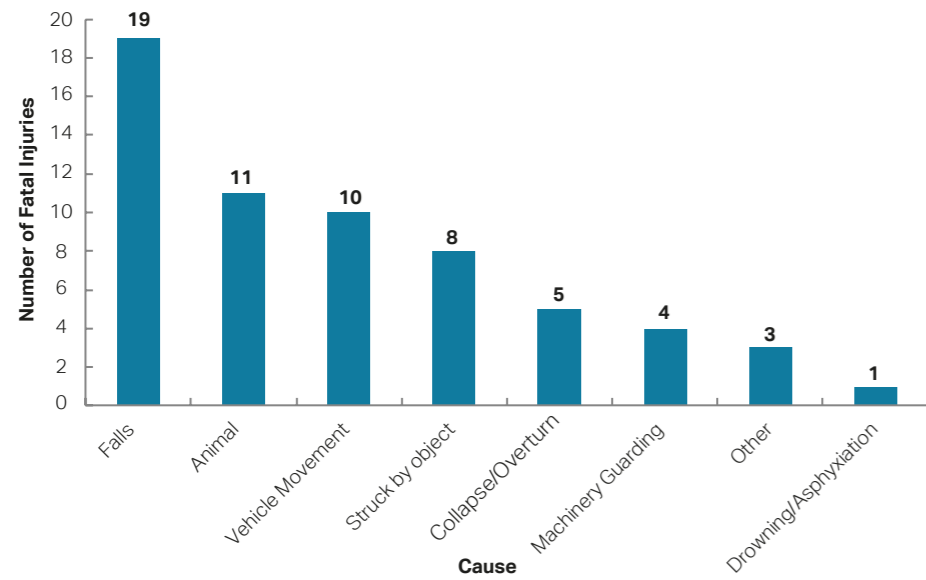


Figure 1 shows that there were 11 (P)⁷ fatal injuries during the reporting period, which indicates no change since the previous year. Of the 11 fatal injuries during 2020-21, five occurred in agriculture, three in construction, two in general manufacturing and one in other work activities.

⁷ (P) these figures do not include fatalities where the investigation has not yet established sufficient details to make a decision on their inclusion.

Figure 2: Reported Fatal Injuries Analysis by cause 2016/17 - 2020/21



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, animals, vehicle movements, being struck by an object, 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 46% 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 2016/17 - 2020/21

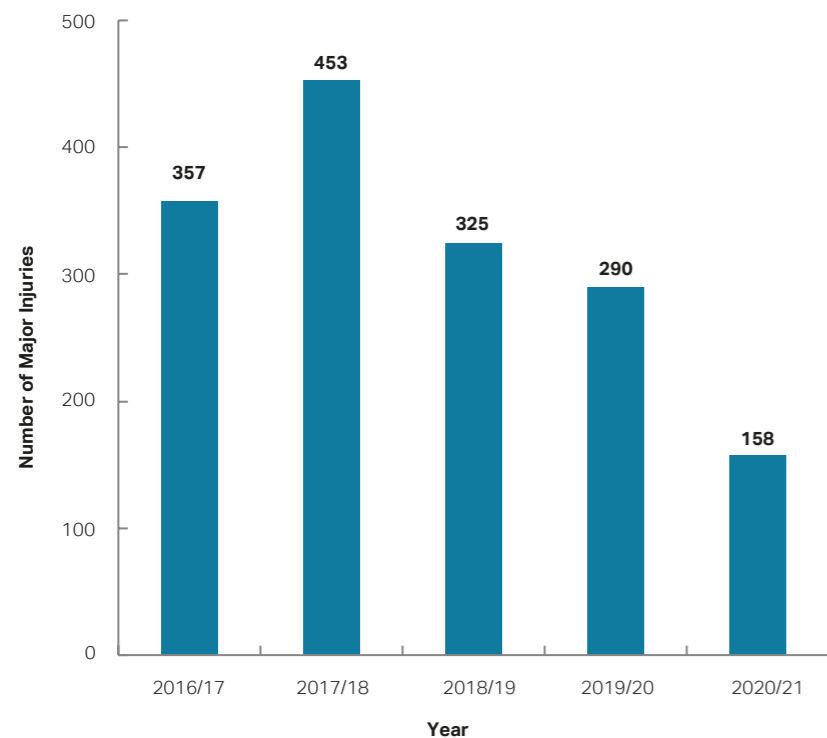
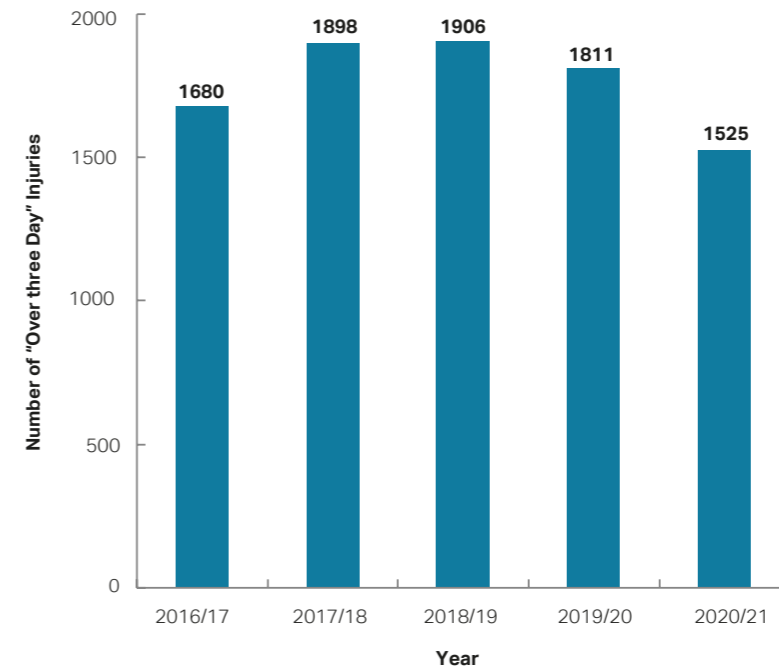


Figure 4: Reported 'Over Three Day' Injuries 2016/17 - 2020/21



There were 1,525 reported 'over three day' injuries during the year, which was a decrease of 286 (16%) 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 2020/21 - Analysis by work sector

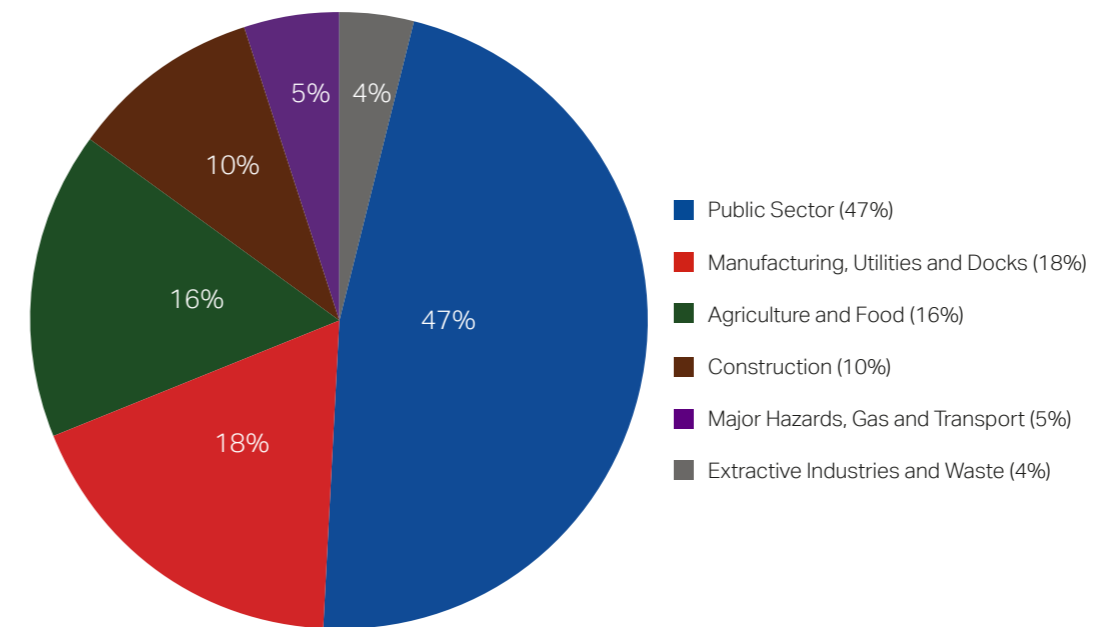


Figure 6: Over three Day Injuries 2020/21 - Analysis by Cause

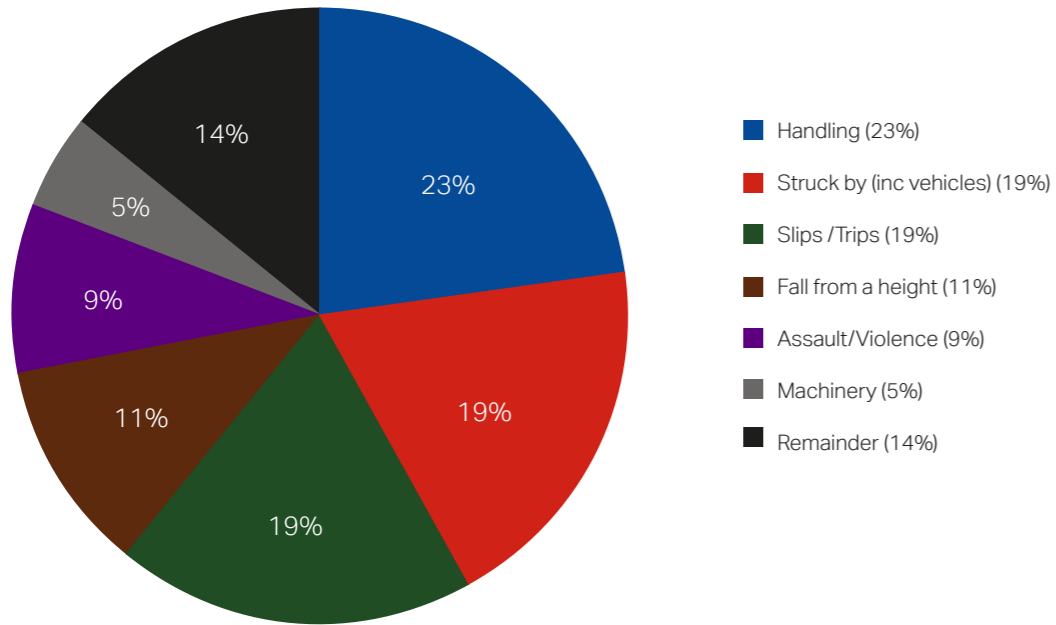
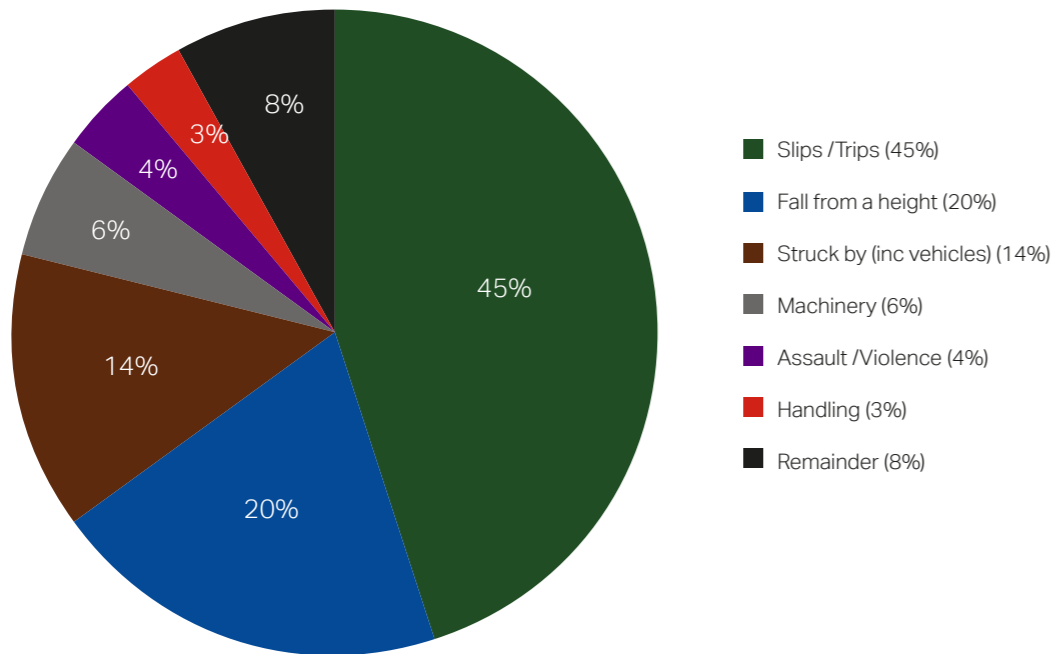


Figure 7: Major Injuries 2020/21 - Analysis by Cause



Figures 6 and 7 represent analyses of the causes of both 'Over three day' and 'major' injuries at work. Handling, being struck by an object or vehicle and slips and trips accounted for the majority of 'Over three day' injuries reported, while slips and trips, falls from a height and being struck by an object or vehicle accounted for the majority of 'major' injuries at work during 2020-21.

Figure 8: Complaints Received 2016/17 - 2020/21

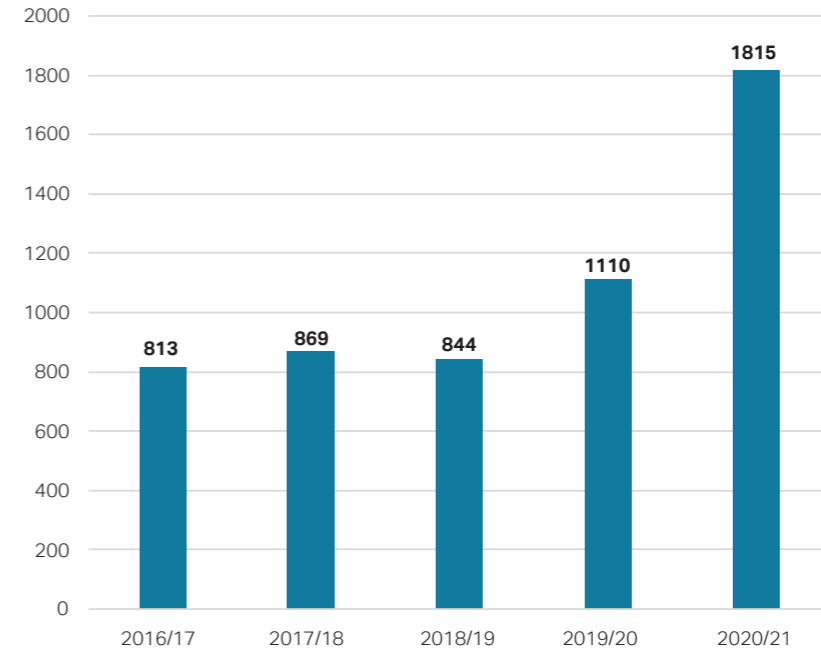


Figure 8 illustrates the number of complaints received by HSENI relating to alleged unsatisfactory working conditions and work-related activities. This year saw a 64% increase in the number of complaints being made when compared to the previous year. This large increase can be attributed to the significant number of complaints received by HSENI relating to COVID-19 throughout the period.

Figure 9: Reported Serious and Fatal Accidents 2016/17 - 2020/21

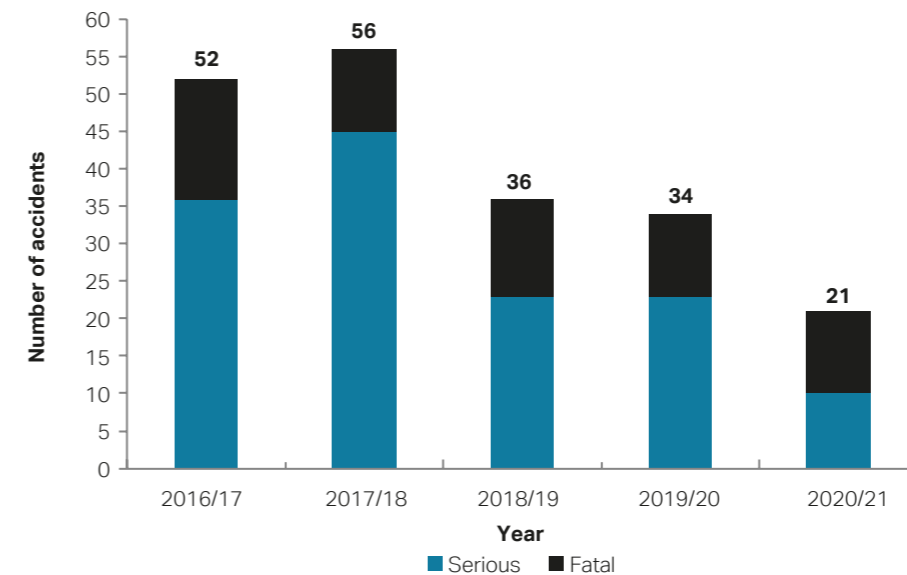


Figure 9 illustrates the number of serious and fatal accidents over the period 2016-17 to 2020-21. This figure provides details on whether or not HSENI is meeting its Corporate Plan target of an average of no more than 50 over the lifespan of the Corporate Plan (2018 – 2023). The graph shows that for the first three 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 2020-21

	2020-21	2019-20
Fatal Injuries	13	12
Major Injuries	188	334
Over Three Day Injuries	1,770	2,153
TOTALS	1,981	2,670

2. Statistics by Enforcing Authority

	Fatal Injuries		Major Injuries		Over Three Day Injuries	
HSENI	11	(11)	158	(290)	1,525	(1,811)
District Councils	2	(1)	30	(44)	245	(342)
Totals	13	(12)	188	(334)	1,770	(2,153)

3. Five Year Trends

	2016-17	2017-18	2018-19	2019-20	2020-21
Fatal Injuries	18	13	17	12	13
Major Injuries	404	508	364	334	188
Over Three Day Injuries	2,039	2,231	2,290	2,153	1,770
Totals	2,461	2,752	2,671	2,499	1,971

4. All Reportable Fatal Injuries

	Five Year Trend by Enforcing Authority				
	2016-17	2017-18	2018-19	2019-20	2020-21
HSENI	16	11	*13	11	11
District Councils	2	2	4	1	2
Totals	18	13	*17	12	13

* This figure has been updated to reflect one further reportable fatality relating to 2018-2019.

5. Employee Fatal Injury Incident Rate⁸ – Comparison with Great Britain

	2016-17	2017-18	2018-19	2019-20	2020-21
NI Employees at June rounded to nearest thousand ⁹	732	756	774	784	733
NI Fatal Injuries (Employees only)	4	1	*6	6	4
NI Fatal Injuries incidence rate per 100,000 employees	0.55	0.13	*0.78	0.77	0.55
GB Fatal Injuries incidence rate per 100,000 employees	0.43	0.45	0.45	0.34	n/available

* This figure has been updated to reflect one further reportable fatality relating to 2018-2019.

⁸ The employee fatal injury incident rate confirms the number of employee fatalities per 100,000 employees working in NI and compares that with the same figure in GB. The figure only includes those workers who died as employees and therefore only included four fatalities for 2020-21.

⁹ Figures used for 2016-17 and 2017-18 reflect December for that financial year

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

Table 1: Asbestos-related deaths in Northern Ireland 2009-2019

Registration Year	Primary/Secondary Cause			
	Mesothelioma without asbestosis	Asbestosis* without mesothelioma	Mesothelioma and asbestosis*	All primary or secondary cause
2009	42	21	-	63
2010	34	15	1	50
2011	51	20	1	72
2012	48	13	1	62
2013	41	19	1	61
2014	39	22	2	63
2015	43**	24	3	70
2016	45	17	1	63
2017	47	30	-	77
2018	49	13	1	63
2019	36	25	2	63

* 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 2009-2019: where asbestosis or mesothelioma are coded as the primary cause of death.

Registration Year	Mesothelioma	Asbestosis*	All primary cause
2009	42	5	47
2010	35	4	39
2011	49	7	56
2012	48	4	52
2013	40	8	48
2014	41	8	49
2015	44**	3	47
2016	43	7	50
2017	43	11	54
2018	48	1	49
2019	37	8	45

* 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.

Accountability Report

Corporate Governance Report

Directors' Report

Directors

The Non-Executive Directors of HSENI during 2020-21 included the Chairman and seven Board Members. The Board Chair during 2020-21 was Derek Martin and Board members were Hilary Singleton (Deputy Chair), Billy Graham, John Kane, Maynard Mawhinney, Harry Sinclair, Lindsey Smith and Tom Wright. The Senior Management Team during 2020-21 was comprised of the Chief Executive, Robert Kidd, and four Deputy Chief Executives, Bryan Monson, Nicola Monson, Louis Burns and Kevin Neeson (with effect from 1 June 2020).

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

HSENI has a Conflicts of Interest Policy which is reviewed annually and issued with a Declaration of Interest form to all Board members and staff for completion. 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 e-mailing: mail@hseini.gov.uk and marking your e-mail 'FAO Board Secretary'.

Board Member	Company or Organisation	Position Held	Type of Interest (e.g. pay, fees, shareholding)	Other Relevant Information
Derek Martin	Construction Industry Training Board (CITB) NI	Board member	Pay/fees	
	NI Assembly Secretariat Audit and Risk Committee	Independent Member	Pay/fees	
	Institute of Structural Engineers	Retired Member		
	Chartered Institute of Building	Fellow		
Hilary Singleton	Mid Armagh Community Network	Director	Pay/fees	
	Local Government Staff Commission	Member	Pay/fees	
	Northern Ireland Fire and Rescue Service	Lay Board Member	Pay/fees	
	International Fund for Ireland	Board Member	Pay/fees	
	Family farm in Markethill, Co Armagh		Personal interest	Close family link
	Nelson Singleton Solicitors	Husband is Senior Partner	Shareholder	
Billy Graham	Northern Health and Social Care Trust	Non-Executive Director	Pay/fees	
Maynard Mawhinney	South Eastern Health and Social Care Trust	Non-Executive Director	Pay/fees	
	College Advisory Group - CAFRE	Member		
Lindsey Smith	Queens University Belfast	Part Time Lecturer Associate	Pay	
	University Of Ulster	Part Time Lecturer Associate	Pay	
	Northern Ireland Fire and Rescue Service	Lay Board Member	Pay	
	Chartered Institute of Personnel and Development (CIPD)	Member		
Tom Wright	Oakwood Primary School, Derriagh, Lisburn, Co Antrim	School Governor		
Harry Sinclair	Livestock and Meat Commission	Board Member	Pay	
	Ulster Farmers' Union	Member		
Louis Burns (Deputy Chief Executive)	Deloitte	N/A		Close family link
Bryan Monson (Deputy Chief Executive)	BWT (NI)	N/A		Close family link

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 five minutes of arrival;
- provide a response to an enquiry within ten 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 five 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 four 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. Throughout 2020-21 HSENI worked on implementing a number of recommendations made following an internal audit review of the organisation's compliance with the General Data Protection Regulations (GDPR) undertaken at the end of 2019-20. Some of the issues raised related to NICS wide policies and procedures and HSENI is working with both our sponsor Department and the wider NICS to address the issues raised and 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 2020-21 year HSENI has had no ICO (Information Commissioner's Office) reportable data incidents.

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 2021-22, HSENI aims to:

- work with employers and employees to provide advice and guidance and ensure health and safety concerns are addressed in relation to COVID-19 in the workplace;
- 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;
- continue its work with the Farm Safety Partnership in alignment with the 2020-2023 Farm Safety Action Plan;
- maintain a focus on 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;
- deliver online workshops to assist employers in dealing with work-related stress;
- deliver campaigns on Farm Safety, Workplace Health including Asbestos and Work at Height in Construction;
- continue to ensure an effective health and safety at work regulatory framework; and
- deploy operational teams to carry out risk based and proportionate surveillance in chemicals and product safety.

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 and 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 and 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 2020-21 resulted in an audit fee of £14,750, including £1,250 for audit

services in relation to the National Fraud Initiative and is included in the other operating charges in the Net Expenditure Account.

The C and 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.

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.

Governance Statement: Introduction

This is the seventh 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 2020-21 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 2020-21, 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. Due to the absence of a Minister, five members' terms on the Board were extended for a further two years. A recruitment exercise was undertaken during the period to appoint six new members to take up their posts on 1 May 2021. The Board's membership during 2020-21 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. 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 2020-21 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:

- (a) strategic processes for risk, control and governance, and the annual Governance Statement;
- (b) 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;
- (c) the planned activity and results of both internal and external audit;

- (d) proposals for tendering for internal audit services or for purchase of non-audit services from contractors who provide audit services;
- (e) adequacy of management responses to issues identified by audit activity, including external audit's management letter;
- (f) assurances relating to the corporate governance requirements for the organisation; and
- (g) 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 2019-20 year in June 2020 and submitted to the Board at its meeting on 25 June 2020. The points highlighted for consideration following this self-assessment exercise were:

- The need for annual meetings for all DfE Arms Length Bodies (ALBs) Chairs and the Departmental Audit and Risk Assurance Committee (ARAC) Chair will be raised again in a bid to improve communication among all Chairs and share information on best practice;
- An issue raised on last year's self-assessment in relation to including details on appointment letters to ARMC members relating to both the appointment duration and how individual performance is to be appraised will be carried forward as no appointments have been made to the ARMC since the issue was raised;
- Going forward it is proposed that in order to adhere to best practice guidelines, biannual Assurance Statements completed by HSENI officials will be issued to all Board and ARMC members to consider prior to submission to the Department; and
- Pre-meetings between ARMC members and Internal/External Audit have had to be temporarily suspended due to the logistical challenges of setting meetings up during the current COVID-19 crisis. This process will resume when current restrictions are lifted, and in the event that restrictions remain in place throughout this financial year, alternative arrangements should be made to arrange relevant bilaterals when necessary.

3. Remuneration Committee

The Remuneration Committee normally meets once a year to review the performance of the Chief Executive and discuss training and development opportunities. The Committee was comprised of the Chair, Derek Martin, the Deputy Chair, Hilary Singleton and Board member, Billy Graham. There were no formal meetings of the Remuneration Committee during the year as a direct consequence of the pandemic. However, the Chief Executive did discuss and agree to undertake a senior leadership course delivered remotely by Common Purpose. This programme involved senior leaders from both Northern Ireland and Scotland and was a mix of learning from guest speakers and experiential learning. The Chief Executive successfully completed the programme in April 2021.

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 four 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 Corporate Plan covering the period 2018 – 2023 was 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. HSENI's 2020-21 Operating Plan was revised to reflect the potential impact of the COVID-19 pandemic on the organisation's activities.

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 2020-21 year, HSENI's Board met a total of six times via video conference. 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	6	6
Hilary Singleton	6	6
John Kane	6	6
Billy Graham	6	6
Maynard Mawhinney	6	6
Lindsey Smith	6	6
Harry Sinclair	6	6
Tom Wright	6	6

During the 2020-21 year, issues considered by HSENI's Board included:

- the impact of COVID-19;
- HSENI's annual budget allocation and issues arising therefrom;
- management accounting information relating to the actual use of financial resources;
- human resource issues, including ongoing critical staff vacancies and managing attendance;
- legislative progress and proposals, with particular focus on the UK's Exit from the EU;
- progress in relation to outputs and outcomes (performance targets); and
- 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:

- details of meetings, membership and attendance;
- a summary of the findings from the ARMC's review of its effectiveness;
- a summary of work undertaken during the year; and
- the ARMC's views on risk management.

The ARMC was content with the quality of assurances it received during 2020-21 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. The Risk management policy was revised during the period to take account of HM Government's recently revised 'The Orange Book: Management of Risk – Principles and Concepts' and to align with DfE's recently revised Risk Management Framework.

Corporate risks being managed at 31 March 2021 and key actions being taken in mitigation related to:

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

The risk of overspend as a result of a shortfall in HSENI's baseline budget was considered in the first half of the year. However, this shortfall was addressed following a bid by HSENI in the October Monitoring round, which meant that this risk was negated for the remainder of the 2020-21 financial year. The impact of COVID-19 throughout the period meant that the risk of underspend remained under constant

consideration by HSENI's SMT, ARMC and Board. Ongoing staff vacancies, the cancellation of training courses and events and a significant reduction in travel and subsistence costs led to the need for this risk to be managed closely. Meetings between SMT and Finance staff throughout the year, as well as monthly budget profiling returns from budget holders to the Financial Management Unit (FMU), helped ensure that management and FMU were kept informed of actual and forecast expenditure throughout the year. Despite the challenges faced by HSENI throughout the period, the organisation remained within the 1% tolerance level 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 this risk was managed throughout 2020-21. 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 need to secure funding to recruit staff to undertake work in relation to the UK's Exit from the EU was highlighted in particular. This funding was secured and a recruitment process is under way to fill these critical posts.

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. Following recent guidance issued, biannual Assurance Statements provided to DfE's Permanent Secretary are now also shared with Board and ARMC members prior to submission 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 credibility. 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 early part of the period, HSENI received a significant amount of media attention in relation to the organisation's role in helping ensure the safe working conditions of employees across a number of industries during the COVID-19 pandemic. 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 Regulations (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.

HSENI received a 'limited' assurance on its GDPR arrangements following an internal audit review at the end of 2019-20. Progress on addressing recommendations made on the report was monitored closely throughout the year. Staff have undertaken a significant amount of work to address the recommendations. During the period, HSENI's Data Protection Policy was reviewed and disseminated to all staff. HSENI's Retention and Disposal Schedule was also developed and received all necessary approvals which will allow the organisation to begin disposing records in accordance with the schedule.

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. The effect of a number of critical vacancies was further exacerbated

during the reporting period by the COVID-19 pandemic when recruitment was temporarily suspended. This issue was included on the quarterly risk register and closely monitored throughout the year. Recruitment restarted in the second half of the year and a number of recruitment exercises have been undertaken to fill these critical posts. This work will require significant time and resources in 2021 and beyond.

Disruption to service delivery – COVID-19

The effects of the COVID-19 pandemic which continued throughout the year impacted significantly on proactive inspections and major investigation work. Inspections were scaled back during periods of high infection rates and court sittings were temporarily suspended. Throughout the year, staff continued to work remotely in line with Government advice, although HSENI's headquarters opened for a limited number of hours each week to allow a controlled number of staff to undertake tasks that could only be done in the office. HSENI's Chief Executive maintained regular contact with staff through e-mail and the SMS Text Alert Service. The use of videoconferencing facilities ensured Board, ARMC, SMT and team meetings were able to continue despite the remote working directive in place throughout 2020-21. SMT also communicated regularly 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.

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

The difficulties caused by legislative divergence between GB and NI following the UK's Exit from the EU have been closely monitored and highlighted on the risk register throughout the year. HSENI does not have a policy function and no experience or competence in drafting legislation. Four sets of legislation were not made before the UK left the EU on 1 January 2021. HSENI is working closely with the Departmental Solicitors' Office (DSO) and has highlighted the issue with DfE. An assessment has been made of the pieces of legislation which have been delayed and the impact on industry is considered low.

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 (NIP) resulted in this risk being added to the risk register during Quarter 3 of 2020-21. Difficulties with having to maintain operational activities to meet the UK's commitments under the Withdrawal Agreement (WA) and the NI Protocol were highlighted. HSENI does not have the staff to discharge these functions. However, funding was secured before the end of the year to recruit the necessary staff. The difficulties have had a knock on delay in the recruitment and deployment timetable for the new teams.

As at 31 March 2021, HSENI's risk register included two 'Emerging Risks'.

Potential cuts to future budget

During Quarter 4 of 2020-21, DfE asked HSENI for modelling of 4% and 8% budget cuts due to a deficit in the department's budget. As a result, HSENI added these potential future budget cuts as an emerging risk on the risk register. DfE has since confirmed that HSENI's budget for 2021-22 will not be impacted by these cuts and this emerging risk will, therefore, be removed from the risk register.

Operational Work – Building Safety Regulator

An emerging risk in relation to the potential for HSENI to be asked to establish a new building safety regulator was added to the risk register during Quarter 4 of 2020-21. HSENI does not have the budget, resource or expertise to discharge any potential new functions in respect of a Building Safety Regulator. This issue will be monitored closely going forward but remains an emerging risk at present.

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 2020-21. In order to adhere to recent guidance issued, HSENI now shares these Assurance Statements and associated Assurance Checklists with Board and ARMC members prior to submission to the Department.

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 156 '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 Request. During the 2020-21 year HSENI received a total of five 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. During the year, HSENI appointed CavanaghKelly as its internal audit service provider for the period 2020-2023. The Internal Auditors developed a Strategic Audit Plan covering this period based on their assessment of the risks faced by HSENI which may impact on its ability to achieve organisational objectives, including any emerging risks. The 2020-21 internal audit programme produced following this strategy 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 all five areas reviewed. 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 2021.

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 Non-Departmental Public Bodies (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 2020-21.

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 Central Procurement Directorate (CPD) guidelines for procurement and using its services wherever possible;
- keeping administrative costs to a minimum; and
- recovering costs where appropriate.

Ministerial Directions

No Ministerial Directions were issued during the 2020-21 financial year.

Public Accounts Committee Issues

HSENI was not required to provide evidence to the Assembly's Public Accounts Committee during 2020-21.



Robert Kidd

Chief Executive

Date: 18 January 2022

Remuneration Report

Remuneration Policy

The pay remit for the Northern Ireland public sector, including senior civil servants (SCS), is approved by the Minister of Finance. The Minister has set the 2020-21 NI public sector pay policy (September 2020) in line with the overarching HMT parameters. 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 2020-21 has not yet been finalised.

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.

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.

Salary and Pension Entitlements (audited information)

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

Remuneration and pension entitlements -Officials

Single total figure of remuneration

Senior Management	2020-21				2019-20		
	Salary £'000	Bonus Payments £'000	Pension Benefits (to nearest £1000)*	Total (£'000)	Salary £'000	Pension Benefits (to nearest £1000)*	Total (£'000)
Robert Kidd Chief Executive	70-75	-	34	105-110	70-75	130**	200-205
Louis Burns Deputy Chief Executive	60-65	0-5	38	100-105	60-65	35***	95-100
Bryan Monson Deputy Chief Executive	65-70	0-5	25	90-95	60-65	24****	85-90****
Nicola Monson Deputy Chief Executive	65-70	0-5	31	95-100	60-65	35*****	95-100*****
Kevin Neeson Acting Deputy Chief Executive (from 1 June 2020)	45-50 (55-60 full year equivalent)	0-5	21	65-70	-	-	-

* 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.

** This figure was reported as £132k in the 2019-20 Annual Report, as per CSP calculations

*** This figure was reported as £38k in the 2019-20 Annual Report, as per CSP calculations

**** These figures were reported as £27k and £90-£95k in the 2019-20 Annual Report, as per CSP calculations

***** These figures were reported as £37k and £100-£105k in the 2019-20 Annual Report, as per CSP calculations

Four of the senior members of HSENI received bonuses in 2020-21 (2019-20: none) and none of the senior members received benefits in kind during the years 2020-21 or 2019-20.

Board Members	2020-21	2019-20
	Salary £'000	Salary £'000
Derek Martin Chairperson	20-25	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

HSENI operates under the rules of the NICS Special Bonus Scheme as set out in the NICS Staff Handbook. Bonuses relate to the 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. The bonuses reported in 2020-21 relate to performance in 2020-21. No bonuses were paid to senior managers in 2019-20.

Pay Multiples (audited information)

	2020-21	2019-20
Band of Highest Paid Director's Total Remuneration* (£000)	70-75	70-75
Median Total Remuneration (£)	38,858	38,096
Ratio	1.9	1.9
Range of Staff Remuneration (£)	19-72	19-71

*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 2020-21 was £70,000 - £75,000 (2019-20, £70,000 - £75,000). This was 1.9 times (2019-20, 1.9) the median remuneration of the workforce, which was £38,858 (2019-20, £38,096).

In 2020-21, 0 (2019-20, 0) employees received remuneration in excess of the highest-paid director.

Remuneration ranged from £19,000 to £72,000 (2019-20, £19,000 to £71,000).

Pension Entitlements - Officials

	Accrued pension at pension age as at 31/3/2021 and related lump sum	Real increase in pension and related lump sum at pension age	CETV at 31/3/21	CETV at 31/3/20	Real increase in CETV
Senior Management	£'000	£'000	£'000	£'000	£'000
Robert Kidd Chief Executive	30-35 plus a lump sum of 70-75	0-2.5 plus a lump sum of 0-2.5	592	549	21
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	495	448	24
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	505	472	14
Nicola Monson Deputy Chief Executive	25-30 plus a lump sum of 45-50	0-2.5 plus a lump sum of 0-2.5	453	415	20
Kevin Neeson Acting Deputy Chief Executive (from 1 June 2020)	10-15	0-2.5	116	105	7

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%.

Discrimination identified by the courts in the way that the 2015 pension reforms were introduced must be removed by the Department of Finance. It is expected that, in due course, eligible members with relevant service between 1 April 2015 and 31 March 2022 may be entitled to different pension benefits in relation to that period. The different pension benefits relates to the different schemes e.g. classic, alpha etc. and is not the monetary benefits received. This is known as the 'McCloud Remedy' and will impact many aspects of the Civil Service Pensions schemes including the scheme valuation outcomes. Further information on this will be included in the NICS pension scheme accounts which are available at www.finance-ni.gov.uk/publications/dof-resource-accounts.

Currently 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.

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 can 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).

Active members of the pension scheme will receive an Annual Benefit Statement. 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.

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 2020 was 0.5% and HM Treasury has announced that public service pensions will be increased accordingly from April 2021.

Employee contribution rates for all members for the period covering 1 April 2021 – 31 March 2022 are as follows:

Scheme Year 1st April 2021 to 31st March 2022

Annualised Rate of Pensionable Earnings (Salary Bands)		Contribution rates – All members
From	To	From 01 April 2021 to 31 March 2022
£0	£24,199.99	4.6%
£24,200.00	£55,799.99	5.45%
£55,800.00	£153,299.99	7.35%
£153,300.00	and above	8.05%

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 2020-21 or 2019-20 in relation to loss of office.

Staff Report

Staff Costs (audited information)

Staff costs compromised

	Permanently employed staff £'000	Others £'000	2020-21 Total £'000	2019-20 Total £'000
Wages and salaries	4,017	12	4,029	3,692
Social security costs	396	-	396	372
Other pension costs	1,164	-	1,164	1,102
	5,577	12	5,589	5,166

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 Public Service Pensions Act (NI) 2014 provides the legal framework for regular actuarial valuations of the public service pension schemes to measure the costs of the benefits being provided. These valuations inform the future contribution rates to be paid into the schemes by employers every four years following the scheme valuation. The Act also provides for the establishment of an employer cost cap mechanism to ensure that the costs of the pension schemes remain sustainable in future.

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 2023.

The 2016 Scheme Valuation requires adjustment as a result of the 'McCloud Remedy'. The Department of Finance have also commissioned a consultation in relation to the Cost Cap Valuation which will close on 25 June 2021. By taking into account the increased value of public service pensions, as a result of the 'McCloud Remedy', scheme cost control valuation outcomes will show greater costs than otherwise would have been expected. On completion of the consultation the 2016 Valuation will be completed and the final cost cap results will be determined.

A case for approval of a Legislative Consent Motion (LCM) has been laid in the Assembly to extend the Public Service Pensions and Judicial Offices Bill to Northern Ireland. An LCM allows the Assembly to consent to legislation for Northern Ireland being made by the UK Parliament for devolved matters. The UK Bill will legislate how the government will remove the discrimination identified in the McCloud judgment. The Bill also includes provisions that employees will not experience any detriment if the adjusted valuation costs breach the set cost cap ceiling but any breaches of the cost cap floor (positive employee impacts) in the completed valuations will be honoured.

For 2020-21, employers' contributions of £1,163,774 were payable to the NICS pension arrangements (2019-20 £1,101,591) at one of three rates in the range 28.7% to 34.2% of pensionable pay, based on salary bands.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. The partnership pension account offers the member the opportunity of having a 'free' pension. The employer will pay the age-related contribution and if the member does contribute, the employer will pay an additional amount to match member contributions up to 3% of pensionable earnings. No employees of HSENI have exercised this option.

No exit packages were paid during the year (2019-20 Nil). No persons (2019-20: 2 persons) retired early on ill-health grounds; the total additional accrued pension liabilities in the year was £nil (2019-20: £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	2020-21 Total	2019-20 Total
Directly employed	102	-	102	100
Other	-	-	-	-
Total	102	-	102	100

Staff Composition

A breakdown at 31 March 2021 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.

In 2020-21 HSENI increased membership of the Senior Management Team as a result of new work in relation to the outworking of the UK's Exit from the EU.

	Male	Female
Board Members	6 (6)	2 (2)
Senior Managers	4 (3)	1 (1)
Employees	50 (52)	51 (53)

Staff Turnover Percentage

HSENI had a 7.5% staff turnover for the 2020-21 period.

Staff Engagement Percentage Scores

HSENI had a staff engagement score of 72% on the latest NICS Staff Survey.

Sickness Absence Data

The overall HSENI managing attendance figure for 2020-21 was a total of 427 (2019-20: 990) staff days lost. This equates to 4.3 (2019-20: 10.0) working days lost per staff member during the year.¹⁰ 63.8% of working days lost through sick absence during 2020-21 were attributable to long term absence. 79.5% of staff had no sick absence throughout the period.

¹⁰ Figures from staff days lost and days' sickness absence per staff member as sourced from NISRA.

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 106. 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 2021, there were 28 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 members of NICS recruitment panels. Unconscious bias training is available to all staff. To maintain and promote a diverse and inclusive workforce, the NICS has policies in place to support adjustments to the working environment required by disabled persons. The NICS has a wide and active network of Diversity Champions and one of its' Deputy Secretaries is the NICS Diversity Lead for Disability. The NICS has a Disability Working Group and is a lead partner with Employers for Disability Northern Ireland. During 2020-21 the NICS established a Disability Staff Network. This Network plays a key role in promoting disability equality and inclusion across the NICS. The NICS is committed to working towards creating a truly inclusive workplace where all colleagues feel valued. The NICS promotes a number of schemes for disabled people, including a 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

The Department of Finance is responsible for the NICS Industrial Relations Policy. 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.

Development and delivery of generic staff training is centralised in NICS HR¹¹. Training is delivered using a variety of learning delivery channels (including on-line, webinars), providing flexible access to learning. Coherent learning pathways are aligned to both corporate need and the NICS Competency Framework.

Talent management is a key theme of the NICS People Strategy (www.finance-ni.gov.uk/publications/nics-people-strategy-2018-21) and this year the focus was on improving the quality of the development conversation between managers and staff, with the introduction of a talent management toolkit.

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.

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 2020-21 HSENI offered 'line of business' study opportunities where budget permitted. In the last year:

- One member of staff completed the level 5 Diploma in Mental health and Well-being awareness;
- One staff member completed the NEBOSH Mental Health and Well-being certificate;
- One staff member completed a Civil Service College: Building better business cases course;
- One staff member completed Intermediate Level Geotechnical Knowledge course; and
- One staff member completed a shotfiring training course.

Also throughout the year:

- HSENI's Extractive Industries team completed Mines equipment training; and
- HSENI's trainee Inspectors and Major Investigations Team staff completed a 'Conducting Interviews Virtually' course.

HSENI also undertook a comprehensive range of learning and development activities for staff in accordance with its 2020-21 Learning and Development Plan. Training comprised of essential and

¹¹ NICS HR is the NICS' centralised human resources function. It falls under the responsibility of the Department of Finance.

desirable needs at organisational, team and individual levels.

In the latter part of 2020-21, a number of HSENI staff completed a Mental Health First Aid course.

In the last reporting period most staff completed a questionnaire in relation to Insights, due to the COVID-19 outbreak this programme was paused and started up again in the latter part of the 2020-21 year. To date the majority of staff have completed all three parts of this training, with a proposed mop-up programme to be run in 2021-22.

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, Mental Health Awareness for Managers: Managing Remote Teams (Webinar), Virtual Coaching Skills (Webinar), Recruitment and Selection: Standards and Skills (Webinar) and Mental Health Awareness For Staff Working at Home (Webinar).

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 2019-20, led to the temporary suspension of this training. This training recommenced late 2020.

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 this training has yet to begin. However, HSE (GB) has scheduled 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 2020-21 period, and have 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

In the NICS, we are committed to building an inclusive workplace culture where diversity is truly valued at all levels, where you are valued for who you are and where you can bring your true self to work. We want to make use of all the talent that exists across the NICS to ensure we are a well-led, high performing, outcome-focused Service and a Service that is a great place to work.

The NICS People Strategy includes a range of actions that will help accelerate our ambition of a truly inclusive NICS, which reflects the society we serve.

As a key element of the People Strategy, our ambitious diversity and inclusion programme of work is delivered through the implementation of an annual NICS Diversity Action Plan, and overseen by the leadership of the NICS Board, the NICS Diversity Champions Network, Departmental Diversity Champions and Thematic Diversity Champions, NICS colleague networks and NICS HR, as well as through partnership working with stakeholder organisations.

The NICS Diversity Action Plan sets out our priorities for action by diversity and inclusion theme, cross-cutting priorities, departmental priorities and includes supporting plans on communications and outreach.

NICS HR is the NICS' centralised human resources function. It falls under the responsibility of the

Department of Finance. Equality is a cornerstone consideration in the development and review of all HR policies which determine how staff are recruited and appointed, their terms and conditions, how they are managed and developed, assessed, recognised and rewarded. The NICS' commitment to equality of opportunity is outlined in its Equality, Diversity and Inclusion Policy (www.finance-ni.gov.uk/publications/policy-screening-equality-diversity-and-inclusion-policy).

As part of the NICS' efforts to ensure equality of opportunity, the NICS continually conducts comprehensive reviews into the composition of its workforce and recruitment activity, publishing a wide range of NICS human resource statistics (www.nisra.gov.uk/statistics/government/ni-civil-service-human-resource-statistics).

The annual "Equality Statistics for the Northern Ireland Civil Service" reports work force composition and trends over time and, where appropriate, makes comparisons with the wider labour market and the Civil Service in Great Britain.

The NICS continues to meet its statutory obligations under the Fair Employment and Treatment (NI) Order 1998, which includes submission of an annual Fair Employment Monitoring Return and a tri-annual Article 55 Review to the Equality Commission for NI (ECNI), both of which assess the composition of the NICS workforce and the composition of applicants and appointees. In addition, the NICS conducts a similar formal review of the gender profile of its workforce. The findings are published in the NICS Article 55 and Gender Reviews (www.finance-ni.gov.uk/publications/article-55-reviews).

The NICS uses the findings of all the equality monitoring and analysis to inform its programme of targeted outreach activity to address any areas of under-representation.

As a public authority, the NICS has due regard to the need to promote equality of opportunity and regard to the desirability of promoting good relations across a range of categories outlined in the Section 75 of the Northern Ireland Act 1998 in carrying out its functions. Further information can be obtained on HSENI's Equality Scheme. (www.hseni.gov.uk/publications/hseni-equality-scheme)

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 2020-21 HSENI:

- Revised its Disability Action Plan and disseminated this to all staff;
- continued its Farm Safety Partnership (FSP) work through the third Farm Safety Action Plan;
- participated in the 'Be Aware Kids' campaign which ran in an online format between June and August 2020;
- ran an online Child Safety on Farms Poster competition and distributed 41,527 copies of the calendar produced from the winning entries to 436 rural primary schools;
- delivered 10 work-related stress webinars, participated in a Mental Health Charter event and Irish Congress of Trade Unions (ICTU) webinar and delivered presentations at three webinars run by industry;
- 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;
- 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; and
- undertook extensive work during the year to amend the website in accordance with the findings of a web accessibility audit carried out in October 2020, including amendment of all forms and recent publications. All webpages and documents are also being reviewed to ensure compliance with the standards to ensure the website can be used by as many people as possible including those with impaired vision, motor difficulties, impaired hearing or learning difficulties. An accessibility statement was produced and is available to view on our website.

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. HSENI's Raising Concerns Policy was revised during 2020-21 to ensure adherence to NIAO's 'Raising Concerns – A good practice guide for the Northern Ireland Public Sector' published in June 2020.

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

Expenditure on Consultancy

HSENI did not incur any expenditure on consultants during the 2020-21 financial year.

Off-payroll Engagements

HSENI did not engage in any off-payroll arrangements during the 2020-21 financial year.

Exit Packages

No exit packages were paid during the 2020-21 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 (MPMNI). Expenditure in response to COVID-19 was in line with Assembly 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 2021 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. The financial reporting framework that has been applied in their preparation is applicable law and International Financial Reporting Standards (IFRS) as adopted by the European Union and interpreted by the Government Financial Reporting Manual. 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 2021 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 for opinions

I conducted my audit in accordance with International Standards on Auditing (ISAs) (UK), applicable law 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 2019, 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

In auditing the financial statements, I have concluded that 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 appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the Health and Safety Executive

for Northern Ireland's ability to continue as a going concern for a period of at least twelve months from when the financial statements are authorised for issue.

The going concern basis of accounting for the Health and Safety Executive for Northern Ireland is adopted in consideration of the requirements set out in the Government Reporting Manual, which require entities to adopt the going concern basis of accounting in the preparation of the financial statements where it anticipated that the services which they provide will continue into the future.

My responsibilities and the responsibilities of the Board and the Accounting Officer with respect to going concern are described in the relevant sections of this report.

Other Information

The other information comprises the information included in the annual report other than the financial statements, the parts of the Accountability Report described in that report as having been audited, and my audit certificate and report. The Board and the Accounting Officer are responsible for the other information included in the annual report. My opinion on the financial statements does not cover the other information and except to the extent otherwise explicitly stated in my report I do not express any form of assurance conclusion thereon.

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 I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. 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, based on the work undertaken in the course of the audit:

- the parts of the Accountability Report to be audited have been properly prepared in accordance with the 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.

Matters on which I report by exception

In the light of the knowledge and understanding of the Health and Safety Executive for Northern Ireland and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance Report and Accountability Report. 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
- certain disclosures of remuneration specified by the Government Financial Reporting Manual are not made; 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.

Responsibilities of the Board and Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer Responsibilities, the Board and the Accounting Officer are responsible for:

- the preparation of the financial statements in accordance with the applicable financial reporting framework and for being satisfied that they give a true and fair view;
- such internal controls as the Accounting Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error;
- assessing the Health and Safety Executive for Northern Ireland's ability to continue as a going concern, disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the Accounting Officer anticipates that the services provided by the Health and Safety Executive for Northern Ireland will not continue to be provided in the future.

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 reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error and to issue a certificate that includes my opinion. 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.

I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of non-compliance with laws and regulation, including fraud.

My procedures included:

- obtaining an understanding of the legal and regulatory framework applicable to the Health and Safety Executive for Northern Ireland through discussion with management and application of extensive public sector accountability knowledge. The key laws and regulations I considered included Health and Safety Legislation, the Health and Safety at Work (Northern Ireland) Order 1978, the Fair Employment (Northern Ireland) Act 1989 and relevant tax laws;
- making enquires of management and those charged with governance on Health and Safety Executive for Northern Ireland's compliance with laws and regulations;
- making enquiries of internal audit, management and those charged with governance as to susceptibility to irregularity and fraud, their assessment of the risk of material misstatement due to fraud and irregularity, and their knowledge of actual, suspected and alleged fraud and irregularity;
- completing risk assessment procedures to assess the susceptibility of the Health and Safety Executive for Northern Ireland's financial statements to material misstatement, including how fraud might occur. This included, but was not limited to, an engagement director led engagement team discussion on fraud to identify particular areas, transaction streams and business practices that may be susceptible to material misstatement due to fraud. As part of this discussion, I identified potential for fraud in the following areas: revenue recognition, posting of unusual journals and unreasonable management estimates;
- engagement director oversight to ensure the engagement team collectively had the appropriate competence, capabilities and skills to identify or recognise non-compliance with the applicable legal and regulatory framework throughout the audit;
- designing audit procedures to address specific laws and regulations which the engagement team considered to have a direct material effect on the financial statements in terms of misstatement and irregularity, including fraud. These audit procedures included, but were not limited to, reading board

and committee minutes, and agreeing financial statement disclosures to underlying supporting documentation and approvals as appropriate and inquiries of management and those charged with governance;

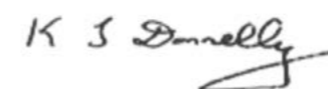
- addressing the risk of fraud as a result of management override of controls by:
 - performing analytical procedures to identify unusual or unexpected relationships or movements;
 - testing journal entries to identify potential anomalies, and inappropriate or unauthorised adjustments;
 - assessing whether judgements and other assumptions made in determining accounting estimates were indicative of potential bias; and
 - investigating significant or unusual transactions made outside of the normal course of business.

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. 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.

Report

I have no observations to make on these financial statements.



K J Donnelly
Comptroller and Auditor General
Northern Ireland Audit Office
1 Bradford Court
Galwally
BELFAST
BT8 6RB
19 January 2022

Health and Safety Executive for Northern Ireland

Statement of Comprehensive Net Expenditure for the year ended 31st March 2021

	Notes	2020-21 £'000	2019-20 £'000
Income from activities	4	30	18
Total operating income		30	18
Staff costs	2	5,589	5,166
Depreciation	3	7	6
Amortisation	3	73	71
Other operating expenditure	3	1,441	1,560
Total operating expenditure		7,110	6,803
Net operating expenditure for the year		7,080	6,785
Other comprehensive net expenditure			
Net gain on revaluation of intangible assets	6	(8)	(10)
Comprehensive net expenditure for the year		7,072	6,775

All amounts above relate to continuing operations.

The notes on pages 99 to 111 form part of these accounts.


Health and Safety Executive for Northern Ireland

Statement of Financial Position

as at 31st March 2021

		31st March 2021	31st March 2020 Restated	31st March 2019 Restated
	Notes	£'000	£'000	£'000
Non-current assets				
Property, plant and equipment	5	16	18	10
Intangible assets	6	602	662	630
Total non-current assets		618	680	640
Current assets				
Trade and other receivables	8	21	26	26
Cash and cash equivalents	9	258	440	701
Total current assets		279	466	727
Total assets		897	1,146	1,367
Current liabilities				
Trade and other payables	10	767	643	913
Total current liabilities		767	643	913
Total assets less total liabilities		130	503	454
Taxpayers' equity				
General reserve		112	493	454
Revaluation reserve		18	10	-
		130	503	454

The financial statements on pages 95 to 111 were approved by the Board on 12 January 2022 and were signed on its behalf by;


 (signed)
 (D Martin, Chairman)
 18 January 2022


 (signed)
 (Robert Kidd, Chief Executive)
 18 January 2022

The notes on pages 99 to 111 form part of these financial statements.

Health and Safety Executive for Northern Ireland

Statement of Cash Flows

for the year ended 31st March 2021

		2020-21	2019-20
	Notes	£'000	£'000
Cash flows from operating activities			
Net operating cost		(7,080)	(6,785)
Adjustment for depreciation charge on non-current assets	3	7	6
Adjustment for amortisation charge on intangibles	3	73	71
Adjustment for notional costs	3	385	359
Decrease in trade and other receivables	8	5	-
Increase/(Decrease) in trade and other payables	10	124	(271)
Less movements in payables relating to items not passing through the Net Expenditure account		(5)	(19)
Net cash outflow from operating activities		(6,491)	(6,639)
Cash flows from investing activities			
Purchase of property, plant and equipment	5	-	(14)
Purchase of intangible assets	6	(5)	(73)
Net cash outflow from investing activities		(5)	(87)
Cash flows from financing activities			
Grants from sponsoring department			
Capital Grant-in-Aid Financing		10	109
Funding of Staff and Operating Expenditure*		5,788	5,705
Funding of Programme Expenditure		516	651
Net cash inflow from financial activities		6,314	6,465
Net decrease in cash and cash equivalents in the year	9	(182)	(261)
Cash and cash equivalents at the beginning of the year	9	440	701
Cash and cash equivalents at the end of the year	9	258	440

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

The notes on pages 99 to 111 form part of these accounts.

Health and Safety Executive for Northern Ireland

Statement of Changes in Taxpayers' Equity for the year ended 31st March 2021

	General Reserve	Revaluation Reserve	Taxpayers' Equity
	£'000	£'000	£'000
Balance 1st April 2019 as previously reported	737	-	737
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	(283)	-	(283)
Balance 1st April 2019 (Restated)	454	-	454
Changes in taxpayers' equity for 2019-20 (Restated)			
Capital Grant-in-Aid Financing – DfE	109	-	109
Funding of Staff and Operating Expenditure – Request for Resource B – DfE (Restated)	5,705	-	5,705
Funding of Programme Expenditure – Request for Resource B – DfE	651	-	651
Grants from Sponsoring department for 2019-20 (Restated)	6,465	--	6,465
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	-
Total recognised income and expense for 2019-20	(6,426)	10	(6,416)
Balance at 31st March 2020 (Restated)	493	10	503
Changes in taxpayers' equity for 2020-21			
Capital Grant-in-Aid Financing – DfE	10	-	10
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	5,788	-	5,788
Funding of Programme Expenditure – Request for Resource B – DfE	516	-	516
Grants from Sponsoring department for 2020-21	6,314	-	6,314
Non-cash charges	385	-	385
Comprehensive net expenditure for the year	(7,057)	-	(7,057)
Auditor's remuneration	(15)	-	(15)
Net gain on revaluation of intangible assets	(8)	8	-
Total recognised income and expense for 2020-21	(6,695)	8	(6,687)
Balance at 31st March 2020	112	18	130

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 99 to 111 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 2020-21 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.

To fully comply with FRoM, Grant-in-Aid financing for DfE payments to third parties has been restated in 2019/20 to only include funding for payments made in the period. Previously, Grant-in-Aid financing matched the accrued expenditure in the period. This has resulted in restatements to the Statement of Changes in Taxpayers' Equity, including the brought forward balance at 1 April 2019 as well as the Statement of Financial Position and Statement of Cash Flows for 2019/20. See note 14 for more details.

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 and fittings - 25% straight line.

1.4. Intangible Assets

Computer Software

A replacement CMS system was brought into operation at the beginning of the 2019-20 financial year. The useful economic life of this new system has been estimated at 10 years from April 2019.

HSENI acquired a license for accounting software, Microsoft Dynamics NAV in 2009-10. The useful

economic life of the asset was estimated at 4 years to March 2014. An upgrade was brought into use in the current financial year and the old system decommissioned. The useful economic life of the new system has been estimated at 6 years from November 2020.

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. In the case of expenditure paid directly to third parties by DfE, the associated Grant-in-Aid funding credit to general reserve will match those third party payments and will not include funding credit for any year end accruals.

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.

Budget for Programme Expenditure, being HSENI spend on health and 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

Present and past employees are covered by the provisions of the NICS pension arrangements which are unfunded multi-employer defined benefit schemes. The Agency is unable to identify its share of the underlying assets and liabilities. The Agency recognises the expected cost of providing pensions on a systematic and rational basis over the period during which it benefits from employees' services by payment to the NICS pension arrangements of amounts calculated on an accruals basis.

The rate for the employer's contribution is set by the Government Actuary and for 2020-21 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	2020-21 Total	2019-20 Total
	£'000	£'000	£'000	£'000
Wages and salaries	4,017	12	4,029	3,692
Social security costs	396	-	396	372
Other pension costs	1,164	-	1,164	1,102
Total	5,577	12	5,589	5,166

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 Public Service Pensions Act (NI) 2014 provides the legal framework for regular actuarial valuations of the public service pension schemes to measure the costs of the benefits being provided. These valuations inform the future contribution rates to be paid into the schemes by employers every four years following the scheme valuation. The Act also provides for the establishment of an employer cost cap mechanism to ensure that the costs of the pension schemes remain sustainable in future.

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 2023.

The 2016 Scheme Valuation requires adjustment as a result of the 'McCloud Remedy'. The Department of Finance have also commissioned a consultation in relation to the Cost Cap Valuation which will close on 25 June 2021. By taking into account the increased value of public service pensions, as a result of the 'McCloud Remedy', scheme cost control valuation outcomes will show greater costs than otherwise would have been expected. On completion of the consultation the 2016 Valuation will be completed and the final cost cap results will be determined.

For 2020-21, employers' contributions of £1,163,774 were payable to the NICS pension arrangements (2019-20 £1,101,591) at one of three rates in the range 28.7% to 34.2% of pensionable pay, based on salary bands.

Employees can opt to open a partnership pension account, a stakeholder pension with an employer contribution. The partnership pension account offers the member the opportunity of having a 'free' pension. The employer will pay the age-related contribution and if the member does contribute, the employer will pay an additional amount to match member contributions up to 3% of pensionable earnings. No employees of HSENI have exercised this option.

No exit packages were paid during the year (2019-20 Nil).

No persons (2019-20: 2 persons) retired early on ill-health grounds; the total additional accrued pension liabilities in the year amounted to £nil (2019-20: £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		2020-21	2019-20
	Permanent staff	Others	Total	Total
Directly employed	102	-	102	100
Other	-	-	-	-
Total	102	-	102	100

3. Other Expenditure

Notes	2020-21	2019-20
	£'000	£'000
Advertising and publicity	375	343
Motor and travel expenses	35	160
Staff training	107	151
Inspection and enforcement	140	96
IT costs	98	96
Other Staff Related Costs	91	89
Telephone	50	60
Scientific services	18	35
Printing, postage and stationery	9	29
Contract cleaning	15	26
Premises costs	13	24
Staff equipment	12	17
Heat and light	15	17
Internal audit and accountancy	20	14
Auditor's remuneration	15	14
Legal and professional fees	16	12
Staff development	16	9
Recruitment costs	9	3
Catering and hospitality	-	2
Car parking	2	2
Office maintenance	-	2
Non-cash items		
Depreciation	5	7
Amortisation	6	73
Notional accommodation charge	306	331
Notional Departmental Solicitors Office charge	79	24
Notional welfare charge	-	4
	1,521	1,637

4. Income from activities

	2020-21	2019-20
	£'000	£'000
Licence, subscription and conference fees	20	10
Other income	10	8
	30	18

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

5. Property, plant and equipment

2020-21	Transport equipment £'000	Furniture and fittings £'000	Total £'000
Cost or valuation			
At 1 April 2020	24	284	308
Additions	-	5	5
Disposals	-	(21)	(21)
At 31 March 2021	24	268	292
Accumulated Depreciation			
At 1 April 2020	24	266	290
Charged in year	-	7	7
Disposals	-	(21)	(21)
At 31 March 2021	24	252	276
Carrying value at 31 March 2021	-	16	16
Carrying value at 31 March 2020	-	18	18
Asset financing:			
Owned	-	16	16
Carrying value at 31 March 2021	-	16	16

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.

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

6. Intangible assets

Intangible assets comprise a Case Management System (CMS) to store relevant data on Health and 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.

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.

Information Technology	
2020-21	Total
	£'000
Valuation	
At 1 April 2020	747
Additions	5
Disposals	(14)
Revaluations	11
At 31 March 2021	749
Accumulated Amortisation	
At 1 April 2020	85
Charged in year	73
Disposals	(14)
Revaluations	3
At 31 March 2021	147
Carrying value at 31 March 2021	602
Carrying value at 31 March 2020	662
Asset financing:	
Owned	602
Carrying value at 31st March 2021	602

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

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

	2020-21 £'000	2019-20 £'000 Restated
Amounts falling due within one year:		
Trade receivables	4	3
Other receivables	-	-
Prepayments	17	23
Total	21	26

See note 14 for details of restatement.

9. Cash and cash equivalents

	2020-21 £'000	2019-20 £'000
Balance at 1 April	440	701
Net change in cash and cash equivalent balances	(182)	(261)
Balance at 31 March	258	440

The following balances at 31 March were held at:

Commercial banks and cash in hand	258	440
Balance at 31 March	258	440

10. Trade payables and other current liabilities

	2020-21 £'000	2019-20 £'000
Amounts falling due within one year:		
Trade payables	2	2
Accruals	765	641
Total	767	643

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;
- InterTradeIreland (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. Prior Period Adjustment

HSENI's staff and administration expenditure is recorded on the DfE finance system using a separate cost centre. Payments are approved by HSENI budget holders but paid from DfE's bank account. HSENI is accountable for the level and propriety of spend but does not physically receive the cash funding. In the Annual Report and Accounts of previous years, due to the nature of this arrangement, Grant-in-Aid funding to cover this budget matched the level of expenditure.

However, to fully comply with the Financial Reporting Manual (FRM), Grant-in-Aid should be accounted for on a cash basis. This means adjusting the timing of funding shown in the Financial Statements to better align with when money is paid out as opposed to when expenditure is incurred.

This has resulted in the restatement of amounts from prior years as shown in the following tables:

Statement of Financial Position	2019/20 £'000	Adjustment £'000	2019-20 As restated £'000
Current assets			
Trade and other receivables	337	(311)	26
Taxpayers' equity			
General reserve	804	(311)	493

Statement of Cash Flows	2019/20 £'000	Adjustment £'000	2019-20 As restated £'000
Cash flows from operating activities			
Decrease in trade and other receivables	28	(28)	-
Cash flows from financing activities			
Funding of Staff and Operating Expenditure	5,733	(28)	5,705

Statement of Changes in Taxpayers' Equity	2019/20 £'000	Adjustment £'000	2019-20 As restated £'000
Balance 1st April 2019	737	(283)	454
Changes in taxpayers' equity for 2019-20			
Funding of Staff and Operating Expenditure – Request for Resource B – DfE	5,733	(28)	5,705
Balance 31st March 2020	814	(311)	503

Statement of Financial Position	2018/19 £'000	Adjustment £'000	2018/19 As restated £'000
Current assets			
Trade and other receivables	309	(283)	26
Taxpayers' equity			
General reserve	737	(283)	454

15. Events after the reporting period

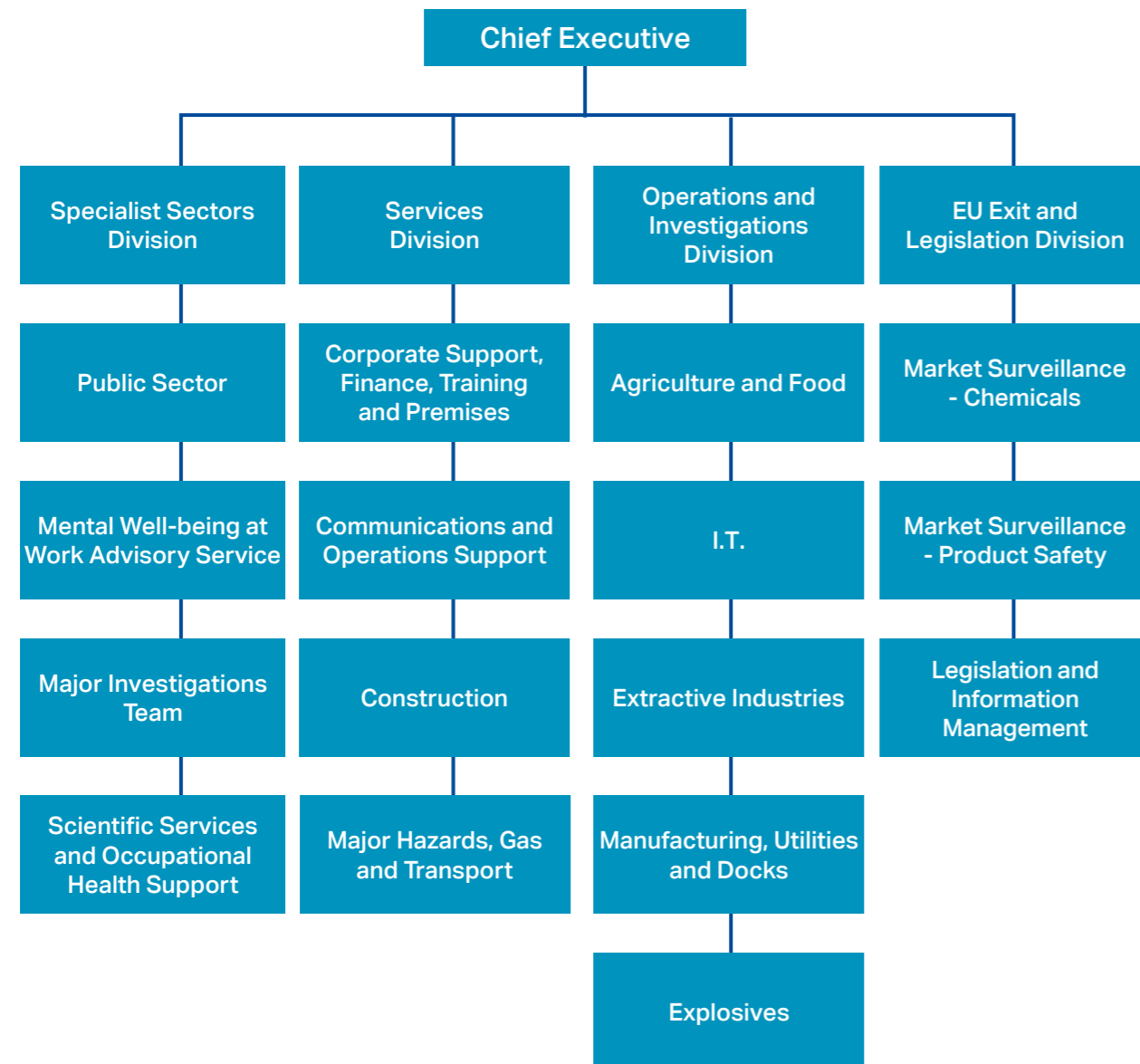
There were no events after the reporting period which would require adjustment to the financial statements.

Date of authorisation for issue

The Accounting Officer authorised the issue of these financial statements on 19 January 2022.

Appendix 1

HSENI Organisation Structure 2020-21



Appendix 2

Fatal Accidents 2020-21

(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
Farmer/Part-time Roofer (57)	Self-Employed	Fall from farm shed roof.	01.09.2020
Joiner (47)	Self-Employed	Fall from a ladder.	17.01.2020
Labourer (57)	N/A	Fell through a farm shed roof.	27.11.2020

Manufacturing, Utilities and Docks

Occupation (Age)	Employment Category	Description	Date
Metal Finisher Operative (56)	Employed	Crushed by fall of a load from a forklift.	23.09.2020
Electrician (33)	Employed	Electrocuted by 110Kv Terminal.	19.08.2020

Agriculture

Occupation (Age)	Employment Category	Description	Date
Roofer (47)	Self-Employed	Fall from shed roof.	15.05.2020
Farmer (46)	Employed	Crushed by a telehandler.	21.05.2020
Farmer (53)	Self-Employed	Fell through a skylight.	07.06.2020
Foreman (38)	Employed	Struck by a bucket on a tractor.	18.06.2020
Visitor	N/A	Crushed by cattle.	17.12.2020

Extractive Industries

Occupation (Age)	Employment Category	Description	Date
Contractor (35)	Self-Employed	Drowning due to excavator overturning into standing water.	14.01.2021

Appendix 3

Prosecutions 2020-21

H and M Engineering and Roofing Specialists (NI) Limited

On 12 March 2021 H and M Engineering and Roofing Specialists (NI) Limited were prosecuted for multiple work-related offences relating to the death of one of their employees. The company pleaded guilty to five health and safety offences and a separate offence of corporate manslaughter, and was fined a total of £75,000. The charges arose as a result of a HSENI investigation into an incident which took place on 3 December 2016 which led to the death of an employee of the company. The incident occurred at industrial premises in Carryduff where the employee fell through an unsecured section of a roof. The work being undertaken at the time of the incident involved the over-cladding of an existing roof structure with new sheeting. The HSENI investigation revealed that the company had failed to make a suitable and sufficient assessment of the risks to the health and safety of their employees. The roof work had not been properly planned and safety measures had not been put in place. Neither fall prevention measures, including edge protection, nor measures to minimise the distance or consequences of a fall such as safety nets were present on site at the time of the incident. The company also failed to report the incident as a work-related death to HSENI.

Appendix 4:

Performance Analysis of Common Priorities and Corporate Activities

This section details HSENI's performance against operating plan targets during 2020-21

Common Priorities

INSPECTIONS

Action/Intervention	Progress
At least 5,000 inspections will be conducted across all work sectors aimed at improving levels of compliance with health and safety standards.	*Target Not Achieved 2,057 inspections were carried out throughout the year. Visits and inspections were impacted due to the pandemic.
RIDDOR incidents will be selected for investigation using HSENI's Incident Selection Procedure.	Target Achieved RIDDOR incidents were 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.	Target Achieved All employers found to have an unsatisfactory level of compliance were considered for enforcement action in accordance with HSENI's Enforcement Guidelines. 28 Improvement Notices (INs) and 76 Prohibition Notices (PNs) issued.
Raise workplace health as a priority issue during all inspections in sectors where known health risks exist.	Target Achieved Workplace health was raised as a priority issue during all inspections carried out where known health risks exist.

PROMOTIONAL ACTIVITIES

Action/Intervention	Progress
Run or participate in up to six high priority local events per annum to highlight health and safety in high risk sectors.	*Target Not Achieved HSENI did not run or participate in events to highlight health and safety in high risk factors due to the pandemic.
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.	*Target Not Achieved 108 advisory contacts/promotional events took place during the period. These activities were impacted throughout the year by COVID-19.

*The Senior Management Team and Board consider the reasons for not achieving targets (primarily COVID restrictions) to be suffice given that it was an extraordinary year during which COVID heavily impacted on HSENI's functions and services.

CORPORATE ACTIVITIES

Operational Support Team

COMPLAINTS

Action/Intervention	Target Output/s	Progress
Implement HSENI's complaints handling policy as agreed by SMT in Jan 2019.	Complaints policy implemented and quality assured.	Target Achieved Complaints policy implemented.
Implement HSENI's complaints handling policy as agreed by SMT in Jan 2019.	All complaints triaged in accordance with policy.	Target Achieved All complaints triaged in accordance with the policy.
Implement HSENI's complaints handling policy as agreed by SMT in Jan 2019.	All complaints responded to in accordance with policy.	Target Achieved All complaints responded to in accordance with the policy.

NOTIFICATIONS

Action/Intervention	Target Output/s	Progress
Process all notifications within guidelines and timescales (subject to resource availability).	90% of RIDDOR notifications processed within five days of receipt.	Target Achieved 90% of RIDDOR notifications processed within five days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of NI10 notifications processed within five days of receipt.	Target Achieved 90% of NI10 notifications processed within five days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of L9 notifications processed within five days of receipt.	Target Achieved 90% of L9 notifications processed within five days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of IR17 notifications processed within five days of receipt.	Target Achieved 90% of IR17 notifications processed within five days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of R32 notifications processed within five days of receipt.	Target Achieved. 90% of R32 notifications processed within five days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of planning notifications processed within 21 days of receipt.	Target Achieved. 90% of planning notifications processed within 21 days of receipt.
Process all notifications within guidelines and timescales (subject to resource availability).	90% of asbestos notifications processed within five days of receipt.	Target Achieved. 90% of asbestos notifications processed within five days of receipt.

Corporate Support Group

CORPORATE SUPPORT

Action/Intervention	Target Output/s	Progress
Access to information - Board minutes.	Publish minutes of all board meetings on SharePoint and HSENI's website.	Target Achieved All final minutes from 2020-21 Board meetings have been published on HSENI's website and Sharepoint.
Access to information - SMT minutes.	Publish minutes of all SMT meetings on SharePoint and HSENI's website.	Target Achieved All final minutes from SMT meetings held throughout 2020-21 have been published on HSENI's website and Sharepoint.
Access to information - Annual Report.	Prepare (and lay before NI Assembly before the revised HM Treasury deadline) HSENI's Annual Report and Accounts.	Target Achieved HSENI Annual Report and Accounts was approved and signed following the Board meeting on 15th October. Laid before NI Assembly on 23rd October 2020.
Customer Care - Monitoring exercise.	Carry out a Customer Care Monitoring Exercise by December 2020.	Target Achieved Customer Care Monitoring Exercise took place from 1st - 5th February 2021. Delayed due to other priorities. Note: the December deadline a self-imposed target.
Equality - Annual Equality Report.	Complete and submit Annual Report to the Equality Commission by 31 August 2020.	Target Achieved Annual Report was submitted to the Equality Commission.

Finance Team

BUDGET MANAGEMENT

Action/Intervention	Target Output/s	Progress
Prepare HSENI's Statement of Accounts for 2019-20 and liaise with representatives of NIAO to ensure these are audited and finalised before the revised HM Treasury deadline for laying of Annual Report and Accounts 2020.	Annual HSENI accounts completed, audited and published.	Target Achieved Accounts prepared and audited. Laid before NI Assembly on 23rd October 2020.
Administer Programme payments within the prompt payment targets set by Treasury (30 days) and where possible within Better Payment Practice (ten days).	Prompt payment target achieved.	Target Achieved In spite of the administrative challenges of COVID-19, Programme payments have been within prompt payment targets.

Health and Safety Executive for Northern Ireland

83 Ladas Drive, Belfast, BT6 9FR, Northern Ireland

Telephone: (028) 9024 3249

Helpline: 0800 0320 121

Facsimile: (028) 9023 5383

E-mail: mail@hseni.gov.uk

Web: www.hseni.gov.uk

A large type version of this text is available on request from HSENI.

The text of this document is also available on the HSENI website: www.hseni.gov.uk

ISBN 978-1-906452-30-8